



IAPD Report

JOSEPH PATRICK WALSH JR

CRD# 1477994

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

JOSEPH PATRICK WALSH JR (CRD# 1477994)

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 **10/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	02/02/1995
IA	WALSH & ASSOCIATES, LLC	CRD# 144441	11/16/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	LPL FINANCIAL LLC	6413	FORT MILL, SC	04/12/1998 - 12/04/2013
IA	WALSH & ASSOCIATES, LTD.	122792	DEKALB, IL	11/05/1997 - 12/31/2012
B	MUTUAL SERVICE CORPORATION	4806	BOSTON, MA	01/13/1987 - 09/14/1990

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 **28** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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	02/02/1995
B	FINRA	General Securities Principal	Approved	05/02/1995
B	Arizona	Agent	Approved	07/25/2000
B	California	Agent	Approved	04/04/1996
B	Colorado	Agent	Approved	08/13/1998
B	Florida	Agent	Approved	01/14/1997
B	Georgia	Agent	Approved	02/26/2001
B	Illinois	Agent	Approved	02/07/1995
B	Indiana	Agent	Approved	06/03/2002
B	Kentucky	Agent	Approved	05/25/2018
B	Maine	Agent	Approved	01/18/1996
B	Maryland	Agent	Approved	01/03/1996
B	Massachusetts	Agent	Approved	02/12/2014



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	06/06/2002
B Minnesota	Agent	Approved	02/19/1998
B Missouri	Agent	Approved	11/27/2024
B Nevada	Agent	Approved	05/12/1997
B New Hampshire	Agent	Approved	07/29/2025
B New Mexico	Agent	Approved	10/13/2011
B North Carolina	Agent	Approved	10/06/2005
B Ohio	Agent	Approved	08/01/2000
B Oklahoma	Agent	Approved	07/26/2022
B Pennsylvania	Agent	Approved	02/16/1999
B South Carolina	Agent	Approved	10/03/2007
B Tennessee	Agent	Approved	06/02/2000
B Texas	Agent	Approved	10/27/2000
B Utah	Agent	Approved	07/23/2024
B Virginia	Agent	Approved	02/09/1995
B Wisconsin	Agent	Approved	04/11/2000
B Wyoming	Agent	Approved	09/20/2021

Branch Office Locations

LPL FINANCIAL LLC
2350 FRUITVILLE RD STE 201



Qualifications

SARASOTA, FL 34237-6114

LPL FINANCIAL LLC
128 LUBRANO DR
#100
ANNAPOLIS, MD 21401

LPL FINANCIAL LLC
444 E. HILLCREST DR, SUITE 230
DEKALB, IL 60115

LPL FINANCIAL LLC
1701 E. WOODFIELD RD STE 207
SCHAUMBURG, IL 60173-5127

Employment 2 of 2

Firm Name: **WALSH & ASSOCIATES, LLC**

Main Address: 2350 FRUITVILLE RD
SUITE 201
SARASOTA, FL 34237

Firm ID#: 144441

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/16/2012
IA Florida	Investment Adviser Representative	Approved	01/07/2013
IA Illinois	Investment Adviser Representative	Approved	02/19/2013
IA Texas	Investment Adviser Representative	Approved	12/03/2012

Branch Office Locations

WALSH & ASSOCIATES, LLC
2350 FRUITVILLE RD
SUITE 201
SARASOTA, FL 34237

WALSH & ASSOCIATES, LLC
444 E. Hillcrest Drive
Suite 230
DeKalb, IL 60115




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	05/01/1995

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/01/1995

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/1995
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/26/1993

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Analyst

This representative holds or did hold **2** 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	04/12/1998 - 12/04/2013	LPL FINANCIAL LLC	CRD# 6413	FORT MILL, SC
IA	11/05/1997 - 12/31/2012	WALSH & ASSOCIATES, LTD.	CRD# 122792	DEKALB, IL
B	01/13/1987 - 09/14/1990	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	03/19/1986 - 01/14/1987	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	

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
11/2012 - Present	WALSH & ASSOCIATES, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SARASOTA, FL, United States
12/1994 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	SARASOTA, 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.

