



Financial Professional

Jason Knox, AIF®, CRC®
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8/1/2023

Associated with:

Lincoln Investment Planning, LLC
Capital Analysts, LLC

Principal Office:
601 Office Center Drive, Suite 300
Fort Washington, PA 19034
(800) 242-1421
www.lincolninvestment.com
www.capitalanalysts.com

This brochure provides information about Jason Knox, who is dually licensed to offer broker dealer services through Lincoln Investment Planning, LLC and investment advisory services through Lincoln Investment Planning, LLC and/or Capital Analysts, LLC.

If you are opening an advisory account, this brochure supplements Lincoln Investment's and/or Capital Analysts' Form ADV 2A and Form ADV 2A Appendix I. If you do not receive the Investment Advisory Disclosure Brochures for the above listed registered investment advisers or if you have any questions about the contents of this supplement, please contact The Lincoln Investment Companies at (800) 242-1421, ext. 4770, option 4.

Additional information about Jason Knox, is available via FINRA's BrokerCheck website at www.finra.org or the U.S. Securities and Exchange Commission's website at www.adviserinfo.sec.gov.

Item 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Jason Knox, AIF®, CRC®

Year of Birth: 1972

Education

University of Northern Iowa, Bachelor's Degree, Economics and Political Science, 1996

Business Experience

Jason Knox is dually registered as an Investment Adviser Representative and Registered Representative of a Broker-Dealer and one or more Registered Investment Advisers.

Investment Adviser Representative, Capital Analysts, LLC, July 2015 – Present

Investment Adviser Representative, Lincoln Investment Planning, LLC, August 2010 – Present

Registered Representative, Lincoln Investment Planning, LLC, August 2010 – Present

Registered Representative, Great American Advisors, 2005 – 2010

Registered Representative, PMG Securities Corporation, 2000 – 2005

Registered Representative, Investors Brokerage Services, Inc., 1997 – 2000

Professional Licenses/Designations

Jason Knox holds the following industry exams or equivalency and Professional Designations.

Accredited Investment Fiduciary AIF®

Designation Status: Currently offered and recognized by the issuing organization.

Issuing Organization: Center for Fiduciary Studies

Education Requirements: Candidates must accrue six hours of continuing professional education with at least four coming from fi360-produced sources; attest to a code of ethics; maintain current contact information in fi360's designee database; and remit \$325 in annual dues.

Exam Type: Final Exam

Continuing Education Requirements: AIF designees must obtain six combined hours of continuing professional education each renewal year from the sources listed below (at least four hours must be accumulated from the listed fi360-produced sources): The fi360 annual conference (live event); Archived recordings from past fi360 conferences (from the on-demand fi360 CE directory) fi360 Resources webinars (live); Archived recordings of Resources webinars (from the on-demand fi360 CE directory); Relevant events produced by sources outside of fi360 (max of two hours per year allowed); Web-based AIF Training (course audit); Participation in a CEFEX Certification team or as a liaison officer at a firm being Certified (max of 3 hours/year).

Accreditation: Center for Fiduciary Excellence (CEFEX)

Certified Retirement Counselor CRC®

Designation Status: Currently offered and recognized by the issuing organization

Issuing Organization: International Foundation for Retirement Education (InFRE)

Prerequisites: Bachelors degree or equivalent with two years relevant professional experience (within the past five years) or high school diploma or equivalent with five years relevant professional experience (within the past seven years); Passing a background check; Education Requirements: None

Exam Type: Certification exam (200-question, multiple choice, proctored)

Continuing Education Requirements: 15 hours per year

Accreditation: NCCA

Item 3 – DISCIPLINARY INFORMATION

Jason Knox has no material legal or disciplinary events to report.

Item 4 – OTHER BUSINESS ACTIVITIES

Investment Related Business Affiliations, Conflicts and Compensation

Jason Knox is actively engaged in investment-related businesses as a registered representative of Lincoln Investment and an investment adviser representative of one or more investment advisers. Depending on the account type (brokerage or advisory), compensation to your Financial Professional will vary. Lincoln Investment and Capital Analysts limit the securities offerings and third party money managers available to your Financial Professional for recommendation. Your Financial Professional's recommendations will be in your best interest.

