IAPD Report

JOHN PROKOS JR

CRD# 1553091

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

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 PROKOS JR (CRD# 1553091)

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 **05/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/01/2020
IA	LPL FINANCIAL LLC	CRD# 6413	09/01/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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
B	LUCIA SECURITIES, LLC	37179	BOCA RATON, FL	09/09/2011 - 10/05/2020
IA	LUCIA CAPITAL GROUP	152396	BOCA RATON, FL	04/09/2010 - 10/05/2020
B	FIRST ALLIED SECURITIES, INC.	32444	BOCA RATON, FL	02/14/2008 - 12/15/2011

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	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 **24** 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 Principal	Approved	09/01/2020
B	FINRA	General Securities Representative	Approved	09/01/2020
B	Alabama	Agent	Approved	09/30/2020
B	Arizona	Agent	Approved	09/02/2020
B	California	Agent	Approved	09/01/2020
IA	California	Investment Adviser Representative	Approved	09/01/2020
B	Colorado	Agent	Approved	09/01/2020
B	Connecticut	Agent	Approved	09/01/2020
B	Florida	Agent	Approved	09/01/2020
IA	Florida	Investment Adviser Representative	Approved	09/15/2020
B	Georgia	Agent	Approved	09/01/2020
B	Illinois	Agent	Approved	09/01/2020
B	Indiana	Agent	Approved	12/14/2020

Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	09/30/2020
B	Maryland	Agent	Approved	09/01/2020
B	Massachusetts	Agent	Approved	09/30/2020
B	Michigan	Agent	Approved	09/11/2020
B	Minnesota	Agent	Approved	07/20/2023
B	Missouri	Agent	Approved	09/30/2020
B	New Jersey	Agent	Approved	09/01/2020
B	New York	Agent	Approved	09/01/2020
B	North Carolina	Agent	Approved	09/04/2020
B	Pennsylvania	Agent	Approved	12/14/2020
B	Rhode Island	Agent	Approved	04/09/2024
B	South Carolina	Agent	Approved	09/30/2020
B	Tennessee	Agent	Approved	09/01/2020
B	Texas	Agent	Approved	09/01/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	09/01/2020
B	Washington	Agent	Approved	11/23/2020

Branch Office Locations

LPL FINANCIAL LLC
16789 BERNARDO CENTER DR
SAN DIEGO, CA 92128

LPL FINANCIAL LLC
23123 STATE ROAD 7 STE 305C
BOCA RATON, FL 33428

Qualifications

LPL FINANCIAL LLC
900 SE OCEAN BLVD STE 130D
STUART, FL 34994

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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	03/21/1995

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	08/16/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/21/1995

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
B	09/09/2011 - 10/05/2020	LUCIA SECURITIES, LLC	CRD# 37179	BOCA RATON, FL
IA	04/09/2010 - 10/05/2020	LUCIA CAPITAL GROUP	CRD# 152396	BOCA RATON, FL
B	02/14/2008 - 12/15/2011	FIRST ALLIED SECURITIES, INC.	CRD# 32444	BOCA RATON, FL
IA	04/06/2009 - 11/10/2010	RAYMOND J. LUCIA COMPANIES, INC.	CRD# 115670	SAN DIEGO, CA
IA	03/14/2008 - 04/06/2009	FIRST ALLIED SECURITIES, INC.	CRD# 32444	BOCA RATON, FL
IA	04/28/2008 - 07/28/2008	RAYMOND J. LUCIA COMPANIES, INC.	CRD# 115670	SAN DIEGO, CA
IA	08/17/2007 - 02/19/2008	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	BOCA RATON, FL
B	01/29/1997 - 02/19/2008	SECURITIES AMERICA, INC.	CRD# 10205	PALM BEACH GARDEN:
IA	01/19/2006 - 02/15/2008	RAYMOND J. LUCIA COMPANIES, INC.	CRD# 115670	BOCA RATON, FL
IA	07/18/2000 - 08/17/2007	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	BOCA RATON, FL
IA	05/17/2004 - 03/07/2006	RJL ADVISORS	CRD# 128074	BOCA RATON, FL
B	07/24/1995 - 01/17/1997	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	03/31/1989 - 07/31/1995	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	06/05/1987 - 03/31/1989	LOWRY FINANCIAL SERVICES CORPORATION	CRD# 7291	

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
09/2020 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
09/2011 - Present	LUCIA SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
04/2010 - Present	RJL WEALTH MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SAN DIEGO, CA, United States
01/1989 - Present	SOKORP	OWNER	Y	BOCA RATON, FL, United States
06/2006 - 06/2019	YMCA OF BOCA RATON	VOLUNTEER MEMBER OF BOARD OF DIRECTORS	N	BOCA RATON, 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. 9/1/2020 - SOKORP, INC. DBA PROKOS FINANCIAL SERVICES - Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only - Started 1/1/89.

2. 9/1/2020 - LUCIA CAPITAL GROUP - Investment Related - At Reported Business Location(s) - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - Started 9/1/2020 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100%.

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
Customer Dispute	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LUCIA SECURITIES, LLC
Allegations:	Customers allege that investments made in 2014 were unsuitable for the customers' investment objectives and risk tolerance.
Product Type:	Real Estate Security
Alleged Damages:	$52,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-00924
Filing date of arbitration/CFTC reparation or civil litigation:	04/29/2024

Customer Complaint Information

Date Complaint Received:	04/29/2024
Complaint Pending?	No

Status:	Settled
Status Date:	08/19/2024
Settlement Amount:	$12,500.00
Individual Contribution Amount:	$0.00
Broker Statement	I was not named as a Respondent in this arbitration, and I believe I committed no wrongdoing. As I do with all customers, I believe I provided excellent, tailored service to the customers. I believe the broker-dealer would have prevailed in the arbitration on the merits but chose to settle for a nominal sum which was well under the cost of, and risk involved in, an arbitration hearing. I stand by my recommendations and the service I provided to the customers. I made no monetary contribution to the settlement.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Lucia Securities, LLC
Allegations:	The customer alleges that potential risks of illiquidity were not disclosed and that the investment was unsuitable based on risk tolerance. Activity period - May 2015 - August 20, 2021
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified, but reasonably believed to exceed $5,000.00
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:	06/12/2021
Complaint Pending?	No
Status:	Denied
Status Date:	08/20/2021
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Broker asserts that all potential risks of the investment were disclosed in detail at the point of sale in 2015 and the investment was a suitable recommendation at the time it was made. Broker denies all allegations.

End of Report

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