



## IAPD Report

# DINO JOHN LOPRESTI

CRD# 1613142

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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

### DINO JOHN LOPRESTI (CRD# 1613142)

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 **11/25/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	TREK FINANCIAL	CRD# 109376	08/03/2018

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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>IA</b>	HORTER INVESTMENT MANAGEMENT, LLC	119880	MEDINA, OH	10/15/2010 - 08/03/2018

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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **TREK FINANCIAL**  
Main Address: 8355 EAST HARTFORD DRIVE  
SUITE 105  
SCOTTSDALE, AZ 85255  
Firm ID#: 109376

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	08/03/2018
IA Virginia	Investment Adviser Representative	Approved	10/02/2018

### Branch Office Locations

**TREK FINANCIAL**  
5650 Blazer Pkwy.  
Suite 101  
Dublin, OH 43017

**TREK FINANCIAL**  
1201 Barnhart Rd. Ste A  
Troy, OH 45373

**TREK FINANCIAL**  
3745 Medina Rd., Ste G  
Medina, OH 44256

**TREK FINANCIAL**  
119 CREEKSIDE LANE  
WINCHESTER, VA 22602



## 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 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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No information reported.

#### State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/20/2010
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



### 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	10/15/2010 - 08/03/2018	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	MEDINA, OH

#### 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
08/2018 - Present	Trek Financial	Investment Adviser Representative	Y	Scottsdale, AZ, United States
07/2010 - Present	LoPresti Financial Group	President	Y	Medina, OH, United States
10/2010 - 08/2018	HORTER INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	MEDINA, OH, 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.

Name of the other business: LoPresti Financial Group

Investment-related:

Address of the other business: 5000 Foote Rd Suite 203 Medina, OH 44256

Nature of the other business: Fixed Index Annuities through Midland National Life Insurance

Your position: President

Title or relationship with the other business: Agent for Midland. President of LoPresti Financial Group

The start date of your relationship: July 2010

The approximate number of hours/month you devote to the other business: 20/month

The number of hours you devote to the other business during securities trading hours: 20/month

Briefly describe your duties relating to the other business: Offer fixed index annuities when appropriate as part of the clients total investment plan



## 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NEW YORK STOCK EXCHANGE
<b>Sanction(s) Sought:</b>	Bar Censure
<b>Date Initiated:</b>	08/07/1991
<b>Docket/Case Number:</b>	HPD# 91-79
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	No Product
<b>Allegations:</b>	**8/7/91** DINO JOHN LOPRESTI, A FORMER REGISTERED REPRESENTATIVE WITH PAINWEBBER, INCORPORATED, VIOLATED EXCHANGE RULE 472(A) BY PLACING TWO NEWSPAPER ADVERTISEMENTS WITHOUT OBTAINING THE REQUISITE APPROVAL FROM HIS MEMBER ORGANIZATION EMPLOYER; VIOLATED EXCHANGE RULE 476(A)(4) BY MAKING MATERIAL MISSTATEMENTS TO THE EXCHANGE; AND VIOLATED EXCHANGE RULE 477 BY FAILING TO COMPLY WITH A REQUEST BY THE EXCHANGE THAT HE TESTIFY REGARDING CERTAIN MATTERS WHICH OCCURRED PRIOR TO THE TERMINATION OF HIS STATUS AS A REGISTERED EMPLOYEE OF A MEMBER ORGANIZATION ----- CONSENT TO A CENSURE AND A FIFTEEN(15) MONTH BAR.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision



**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:**

08/07/1991

**Sanctions Ordered:**

Bar (Temporary/Time Limited)

Censure

Other: \*\*8/7/91\*\* DINO JOHN LOPRESTI, A FORMER REGISTERED REPRESENTATIVE WITH PAINWEBBER, INCORPORATED, VIOLATED EXCHANGE RULE 472(A) BY PLACING TWO NEWSPAPER ADVERTISEMENTS WITHOUT OBTAINING THE REQUISITE APPROVAL FROM HIS MEMBER ORGANIZATION EMPLOYER; VIOLATED EXCHANGE RULE 476(A)(4) BY MAKING MATERIAL MISSTATEMENTS TO THE EXCHANGE; AND VIOLATED EXCHANGE RULE 477 BY FAILING TO COMPLY WITH A REQUEST BY THE EXCHANGE THAT HE TESTIFY REGARDING CERTAIN MATTERS WHICH OCCURRED PRIOR TO THE TERMINATION OF HIS STATUS AS A REGISTERED EMPLOYEE OF A MEMBER ORGANIZATION ----- CONSENT TO A CENSURE AND A FIFTEEN(15) MONTH BAR.