- 04/10/2006: NO BUSINESS NAME - INV REL - 2639 FRUITVILLE RD STE 103, SARASOTA, FL 34237-5218 - NON-VARIABLE INSURANCE
- 04/09/2010: WALSH & ASSOCIATES - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - INV REL - 2639 FRUITVILLE RD STE 103, SARASOTA, FL 34237-5218
- 01/31/2012: SARASOTA COUNTY TECH INSTITUTE - NOT INV REL - TEACHER / INSTRUCTOR - 1% OF TIME SPENT - TEACH A COURSE ABOUT STARTING A SMALL BUSINESS IN THE ADULT COMMUNITY ENRICHMENT PROGRAM
- 02/02/2012: SARASOTA COUNTY TECH INSITUTE - NOT INV REL - TEACHER/INSTRUCTOR - 1% OF TIME SPENT - TEACH A COURSE ABOUT UNDERSTANDING SOCIAL SECURITY
- 05/03/2013: WALSH & ASSOCIATES, LLC - INV REL - 2639 FRUITVILLE RD STE 103, SARASOTA, FL 34237-5218 - REGISTERED INVESTMENT ADVISOR: WALSH & ASSOCIATES, LLC - 90% OF TIME SPENT - FINANCIAL PLANS, INVESTMENT MANAGEMENT FOR FEES BASED ON AUM
- 04/25/2014: WALSH & ASSOCIATES LTD. - INV REL - 2639 FRUITVILLE RD STE 103, SARASOTA, FL 34237-5218 -



Registration & Employment History



OTHER BUSINESS ACTIVITIES

REGISTERED INVESTMENT ADVISOR DBA: (HYBRID) WALSH & ASSOCIATES LTD. - 90% OF TIME SPENT - FINANCIAL PLANS, INVESTMENT MANAGEMENT FOR FEES BASED ON AUM

7. 11/17/2015 - Walsh Family Holdings I LLC - INV REL - 2350 Fruitville Rd, Sarasota, FL 34237 - Real Estate Rental - START 11/06/2015 - 2 HOURS PER MONTH, NONE DURING TRADING - 60% of the building will become the OSJ office and the other 40% will be rented out to a tenant (presently unknown).

8. 1/20/2016: Walsh & Associates - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 11/03/2015 - 160 Hours Per Month During Securities Trading - IAR.

9. 10/23/2019 - LTCI Partners - Investment related - At reported business location(s) - Non-Variable Insurance - start date:09/18/2019 - 1 hr/mo - 0 hrs during trading.

10. 9/1/2020 - Walsh Family Holdings II, LLC - Investment Related - Boca Grande, Florida 33921 - Real Estate Rental - Start Date: 8/6/2020 - 2 Hours Per Month/0 Hours During Securities Trading.

11. 09/30/2021 - Walsh Family Holdings III - Investment Related - Sarasota, FL - Real Estate Rental - Start Date: 09/29/2021 - 1 Hour Per Month/0 Hours During Securities Trading - Rental of residential single family home.



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:	Individual
Regulatory Action Initiated By:	STATE OF ILLINOIS DEPT OF SECURITIES
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	05/15/1991
Docket/Case Number:	9000247
Employing firm when activity occurred which led to the regulatory action:	NONE
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE REVOCATION OF REGISTRATION WAS DUE TO FAILURE TO FILE A REQUIRED DOCUMENT RENEWAL FORM AND PAY THE REQUIRED LATE FEE TO THE STATE OF ILLINOIS.
Current Status:	Final
Resolution:	Decision
Resolution Date:	11/05/1993
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	NOTHING
Broker Statement	THE ORDER OF REVOCATION WAS THE RESULT OF PERSONAL FAMILY



MATTERS AT THE TIME OF RENEWAL. IT IN NO WAY AFFECTED THE CLIENTS OR COMMUNITY. THE FEES HAVE BEEN PAID AND RENEWAL IS COMPLETE.



End of Report

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