IAPD Report

JOHN KEVIN MALONEY

CRD# 1248200

Section Title | **Page(s)**

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 KEVIN MALONEY (CRD# 1248200)

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 **12/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/21/2021
IA	LPL FINANCIAL LLC	CRD# 6413	07/21/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	WADDELL & REED	866	EDMOND, OK	06/12/1991 - 07/21/2021
B	WADDELL & REED	866	EDMOND, OK	06/06/1984 - 07/21/2021

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	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 **25** 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
B	FINRA	Direct Participation Programs	Approved	07/21/2021
B	FINRA	General Securities Representative	Approved	07/21/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	07/21/2021
B	Arizona	Agent	Approved	07/21/2021
B	Arkansas	Agent	Approved	06/28/2022
B	California	Agent	Approved	07/21/2021
IA	California	Investment Adviser Representative	Approved	07/21/2021
B	Colorado	Agent	Approved	07/21/2021
IA	Colorado	Investment Adviser Representative	Approved	07/21/2021
B	District of Columbia	Agent	Approved	06/14/2023
B	Florida	Agent	Approved	07/21/2021
IA	Florida	Investment Adviser Representative	Approved	07/21/2021
B	Georgia	Agent	Approved	07/21/2021

Qualifications

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	07/21/2021
B	Illinois	Agent	Approved	07/21/2021
IA	Illinois	Investment Adviser Representative	Approved	07/21/2021
B	Kansas	Agent	Approved	07/21/2021
IA	Kansas	Investment Adviser Representative	Approved	07/21/2021
B	Louisiana	Agent	Approved	12/18/2025
B	Maine	Agent	Approved	08/14/2024
B	Michigan	Agent	Approved	07/21/2021
IA	Michigan	Investment Adviser Representative	Approved	07/21/2021
B	Minnesota	Agent	Approved	07/21/2021
IA	Minnesota	Investment Adviser Representative	Approved	07/21/2021
B	Missouri	Agent	Approved	07/21/2021
IA	Missouri	Investment Adviser Representative	Approved	07/21/2021
B	Nevada	Agent	Approved	07/21/2021
IA	Nevada	Investment Adviser Representative	Approved	07/21/2021
B	New Mexico	Agent	Approved	07/21/2021
IA	New Mexico	Investment Adviser Representative	Approved	07/21/2021
B	North Carolina	Agent	Approved	07/21/2021
IA	North Carolina	Investment Adviser Representative	Approved	07/21/2021

Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	02/02/2022
B	Oklahoma	Agent	Approved	07/21/2021
IA	Oklahoma	Investment Adviser Representative	Approved	07/21/2021
B	Oregon	Agent	Approved	07/21/2021
B	South Carolina	Agent	Approved	07/21/2021
IA	South Carolina	Investment Adviser Representative	Approved	07/21/2021
B	Tennessee	Agent	Approved	07/21/2021
B	Texas	Agent	Approved	07/21/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	07/21/2021
B	Virginia	Agent	Approved	11/30/2022
B	Washington	Agent	Approved	07/21/2021
IA	Washington	Investment Adviser Representative	Approved	07/21/2021

Branch Office Locations

LPL FINANCIAL LLC
317 LILAC DRIVE, SUITE 130
EDMOND, OK 73034

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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	10/31/1994

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/08/1994
B	Direct Participation Programs Representative Examination (S22)	Series 22	11/16/1984
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/05/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/22/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/13/1984

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	06/12/1991 - 07/21/2021	WADDELL & REED	CRD# 866	EDMOND, OK
B	06/06/1984 - 07/21/2021	WADDELL & REED	CRD# 866	EDMOND, OK

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
07/2021 - Present	LPL Financial, LLC	Registered Representative	Y	EDMOND, OK, United States
02/2018 - Present	MALONEY & DENNIS WEALTH PARTNERS, LLC (DBA)	PRESIDENT	Y	EDMOND, OK, United States
06/1984 - 07/2021	VARIOUS INSURANCE CARRIERS FOR W&R INSURANCE AGENCIES	INSURANCE AGENT	Y	OKLAHOMA CITY, OK, United States
04/1984 - 07/2021	WADDELL & REED, INC.	ASSOCIATED PERSON	Y	EDMOND, OK, United States
08/2016 - 03/2019	OAKDALE MEADOWS ESTATES HOME OWNERS ASSOCIATION	DIRECTOR AT LARGE	N	OKLAHOMA CITY, OK, 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.

1) 07/22/2021 - Strategy Wealth / DBA for LPL Business (entity for LPL business) / Maloney & Dennis Wealth Partners, LLC / Investment Related / 160 HRS / MO / 317 Lilac Dr Suite 130 Edmond, OK 73034
2) 1/1/2018 - Maloney & Dennis Wealth Partners, LLC / DBA for LPL Business (entity for LPL business) / Investment Related / 40 HRS / MO / 1425 S Fretz Avenue, Edmond , OK, , 73003
3) 01/13/2022 - Associates of Clifton Park - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date: 07/22/2021 - 1 Hour Per Month/1 Hour During Securities Trading.
4) 01/13/2022 - CRUMP - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date: 07/22/2021 - 1 Hour Per Month/1 Hour During Securities Trading.

