

## BROCHURE SUPPLEMENT – ALEXANDER R. BASTRON:

355 South Teller Street,

Lakewood, CO 80266

Phone 303-458-5258

*alex@nstarfinco.com*

### Note

This brochure supplement provides information about Alexander R. Bastron that supplements the Northstar Financial Companies Inc. brochure. Please contact us if you did not receive a copy of that brochure or if you have any questions about the contents of this supplement.

Additional information is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### *Education Background and Business Experience*

Year of Birth: 1982

Education: University of Northern Iowa, 2005

#### Employment:

October 2020 - Present – IA Representative  
Northstar Financial Companies, Inc.

January 2016 - October 2020 – IA Representative  
LongView Wealth Management

November 2009 - October 2020– Registered Representative  
Cambridge Investment Research, Inc.

November 2009 – December 2015 – Regional Director, Recruiter  
Cambridge Investment Research, Inc.

March 2009 – November 2009 – Trading Supervisor  
First Citizens Investor Services

April 2006 – March 2009 Trader, Assoc. Regional Director  
Cambridge Investment Research, Inc.

### *Disciplinary Information*

On April 5, 2016, the United States Securities and Exchange Commission (“SEC”) determined that Alexander Bastron had failed to adequately supervise an individual during a period from December 2009 through June of 2010, resulting in said individual misappropriating financial planning fees from advisory clients. The SEC determined that Mr. Bastron violated Section 203(c)(6) of the Investment Advisers Act by failing to implement a heightened supervision plan for the individual in question.

As a result of this determination, the SEC issued an order requiring that Mr. Bastron pay a fine and be suspended from any supervisory capacity until after April 17, 2017. The events occurred during Mr. Bastron’s employment as a Regional Director with Cambridge Investment Research.

### *Other Business Activities*

Alexander R. Bastron is also independently licensed to sell insurance products in various states and has the authority to offer insurance products. He may be entitled to receive commissions and service fees directly from each insurance company. Mr. Bastron spends approximately 5% of his time working in these various capacities.

A conflict of interest exists in that Mr. Bastron may be compensated for the sale of such products in addition to fees charged for advisory services, which creates an incentive to recommend those products based on compensation received rather than on the best interests of the client. Compensation may be in the form of cash compensation or non-cash rewards such as consulting, publications and conferences on practice management, information technology, business succession, regulatory compliance and marketing.

Northstar seeks to ensure that all recommendations are made in the best interest of the client, regardless of additional compensation made. Associates are required to disclose conflicts of interest when they exist and remind you that they may purchase any recommended product from other representatives or agents not associated with Northstar.

### *Additional Compensation*

Mr. Baston receives no additional compensation from non-client for advisory services provided.

### *Supervision*

Alexander R. Bastron is supervised by Steven B. Girard. Mr. Girard monitors trade activity for Mr. Bastron to ensure that investments meet the client's goals, objectives and risk tolerance, as well as any restrictions requested by the client. Mr. Girard can be reached by telephone at 800-220-2161 or by email at [steve@nstarfinco.com](mailto:steve@nstarfinco.com). Northstar also conducts periodic reviews of your accounts, communications and recommendations, via an independent 3<sup>rd</sup> party auditor.