IAPD Report

JEFFREY KENNETH STARK

CRD# 1579055

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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

JEFFREY KENNETH STARK (CRD# 1579055)

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 **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/29/2017
IA	LPL FINANCIAL LLC	CRD# 6413	11/29/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** 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	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	CLAREMONT, CA	04/11/2006 - 11/29/2017
B	NATIONAL PLANNING CORPORATION	29604	CLAREMONT, CA	03/01/2000 - 11/29/2017
B	ASSOCIATED SECURITIES CORP.	12969	BOSTON, MA	07/18/1989 - 03/13/2000

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? **No**

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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 **32** 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	11/29/2017
B	FINRA	General Securities Representative	Approved	11/29/2017
B	FINRA	Municipal Fund	Approved	11/29/2017
B	Arizona	Agent	Approved	11/29/2017
B	Arkansas	Agent	Approved	11/29/2017
B	California	Agent	Approved	11/29/2017
IA	California	Investment Adviser Representative	Approved	11/29/2017
B	Colorado	Agent	Approved	11/29/2017
IA	Colorado	Investment Adviser Representative	Approved	11/29/2017
B	Florida	Agent	Approved	01/24/2018
B	Georgia	Agent	Approved	11/29/2017
IA	Georgia	Investment Adviser Representative	Approved	11/29/2017
B	Idaho	Agent	Approved	11/29/2017

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Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	11/29/2017
IA	Illinois	Investment Adviser Representative	Approved	11/29/2017
B	Kentucky	Agent	Approved	11/26/2025
B	Louisiana	Agent	Approved	10/22/2020
B	Maryland	Agent	Approved	11/09/2022
B	Massachusetts	Agent	Approved	11/29/2017
B	Michigan	Agent	Approved	11/29/2017
B	Minnesota	Agent	Approved	11/29/2017
B	Mississippi	Agent	Approved	04/14/2021
B	Montana	Agent	Approved	11/29/2017
B	Nevada	Agent	Approved	11/29/2017
B	New Hampshire	Agent	Approved	09/02/2021
B	New Mexico	Agent	Approved	06/23/2022
B	New York	Agent	Approved	11/29/2017
B	North Carolina	Agent	Approved	11/29/2017
IA	North Carolina	Investment Adviser Representative	Approved	11/29/2017
B	Ohio	Agent	Approved	01/18/2018
B	Oklahoma	Agent	Approved	11/29/2017
B	Oregon	Agent	Approved	11/29/2017

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Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	11/29/2017
IA	Pennsylvania	Investment Adviser Representative	Approved	11/29/2017
B	South Carolina	Agent	Approved	09/14/2021
B	Tennessee	Agent	Approved	02/24/2021
B	Texas	Agent	Approved	11/29/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	11/29/2017
B	Virginia	Agent	Approved	11/29/2017
B	Washington	Agent	Approved	11/29/2017
B	Wisconsin	Agent	Approved	11/09/2018
B	Wyoming	Agent	Approved	11/29/2017

Branch Office Locations

LPL FINANCIAL LLC
246 N INDIAN HILL BLVD
CLAREMONT, CA 91711

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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 2 principal/supervisory exams, 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	01/02/2023
B	Municipal Fund Securities Principal Examination (S51)	Series 51	10/27/2004

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	11/15/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1995

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.

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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	04/11/2006 - 11/29/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	CLAREMONT, CA
B	03/01/2000 - 11/29/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	CLAREMONT, CA
B	07/18/1989 - 03/13/2000	ASSOCIATED SECURITIES CORP.	CRD# 12969	BOSTON, MA
B	11/21/1986 - 07/26/1989	WADDELL & REED, INC.	CRD# 866	OVERLAND PARK, KS

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
11/2017 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	CLAREMONT, CA, United States
03/2000 - 11/2017	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	CLAREMONT, CA, 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. 11/29/2017 - Jeffrey K Stark & Associates - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Owner Agent(Life, Fixed annuities, health) - start date 2007 - 1% time spent per month.

2. 11/29/2017 - Fukagawa, Stark & Associates - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Advisor offers investment and financial planning along with managed and brokerage account under this name - start date 7/1/1994 - 99% time spent per month.

3. 11/29/2017 - No Business Name - Not Investment Related - At Reported Business Location(s) - Act in a Fiduciary Capacity - Trustee on Family Account - start date 1996 - 1% time spent per month.

4. 11/15/2019 - Stark Wealth Management - Investment related - At reported business location(s) - DBA for LPL Business (entity for LPL business) - start date:11/13/2019 - 40 hrs/mo - 5 hrs during trading.

5. 8/17/2020 - Jeffrey K Stark and Associates - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 01/03/2000 - 1 Hour Per Month During Securities Trading.

6. 1/28/2021 - Stark Wealth Management Inc. - Investment Related - At Reported Business Location(s) - DBA for LPL Business

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

(entity for LPL business) - Start Date: 1/4/2021 - 160 Hours Per Month/8 Hours During Securities Trading.

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End of Report

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