



IAPD Report

RALEIGH EDWARD KRAFT

CRD# 1036719

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

RALEIGH EDWARD KRAFT (CRD# 1036719)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/01/2025
IA	LPL FINANCIAL LLC	CRD# 6413	05/01/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **48** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	GROVE POINT ADVISORS, LLC	313171	Front Royal, VA	04/01/2021 - 05/01/2025
B	GROVE POINT INVESTMENTS, LLC	1763	Front Royal, VA	12/06/2016 - 05/01/2025
IA	H. BECK, INC.	1763	Front Royal, VA	12/07/2016 - 04/01/2021

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	3
Customer Dispute	1
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **48** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	05/01/2025
	Alabama	Agent	Approved	05/01/2025
	Alaska	Agent	Approved	05/01/2025
	Arizona	Agent	Approved	05/01/2025
	California	Agent	Approved	05/01/2025
	Colorado	Agent	Approved	05/01/2025
	Connecticut	Agent	Approved	05/01/2025
	Delaware	Agent	Approved	05/01/2025
	District of Columbia	Agent	Approved	05/01/2025
	Florida	Agent	Approved	05/06/2025
	Georgia	Agent	Approved	05/01/2025
	Hawaii	Agent	Approved	05/01/2025
	Idaho	Agent	Approved	05/01/2025



Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	05/01/2025
B	Indiana	Agent	Approved	05/01/2025
B	Iowa	Agent	Approved	05/01/2025
B	Kansas	Agent	Approved	05/01/2025
B	Kentucky	Agent	Approved	05/01/2025
B	Louisiana	Agent	Approved	05/01/2025
B	Maine	Agent	Approved	05/01/2025
B	Maryland	Agent	Approved	05/01/2025
B	Michigan	Agent	Approved	05/01/2025
B	Minnesota	Agent	Approved	05/01/2025
B	Mississippi	Agent	Approved	05/01/2025
B	Missouri	Agent	Approved	05/01/2025
B	Montana	Agent	Approved	05/01/2025
B	Nebraska	Agent	Approved	05/01/2025
B	Nevada	Agent	Approved	05/01/2025
B	New Hampshire	Agent	Approved	05/01/2025
B	New Jersey	Agent	Approved	05/01/2025
B	New Mexico	Agent	Approved	05/01/2025
B	New York	Agent	Approved	05/01/2025



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	05/01/2025
B	North Dakota	Agent	Approved	05/01/2025
B	Ohio	Agent	Approved	05/01/2025
B	Oklahoma	Agent	Approved	05/01/2025
B	Oregon	Agent	Approved	05/01/2025
B	Pennsylvania	Agent	Approved	05/01/2025
B	Rhode Island	Agent	Approved	05/01/2025
B	South Carolina	Agent	Approved	05/01/2025
B	South Dakota	Agent	Approved	05/01/2025
B	Texas	Agent	Approved	05/01/2025
B	Utah	Agent	Approved	05/01/2025
B	Vermont	Agent	Approved	05/01/2025
B	Virginia	Agent	Approved	05/01/2025
IA	Virginia	Investment Adviser Representative	Approved	05/01/2025
B	Washington	Agent	Approved	05/01/2025
B	West Virginia	Agent	Approved	05/01/2025
B	Wisconsin	Agent	Approved	05/01/2025
B	Wyoming	Agent	Approved	05/01/2025



Qualifications

Branch Office Locations

LPL FINANCIAL LLC

331 N ROYAL AV
FRONT ROYAL, VA 22630



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	12/11/2008

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/17/1982

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/17/1993
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/10/1982

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	04/01/2021 - 05/01/2025	GROVE POINT ADVISORS, LLC	CRD# 313171	Front Royal, VA
B	12/06/2016 - 05/01/2025	GROVE POINT INVESTMENTS, LLC	CRD# 1763	Front Royal, VA
IA	12/07/2016 - 04/01/2021	H. BECK, INC.	CRD# 1763	Front Royal, VA
IA	12/06/2016 - 12/06/2016	H. BECK, INC.	CRD# 1763	Front Royal, VA
B	04/25/2008 - 11/15/2016	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	FRONT ROYAL, VA
IA	04/25/2008 - 11/15/2016	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	FRONT ROYAL, VA
IA	01/18/2006 - 04/25/2008	OPPENHEIMER & CO. INC.	CRD# 249	FRONT ROYAL, VA
B	01/03/2003 - 04/25/2008	OPPENHEIMER & CO. INC.	CRD# 249	FRONT ROYAL, VA
IA	04/15/2003 - 12/11/2007	OPPENHEIMER ASSET MANAGEMENT	CRD# 105559	NEW YORK, NY
IA	01/03/2003 - 04/15/2003	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	FRONT ROYAL, VA
IA	12/05/1998 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	11/09/1998 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	05/11/1994 - 11/11/1998	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	07/17/1989 - 05/11/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/11/1988 - 08/07/1989	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY
B	03/05/1985 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	07/22/1983 - 02/28/1985	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	
B	04/29/1982 - 07/01/1983	JOHNSTON, LEMON & CO. INCORPORATED	CRD# 473	



Registration & Employment History

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	Front Royal, VA, United States
04/2021 - 05/2025	GROVE POINT ADVISORS, LLC	Mass Transfer - Investment Advisor Representative	Y	ROCKVILLE, MD, United States
04/2021 - 05/2025	Grove Point Investments, LLC	Registered Representative	Y	Rockville, MD, United States
12/2016 - 03/2021	H. BECK, INC.	REGISTERED REPRESENTATIVE / INVESTMENT ADVISOR	Y	Rockville, MD, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