When you open a brokerage account, your Financial Professional will receive a transaction-based sales commission or concession based on the product acquired. Financial Professionals may also receive ongoing distribution and/or retention compensation from mutual funds and annuities. In brokerage accounts, conflicts arise from the varying compensation associated with different product type recommendations. Brokerage commissions and brokerage assets tied to Massachusetts residents are excluded from Lincoln's sales contests due to the Commonwealth of Massachusetts' Fiduciary Rule imposed on broker dealers. For Massachusetts' residents, this creates a financial incentive for your Financial Professional to recommend advisory services over brokerage services.

When you open an advisory account, Financial Professionals receive either a portion of the advisory fee assessed on assets they service, or a flat or hourly fee. Your Financial Professional is held to a fiduciary duty. It is each Financial Professional's responsibility to understand and adhere to the requirements of the Code of Ethics, as well as applicable laws, regulations, and rules.

Jason Knox's involvement in other business activities as described below defines additional activities for which your Financial Professional could recommend other products or services to you. This creates a conflict of interest for your Financial Professional to promote these products or services in addition to the services described above.

Insurance Agent

Jason Knox is licensed through Lincoln Investment or an independent agency to solicit, offer and sell insurance products. Your Financial Professional may be appointed with various insurance companies. Your Financial Professional may receive separate, yet customary commissions and other financial incentive compensation resulting from the purchases and sales of insurance products. When you purchase insurance products your Financial Professional will receive a transaction-based sales commission or concession based on the product acquired. Conflicts arise from the varying compensation associated with the recommendations made by your Financial Professional.

Other Businesses/Affiliations

Listed below are other businesses your Financial Professional is currently engaged in which provide either a substantial source of income and/or substantial amount of your Financial Professional's time. Also included are all businesses where your Financial Professional's role is as sole proprietor, officer, director or partner. These businesses are independently owned and not related or supervised by Lincoln Investment or Capital Analysts.

Jason Knox is the sole owner of Knox Financial Services, LLC. Jason Knox is a majority shareholder and President of Insurance Management Group, Inc. Jason Knox is a member of Tucker Real Estate Company, LLC, which owns commercial office property, including the West Union, Iowa location of Knox Financial Services. Jason Knox also serves as a member of the non-profit West Union Recreation Foundation Capital Improvement Board.

Item 5 – ADDITIONAL COMPENSATION

Jason Knox is permitted to participate in sales contests, incentives, gifts and entertainment offered by Lincoln Investment and/or Capital Analysts, at the Financial Professional's discretion and subject to applicable laws. Lincoln Investment monitors your Financial Professional's recommendations with the objective of ensuring recommendations are in the client's best interest. Our firm does not permit sales contests, sales quotas, bonuses, and non-cash compensation that are based on the sales of specific

securities or specific types of securities within a limited period of time. Your Financial Professional is permitted to receive cash and non-cash compensation from third party product providers and money managers to assist with due diligence and marketing expenses. In order to mitigate the financial conflict associated with third party compensation, the maximum amount of marketing support reimbursement and/or entertainment your Financial Professional is permitted to receive is \$1,000 from each product provider annually. Gifts from these third parties are limited to a value of \$100 annually. Product Providers are permitted to provide an occasional meal and/or nominal merchandise. For more information see The Lincoln Investment Companies Investor Agreement and Disclosure Handbook.

Lincoln Investment has provided a business loan to your Financial Professional. Your Financial Professional is eligible for an annual monetary bonus based on a percentage of net assets added annually to fee-based programs managed by Lincoln Investment on the Solutions Premier platform. This bonus will be applied to the loan balance which will reduce all or part of the loan obligation during the term of the loan. This creates a financial conflict for your Financial Professional to offer fee-based programs on the Solution Premier platform.

Item 6 – SUPERVISION

Jason Knox is assigned to a Designated Supervisor. The Designated Supervisor, or his or her designee, will periodically review and monitor the advice and recommendations of your Financial Professional, their client communications, and your Financial Professional's adherence to the firms' Code of Ethics, policies and procedures to ensure that advice and recommendations are in the client's best interest.

Supervisor Name: Ian Gregg

Title: Supervising Principal

Phone Number: (561) 537-4389