User Guidance

www.adviserinfo.sec.gov

IAPD Report

JAMES ERIC KONUK

CRD# 1330830

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

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

JAMES ERIC KONUK (CRD# 1330830)

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 **12/12/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	02/28/2005
IA	LPL FINANCIAL LLC	CRD# 6413	03/10/2005

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	CITIGROUP GLOBAL MARKETS INC.	7059	NAPLES, FL	07/29/1998 - 03/24/2005
B	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	07/24/1998 - 03/24/2005
B	PAINEWEBBER INCORPORATED	8174	WEEHAWKEN, NJ	06/03/1994 - 07/20/1998

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
Customer Dispute	1

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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 **11** 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	General Securities Representative	Approved	02/28/2005
B	FINRA	General Securities Principal	Approved	06/20/2005
B	California	Agent	Approved	01/23/2012
B	Florida	Agent	Approved	02/28/2005
IA	Florida	Investment Adviser Representative	Approved	03/10/2005
B	Missouri	Agent	Approved	11/20/2020
B	Montana	Agent	Approved	02/28/2005
B	North Carolina	Agent	Approved	02/28/2005
B	Ohio	Agent	Approved	03/17/2005
B	Pennsylvania	Agent	Approved	01/29/2008
IA	Texas	Investment Adviser Representative	Restricted Approval	06/28/2017
B	Virginia	Agent	Approved	02/28/2005
B	Washington	Agent	Approved	03/03/2005

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Qualifications

	Regulator	Registration	Status	Date
B	Wyoming	Agent	Approved	01/22/2016

Branch Office Locations

LPL FINANCIAL LLC
NAPLES, FL

LPL FINANCIAL LLC
2410 LIGHTNING DRAW TRAIL
VICTOR, MT 59875

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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
B	General Securities Principal Examination (S24)	Series 24	06/18/2005

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	01/19/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/26/1993
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/1985

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.

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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	07/29/1998 - 03/24/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NAPLES, FL
B	07/24/1998 - 03/24/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	06/03/1994 - 07/20/1998	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	08/01/1986 - 06/29/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/23/1985 - 05/21/1986	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
02/2005 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	NAPLES, FL, 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. 02/28/2005 - PRIVATE WEALTH MANAGEMENT GROUP, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).

2. 1/23/2019 - Cherokee Lane Holdings, LLC - Investment Related - 5647 Naples Blvd, Naples, FL 34109 & Victor, MT 59875 - Real Estate Rental - Started 01/12/2010 - 2 Hours Per Month/0 Hours During Securities Trading - Single member, manager managed LLC to serve as holding company for real-estate.

3. 1/23/2019 - True West Holdings, LLC - Investment Related - 5647 Naples Blvd, Naples, FL 34109 & Victor, Montana - Started 09/05/2008 - 1 Hours Per Month/0 Hours During Securities Trading - Real Estate Holding company.

4. 11/25/2019 - Private Wealth Management Group, LLC - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Agent/Owner - Started 11/11/2019 - 5 Hours Per Month During Securities Trading.

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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.

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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
Customer Dispute	1

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:	SALOMON SMITH BARNEY INC.
Allegations:	ALLEGING FC MISMANAGED HER ACCOUNT BECAUSE HE DID NOT PROTECT HER PRINCIPAL AND THE ACCOUNT DROPPED 80% IN VALUE. ALLEGED DAMAGES - UNSPECIFIED
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES - UNSPECIFIED
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:	08/22/2002
Complaint Pending?	No
Status:	Denied
Status Date:	11/25/2002

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Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT TRANSFERRED A HIGHLY CONCENTRATED ACCOUNT TO MR. KONUK IN 1999, AND ASKED THAT HE PROVIDE INVESTMENT MANAGEMENT SERVICES TO DIVERSIFY HER PORTFOLIO, WITH "GROWTH" BEING HER PRIMARY INVESTMENT OBJECTIVE. CLIENT EXPRESSED CONSIDERABLE DISSATISFACTION WITH HER PRIOR FIRM'S "HANDS OFF" APPROACH TO THE MANAGEMENT OF HER ACCOUNT, WHICH AT THE TIME WAS INVESTED IN JUST 9 STOCKS, WITH NEARLY HALF THE TOTAL ACCOUNT BEING INVESTED IN ONLY 2 INDIVIDUAL STOCKS. CLIENT EXPRESSED TO MR. KONUK THAT SHE WANTED GREATER PARTICIPATION IN "NASDAQ AND TECHNOLOGY 'GROWTH STOCKS,'" MANY OF WHICH SHE HAD BEEN "WATCHING CLOSELY ON CNBC" AT THAT TIME. CLIENT WAS ADVISED BY MR. KONUK TO ESTABLISH AN ADVISORY ACCOUNT MAKING USE OF SMITH BARNEY'S "GUIDED PORTFOLIO MANAGEMENT (GPM)" PROGRAM WHICH LIMITED DISCRETIONARY PURCHASES OF SECURITIES TO ONLY "STRONG BUY" AND "BUY" RATINGS, AND APPLIED STRICT LIMITS TO WEIGHTINGS RELATING TO INDIVIDUAL HOLDINGS AND INDUSTRY SECTORS, AND WHEREBY THE ACCOUNT WAS MANAGED ON A "FEE ONLY" BASIS. UPON AGREEING TO ALL TERMS RELATING TO SMITH BARNEY'S GPM PROGRAM, CLIENT'S ACCOUNT WAS ALLOCATED IN STRICT COMPLIANCE WITH ALL TERMS AND CONDITIONS AS SET FORTH THEREWITH, AND HER ACCOUNT PREFORMED EXCEEDINGLY WELL RELEVANT TO BENCHMARKS THROUGH EARLY TO MID 2000. THEN, WHEN THE ACCOUNT BEGAN TO DECLINE IN VALUE IN ROUGH CORRELATION TO OVERALL MARKET DECLINES DURING THAT PERIOD, CLIENT BECAME EVER MORE DISENCHANTED AND AGITATED WITH THE ACCOUNT'S PERFORMANCE, AND EVEN THOUGH SHE WAS ADVISED BY MR. KONUK ON MULTIPLE OCCASIONS THAT IF SHE NO LONGER WANTED TO BE INVESTED IN THE STOCK MARKET, THAT THERE WERE A VARIETY OF OTHER, MORE CONSERVATIVE INVESTMENT VEHICLES THAT WERE AVAILABLE TO HER, SHE NONETHELESS CHOSE TO REMAIN FULLY INVESTED UNTIL NEAR THE MARKET'S BOTTOM, WHEN SHE FINALLY DECIDED THAT "SHE DID NOT WANT TO BE INVESTED IN STOCKS ANY LONGER," AND SOLD OUT. FROM THE ACCOUNT'S PEAK VALUE, THROUGH THE CLIENT'S SELL OUT, HER ACCOUNT DECLINED ROUGHLY IN LINE WITH THE NASDAQ COMPOSITE, AND OTHER MAJOR MARKET BENCHMARKS.

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End of Report

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