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	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	OKLAHOMA DEPARTMENT OF SECURITIES
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	SUSPENSION OF 10 DAYS; CIVIL PENALTY OF $5000.
Date Initiated:	06/16/2008
Docket/Case Number:	ODS FILE NO. 06-126
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	
Allegations:	MALONEY FAILED TO ENFORCE WRITTEN SUPERVISORY PROCEDURES TO PROPERLY SUPERVISE AGENT WHO WAS IMPROPERLY DIRECTING DISTRIBUTIONS(A SERIES OF SUBSTANTIALLY EQUAL PERIODIC PAYMENTS) FROM QUALIFIED RETIREMENT PLANS.
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?	No

Resolution Date:	07/18/2008
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	CIVIL PENALTY DUE BY AUGUST 18, 2008. MALONEY TO REVIEW AND COMPLETE CERTAIN FINRA PODCAST AND E-LEARNING COURSE. MALONEY TO OBTAIN A PASSING SCORE IN THE CHARTERED RETIREMENT PLANNING COUNSELOR (CRPC) PROFESSIONAL DESIGNATION PROGRAM BY JULY 18, 2008, OR, REQUALIFY AS A PRINCIPAL.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF OKLAHOMA DEPARTMENT OF SECURITIES
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	06/19/2008
Docket/Case Number:	06-126
Employing firm when activity occurred which led to the regulatory action:	WADDELL & REED INC.
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	STATE OF OKLAHOMA DEPARTMENT OF SECURITIES ALLEGES RR FAILED TO ENFORCE FIRM'S EXISTING WRITTEN SUPERVISORY PROCEDURES IN CONNECTION WITH THE ACTIVITIES OF RR LONNIE BROWN TO ASSURE COMPLIANCE WITH APPLICABLE SECURITIES LAWS, RULES AND REGULATIONS, IN VIOLATION OF 660:10-5-42 OF THE 1998 OKLAHOMA RULES. TIME PERIOD OF ALLEGED ACTIVITIES: 3/1/1999-4/20/2000. MR. MALONEY NEITHER ADMITTED OR DENIED THESE ALLEGATIONS
Current Status:	Final
Resolution:	Other
Resolution Date:	07/15/2008
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	COMPLETE ADDITIONAL EDUCATIONAL ACTIVITIES WITH IN 40 DAYS OF THE AGREEMENT AND PROVIDE A SWORN AFFIDAVIT IN WHICH HE ATTESTS THAT THE ACTIVITIES HAVE BEEN COMPLETED. ALSO, MUST COMPLETE CRPC PROGRAM AND PASS EXAM WITH IN ONE YEAR.
Sanction Details:	PAY CIVIL PENALTY OF $5000 TO THE DEPARTMENT WITH IN 30 DAYS OF THE EFFECTIVE DATE OF THE AGREEMENT. LISTEN TO FINRA PODCAST, "SENIORS SUPERVISORY CONSIDERATIONS", AND COMPLETE FINRA E-LEARNING COURSE, "SUPERVISORY CONSIDERATIONS FOR WORKING WITH SENIORS" WITH IN 30 DAYS OF EFFECTIVE DATE OF AGREEMENT AND SUBMIT SWORN AFFIDAVIT THAT IT IS COMPLETED WITH IN 40 DAYS OF THE EFFECTIVE DATE OF THE AGREEMENT. MUST COMPLETE CRPC PROGRAM AND PASS THE EXAM WITH IN ONE YEAR OF THE EFFECTIVE DATE OF THE AGREEMENT. IF FAILS TO COMPLETE CRPC PROGRAM WITH

	IN ONE YEAR, MUST REQUALIFY AS A PRINCIPAL BY RETAKING THE SERIES 24 WITH A REASONABLE TIME AFTER ONE YEAR AFTER THE EFFECTIVE DATE OF THE AGREEMENT.
Broker Statement	MATTER WAS RESOLVED BY AGREEMENT WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE STATE. IT IS IMPORTANT TO NOTE THAT THE LOSSES INCURRED BY CLIENTS WERE DUE PRIMARILY TO MARKET ACTION IN 200, 2001, AND 2002. ALTHOUGH REVIEWS WERE DELEGATED BY MR. MALONEY. HE RELIED PRIMARILY ON THE INDUSTRY STANDARD REFERENCE, THE PENSION ANSWER BOOK, FOR GUIDANCE IN RESPECT TO AVAILABLE WITHDRAWAL RATES. THERE WAS MINIMAL ALTERNATIVE GUIDANCE PROVIDED TO HIM PRIOR TO IRS REGULATION CHANGES IN 2003.

End of Report

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