



## IAPD Report

# JOHN JOSEPH MULLIGAN

CRD# 1190392

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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

### JOHN JOSEPH MULLIGAN (CRD# 1190392)

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 **07/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MULLIGAN CAPITAL, INC	CRD# 143406	04/05/2007

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	MULLIGAN CAPITAL MANAGEMENT LLC	143376	TIGARD, OR	04/05/2007 - 11/29/2012
B	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC	08/11/1995 - 04/10/2000
B	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO	06/12/1992 - 07/10/1995

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	2





## 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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **MULLIGAN CAPITAL, INC**  
Main Address: 7110 SW FIR LOOP  
STE 255  
TIGARD, OR 97223  
Firm ID#: 143406

	Regulator	Registration	Status	Date
	Arizona	Investment Adviser Representative	Approved	01/18/2024
	Oregon	Investment Adviser Representative	Approved	10/06/2008

#### Branch Office Locations

**MULLIGAN CAPITAL, INC**  
7110 SW Fir Loop #255  
TIGARD, OR 97223




## 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, 1 general industry/product exam, and 1 state securities law exam.**


#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/22/1996

#### General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	09/17/1983

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/07/1992

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

#### Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	04/05/2007 - 11/29/2012	MULLIGAN CAPITAL MANAGEMENT LLC	CRD# 143376	TIGARD, OR
B	08/11/1995 - 04/10/2000	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	06/12/1992 - 07/10/1995	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO
B	10/19/1983 - 07/09/1992	EQUITY SERVICES, INC.	CRD# 265	MONTPELIER, VT

### 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
09/2016 - Present	Mulligan Capital	President	Y	Tigard, OR, United States
01/2000 - 09/2016	MULLIGAN CAPITAL, INC	INVESTMENT ADVISOR	Y	SHERWOOD, OR, 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.

Mulligan Capital holds a State of Oregon resident Producer /Agency Insurance license

John Mulligan is an Oregon Licensed Producer

John Mulligan is the sole Managing Member of: The IRA QLAC Company, LLC -- QLAC Consulting, Sales, and Services.

John J Mulligan is a licensed insurance agent for client related insurance product work and services. In this separate capacity as an insurance agent, he may implement insurance recommendations for advisory clients for separate compensation. This may represent a conflict of interest to the extent that insurance product sales result in a commission being paid to John J Mulligan through Mulligan Capital, Inc.

Clients of MCI are not under any obligation (no obligation) as to the implementation of said insurance recommendations. The implementation of any or all recommendations is solely at the discretion of the client.



## 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	2

### 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 2

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** WASHINGTON

**Sanction(s) Sought:** Cease and Desist  
Monetary Penalty other than Fines

**Date Initiated:** 10/18/2013

**Docket/Case Number:** S-11-0770-11-SC01

**URL for Regulatory Action:**

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

**Product Type:** No Product

**Allegations:** ON OCTOBER 14, 2013, THE SECURITIES DIVISION ENTERED INTO A CONSENT ORDER WITH MULLIGAN CAPITAL, INC. ("MCI"), MULLIGAN CAPITAL MANAGEMENT, LLC ("MCM, LLC"), MULLIGAN PARTNERS, ERISA, LP ("MP, LP"), AND JOHN MULLIGAN ("MULLIGAN") (COLLECTIVELY, "RESPONDENTS"). THE DIVISION HAD PREVIOUSLY ISSUED A STATEMENT OF CHARGES AGAINST RESPONDENTS ON JANUARY 30, 2012, ALLEGING THAT, BEGINNING NO LATER THAN 2003, MCI PROVIDED INVESTMENT ADVISORY SERVICES TO WASHINGTON RESIDENTS WHILE NOT REGISTERED TO DO SO. THE STATEMENT OF CHARGES FURTHER ALLEGED THAT MP, LP, THROUGH MULLIGAN, OFFERED AND SOLD AT LEAST \$748,000 WORTH OF ITS LIMITED PARTNERSHIP INTERESTS TO AT LEAST TEN WASHINGTON RESIDENTS AND THAT MCM, LLC, IN ITS CAPACITY AS INVESTMENT ADVISOR TO MP, LP, ENTERED INTO PERFORMANCE-BASED FEE AGREEMENTS WITH AT LEAST SIX WASHINGTON INVESTORS WHO WERE NOT "QUALIFIED CLIENTS" AS



DEFINED IN RULE 205-3 OF THE INVESTMENT ADVISORS ACT OF 1940. THE SECURITIES DIVISION ALSO ALLEGED THAT MCI AND MCM, LLC MADE FALSE OR MISLEADING STATEMENTS IN DOCUMENTS FILED WITH THE SECURITIES DIVISION. THE STATEMENT OF CHARGES ALLEGED THAT THIS CONDUCT VIOLATED VARIOUS PROVISIONS OF THE SECURITIES ACT OF WASHINGTON (THE "ACT"). IN ENTERING INTO THE CONSENT ORDER, RESPONDENTS NEITHER ADMITTED NOR DENIED THE ALLEGATIONS, AGREED TO CEASE AND DESIST FROM VIOLATING THE ACT, AND WAIVED THEIR RIGHTS TO AN ADMINISTRATIVE HEARING ON AND TO JUDICIAL REVIEW OF THIS MATTER.