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

No



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

No

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

No

**Sanction 1 of 1**

**Sanction Type:** Bar (Temporary/Time Limited)

**Capacities Affected:** ALL CAPACITIES

**Duration:** 15 MONTH

**Start Date:**

**End Date:**

**Regulator Statement**

**\*\*8/7/91\*\* DINO JOHN LOPRESTI, A FORMER REGISTERED REPRESENTATIVE WITH PAINWEBBER, INCORPORATED, VIOLATED EXCHANGE RULE 472(A) BY PLACING TWO NEWSPAPER ADVERTISEMENTS WITHOUT OBTAINING THE REQUISITE APPROVAL FROM HIS MEMBER ORGANIZATION EMPLOYER; VIOLATED EXCHANGE RULE 476(A)(4) BY MAKING MATERIAL MISSTATEMENTS TO THE EXCHANGE; AND VIOLATED EXCHANGE RULE 477 BY FAILING TO COMPLY WITH A REQUEST BY THE EXCHANGE THAT HE TESTIFY REGARDING CERTAIN MATTERS WHICH OCCURRED PRIOR TO THE TERMINATION OF HIS STATUS AS A REGISTERED EMPLOYEE OF A MEMBER ORGANIZATION ----- CONSENT TO A CENSURE AND A FIFTEEN(15) MONTH BAR.**



<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	NEW YORK STOCK EXCHANGE
<b>Sanction(s) Sought:</b>	Bar Censure
<b>Date Initiated:</b>	08/07/1991
<b>Docket/Case Number:</b>	EXCHANGE HEARING PANEL DECISION 91-79
<b>Employing firm when activity occurred which led to the regulatory action:</b>	PAINWEBBER, INCORPORATED
<b>Product Type:</b>	No Product
<b>Allegations:</b>	DINO JOHN LOPRESTI, A FORMER REGISTERED REPRESENTATIVE WITH PAINWEBBER INCORPORATED, VIOLATED EXCHANGE RULE 472(A) BY PLACING TWO NEWSPAPER ADVERTISEMENTS WITHOUT OBTAINING THE REQUISITE APPROVAL FROM HIS MEMBER ORGANIZATION EMPLOYER; VIOLATED EXCHANGE RULE 476(A)(4) BY MAKING MATERIAL MISSTATEMENTS TO THE EXCHANGE; AND VIOLATED EXCHANGE RULE 477 BY FAILING TO COMPLY WITH A REQUEST BY THE EXCHANGE THAT HE TESTIFY REGARDING CERTAIN MATTERS WHICH OCCURRED PRIOR TO THE TERMINATION OF HIS STATUS AS A REGISTERED EMPLOYEE OF A MEMBER ORGANIZATION----CONSENT TO A CENSURE AND A FIFTEEN (15) MONTH BAR.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	08/07/1991
<b>Sanctions Ordered:</b>	Bar (Temporary/Time Limited) Censure
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Bar (Temporary/Time Limited)
<b>Capacities Affected:</b>	GENERAL SECURITIES REPRESENTATIVE
<b>Duration:</b>	15 MONTHS
<b>Start Date:</b>	08/07/1991
<b>End Date:</b>	11/07/1991
<b>Broker Statement</b>	THE TWO ADVERTISEMENTS IN QUESTION WERE FOR CD'S. THE ADVERTISEMENTS WERE SIGNED OFF AND APPROVED BY A PREVIOUS BRANCH MANAGER. I ASSUMED THE ADS WERE APPROVED BASED ON THE PREMISE THE ADS HAD BEEN APPROVED BY THE PREVIOUS ACTING BRANCH MANAGER.



## End of Report

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