- 05/01/2025-Kraft & Associates Wealth Management, Inc.- DBA for LPL Business (entity for LPL business)- INV Related- At Reported Business Location(s)- Start date 01/01/2008- 100 Hours Per Month- 100 Hours During Trading
- 05/01/2025-RALEIGH KRAFT- Farm- Not INV Related- Home based- Start date 04/01/1994- 20 Hours Per Month
- 05/01/2025-RALEIGH KRAFT- Real Estate Rental- INV Related- At Front Royal, VA- Start date 04/01/1994- 4 Hours Per Month



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	3
Customer Dispute	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source:	Individual
Regulatory Action Initiated By:	State of California Department of Insurance
Sanction(s) Sought:	Suspension
Date Initiated:	12/29/2019
Docket/Case Number:	OBS 3770-A
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Advisors Financial Network, LLC.
Product Type:	No Product
Allegations:	On or about August 12, 2014, in matter #2016052066501 before FINRA, respondent was suspended for two months from associating with FINRA. The disciplinary action taken by FINRA caused the State of California to file an order.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/03/2020



Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	California Insurance License
Duration:	5 Days
Start Date:	12/29/2019
End Date:	01/03/2020
Disclosure 2 of 3	
Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	09/27/2019
Docket/Case Number:	2016052066501
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Advisors Financial Network, LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Kraft consented to the sanctions and to the entry of findings that he caused his member firm to fail to review and retain emails concerning business-related matters among its books and records by using a personal email address to communicate with securities customers. The findings started that Kraft used the personal email account even though the firm's written procedures required him to use its email system when sending or receiving business related emails. Kraft also signed annual attestations stating that he was aware of, and abided by, the firm's policies and procedures, including specifically its policies governing email communications. Furthermore, Kraft used the personal email address to send correspondence to customers that required firm compliance review and pre-approval, and thereby circumvented its compliance procedures.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/27/2019
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

**Sanction 1 of 1**

Sanction Type: Suspension
Capacities Affected: All capacities
Duration: 60 days
Start Date: 10/21/2019
End Date: 12/19/2019

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 10/04/2019
Was any portion of penalty waived? No
Amount Waived:

Regulator Statement Fines paid in full October 4, 2019.

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 09/27/2019
Docket/Case Number: [2016052066501](#)
Employing firm when activity occurred which led to the regulatory action: Wells Fargo Advisors Financial Network, LLC

Product Type: No Product

Allegations: Without admitting or denying the findings, Kraft consented to the sanctions and to the entry of findings that he caused his member firm to fail to review and retain emails concerning business-related matters among its books and records by using a personal email address to communicate with securities customers. The findings started that Kraft used the personal email account even though the firm's written procedures required him to use its email system when sending or receiving business related emails. Kraft also signed annual attestations stating that he was aware of, and abided by, the firm's policies and procedures, including specifically its policies governing email communications. Furthermore, Kraft used the personal email address to send correspondence to customers that required firm compliance review and pre-approval, and thereby circumvented its compliance procedures.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

09/27/2019

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

All capacities

Duration:

60 Days

Start Date:

10/21/2019

End Date:

12/19/2019

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$5,000.00

Portion Levied against individual:

\$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived?

No

Amount Waived:

Disclosure 3 of 3

Reporting Source:

Individual

Regulatory Action Initiated By:

State of Nevada

Sanction(s) Sought:

Other: Administrative Consent Order

Date Initiated:

06/04/2018

Docket/Case Number:

S18-16

Employing firm when activity occurred which led to the regulatory action:

Wells Fargo Advisor Financial

Product Type:

No Product

Allegations:

Representative was disaffiliated with Wells Fargo Advisors Financial Network after multiply policy violations, including communicating with clients via a personal email account, conducting business via a personal computer, and sending correspondence to clients without compliance or supervisory approval.



Current Status:	Final
Action Appealed To:	
Date Appeal filed:	
Appeal Limitation Details:	Representative shall not act in a supervisory capacity for at least a period of twenty four months.
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/04/2018
Sanctions Ordered:	Other: Representative shall not act in a supervisory capacity for at least a period of twenty four months.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO FINANCIAL NETWORK, LLC
Allegations:	CLIENT ALLEGED SUITABILITY. (07/28/2009-06/21/2012)
Product Type:	Mutual Fund
Alleged Damages:	\$24,577.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/25/2012
Complaint Pending?	No
Status:	Denied
Status Date:	07/11/2012
Settlement Amount:	
Individual Contribution Amount:	



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: Wells Fargo Advisors Financial Network, LLC.

Termination Type: Discharged

Termination Date: 10/24/2016

Allegations: Wells Fargo Advisors Financial Network disaffiliated with Mr. Kraft after multiple policy violations, including communicating with clients via a personal email account, conducting business via a personal computer, and sending correspondence to clients without Compliance or supervisory approval.

Product Type: No Product

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Reporting Source: Individual

Firm Name: Wells Fargo Advisors Financial Network, LLC.

Termination Type: Discharged

Termination Date: 10/24/2016

Allegations: Wells Fargo Advisors Financial Network disaffiliated with Mr. Kraft after multiple policy violations, including communicating with clients via a personal email account, conducting business via a personal computer, and sending correspondence to clients without Compliance or supervisory approval.

Product Type: No Product



End of Report

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