

BROCHURE SUPPLEMENT – ALEXANDER R. BASTRON:

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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.

Education Background and Business Experience

Year of Birth: 1982

Education: University of Northern Iowa, 2005
Certified Financial Planner Designation, 2023

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. Bastron 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. Northstar also conducts periodic reviews of your accounts, communications, and recommendations, via an independent 3rd party auditor.