**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:** 10/18/2013

**Sanctions Ordered:** Cease and Desist  
Other: WASHINGTON DEPARTMENT OF FINANCIAL INSTITUTIONS INVESTIGATIVE COST RECOVERY OF \$25,000. PAID IN FULL ON OCTOBER 9, 2013. NOT A FINE OR PENALTY.

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Monetary Penalty other than Fines

**Total Amount:** \$25,000.00

**Portion Levied against individual:** \$25,000.00

**Payment Plan:** YES

**Is Payment Plan Current:** Yes

**Date Paid by individual:** 10/09/2013

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** WASHINGTON DEPARTMENT OF FINANCIAL INSTITUTIONS INVESTIGATIVE COST RECOVERY OF \$25,000. PAID IN FULL ON OCTOBER 9, 2013. "MONETARY PENALTY OTHER THAN FINES" CREATED BY THE CRD SYSTEM. NOT A FINE OR PENALTY.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** WASHINGTON DFI

**Sanction(s) Sought:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 01/30/2012

**Docket/Case Number:** S-11-0770-11-SC01



<b>Employing firm when activity occurred which led to the regulatory action:</b>	JOHN J MULLIGAN, MULLIGAN CAPITAL, INC.; MULLIGAN CAPITAL MANAGEMENT LLC; MULLIGAN PARTNERS ERISA LP
<b>Product Type:</b>	Other: PRIVATE LP
<b>Allegations:</b>	WA DFI ENTERED A STATEMENT OF CHARGES (S-11-0770-11-SC01) AGAINST MCI, MCM LLC, MPE LP AND JJM. THE STATEMENT OF CHARGES ALLEGED THAT THE PARTIES VIOLATED PROVISIONS OF THE WASHINGTON SECURITIES ACT. ON ADVICE OF COUNSEL, AND WITHOUT ADMITTING OR DENYING THE ALLEGATIONS MADE IN THE STATEMENT OF CHARGES, THE ENTITIES SETTLED BY CONSENT ORDER. PURSUANT TO THE CONSENT ORDER, MCI ,MCM LLC, MPE LP AND JJM AGREED TO PAY INVESTIGATION COSTS OF 25,000; HOWEVER, NO FINE WAS LEVIED AGAINST ANY ENTITY OR INDIVIDUAL
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	10/09/2013
<b>Sanctions Ordered:</b>	Cease and Desist
<b>Broker Statement</b>	ON ADVICE OF COUNSEL, AND WITHOUT ADMITTING OR DENYING THE ALLEGATIONS MADE IN THE STATEMENT OF CHARGES, MULLIGAN CAPITAL MANAGEMENT, LLC, MULLIGAN PARTNERS ERISA, LP, AND JOHN MULLIGAN EACH SETTLED THE MATTER BY CONSENT ORDER. PURSUANT TO THE CONSENT ORDER, MULLIGAN CAPITAL, INC., MULLIGAN CAPITAL MANAGEMENT, LLC, AND MULLIGAN PARTNERS ERISA, LP AGREED TO PAY INVESTIGATIVE COSTS TOTALING \$25,000; HOWEVER, NO FINE WAS LEVIED AGAINST ANY OF THE INDIVIDUALS OR ENTITIES.
<b>Disclosure 2 of 2</b>	
<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF NEBRASKA DEPARTMENT OF BANKING & FINANCE
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	05/24/2010
<b>Docket/Case Number:</b>	N/A
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MULLIGAN CAPITAL MANAGEMENT, LLC
<b>Product Type:</b>	Other: PRIVATE LIMITED PARTNERSHIP
<b>Allegations:</b>	UNDER THE FINAL CONSENT ORDER IT IS ALLEGED THAT ADVISOR PRINCIPAL JOHN J. MULLIGAN FAILED TO TIMELY FILE A REGULATION D NOTICE WITH THE NEBRASKA DEPARTMENT OF BANKING AND FINANCE SEEKING REGISTRATION EXEMPTION OF MULLIGAN CAPITAL



MANAGEMENT, LLC. THE VIOLATION, NEITHER CONFIRMED NOR DENIED, IS A RESULT OF THAT LATE FILING UNDER NEBRASKA REVISED STATUTE SECTION 8-1104.

**Current Status:** Final

**Resolution:** Consent

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

**Resolution Date:** 10/16/2011

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$2,500.00

**Portion Levied against individual:** \$2,500.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 09/27/2011

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement** THE CONSENT ORDER WAS ENTERED INTO BY MR. MULLIGAN AND THE STATE OF NEBRASKA DEPARTMENT OF BANKING AND FINANCE IN ORDER TO RESOLVE THE ISSUE OF THE LATE OR OTHERWISE UNTIMELY FILING OF THE REGULATION D NOTICE WHICH WAS DISCOVERED BY THE DEPARTMENT DURING A ROUTINE EXAMINATION OF MR. MULLIGAN'S FIRM.



## End of Report

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