IAPD Report

SEAN EDWARD KILMARTIN

CRD# 1617020

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

SEAN EDWARD KILMARTIN (CRD# 1617020)

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 **02/26/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	R.M. STARK & CO., INC.	CRD# 7612	12/06/1996
IA	STARK FINANCIAL ADVISERS, INC.	CRD# 121213	01/20/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	DICKINSON & CO.	689	DES MOINES, IA	07/18/1994 - 10/25/1996
B	F.N. WOLF & CO., INC.	13051	DES MOINES, IA	05/16/1988 - 07/27/1994
B	SHERWOOD CAPITAL, INC.	10474	DES MOINES, IA	02/26/1987 - 05/19/1988

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

Employment 1 of 2

Firm Name: **R.M. STARK & CO., INC.**

Main Address: 730 S FEDERAL HWY
LAKE WORTH BEACH, FL 33460-4955

Firm ID#: 7612

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/06/1996
B	FINRA	General Securities Representative	Approved	12/06/1996
B	FINRA	Registered Options Principal	Approved	12/06/1996
B	FINRA	Operations Professional	Approved	10/17/2011
B	Alabama	Agent	Approved	11/27/2002
B	California	Agent	Approved	01/03/2013
B	Florida	Agent	Approved	04/17/1997
B	Georgia	Agent	Approved	06/06/2001
B	Idaho	Agent	Approved	04/02/2020
B	Kentucky	Agent	Approved	01/24/2007
B	Louisiana	Agent	Approved	02/26/2024
B	Maryland	Agent	Approved	10/29/2018
B	Michigan	Agent	Approved	11/20/2017

Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	01/29/1997
B	New Mexico	Agent	Approved	01/05/2010
B	New York	Agent	Approved	06/25/2001
B	North Carolina	Agent	Approved	12/18/1996
B	Ohio	Agent	Approved	01/06/1997
B	Pennsylvania	Agent	Approved	02/02/1999
B	South Carolina	Agent	Approved	01/02/1997
B	Tennessee	Agent	Approved	07/18/2023
B	Texas	Agent	Approved	10/08/2020
B	Virginia	Agent	Approved	06/05/2001
B	Washington	Agent	Approved	03/17/2016

Branch Office Locations

10042 PARK CEDAR DR STE A
CHARLOTTE, NC 28210-8917

Employment 2 of 2

Firm Name: **STARK FINANCIAL ADVISERS, INC.**

Main Address: 16950 U.S. HIGHWAY 441 NORTH
OKEECHOBEE, FL 34972

Firm ID#: 121213

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/28/2023
IA	North Carolina	Investment Adviser Representative	Approved	01/20/2015

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

STARK FINANCIAL ADVISERS, INC.
10042 PARK CEDAR DR
SUITE A
CHARLOTTE, NC 28210

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	03/25/1996
B	General Securities Principal Examination (S24)	Series 24	09/12/1988

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/21/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/14/2015
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/26/1987

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
B	07/18/1994 - 10/25/1996	DICKINSON & CO.	CRD# 689	DES MOINES, IA
B	05/16/1988 - 07/27/1994	F.N. WOLF & CO., INC.	CRD# 13051	
B	02/26/1987 - 05/19/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	

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
01/2015 - Present	Stark Financial Advisers, Inc.	Investment Adviser Representative	Y	Charlotte, NC, United States
10/1996 - Present	R.M. STARK & CO., INC.	Branch Office Manager	Y	CHARLOTTE, NC, 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.

USASelect Basketball, LLC / AAU- Not investment-related -- 10042 Park Cedar Dr., Ste. A, Charlotte, NC, 28210 - USASelect Basketball, LLC was formed to assist American basketball players find professional opportunities internationally - Co-Founder, Member, General Manager, and Head Coach - 09/2004 - existed in partnership since 01/2000 - 20 hours/month - 2 during trading hours - a formalized hobby of scheduling camps/European games for athletes who have completed their college/NCAA eligibility. The goal is for each player to join a European professional basketball team. AAU runs youth sports events.

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:	Regulator
Employing firm when activities occurred which led to the complaint:	F.N. WOLF & CO., INC.
Allegations:	MISREPRESENTATION; OMISSION OF FACTS; SUITABILITY; BRCH OF FIDUCIARY DT
Product Type:	
Alleged Damages:	$129,873.68

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-00735
Date Notice/Process Served:	03/18/1993
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	01/27/1994
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $112,874.00 JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: F.N. WOLF & CO., INC.

Allegations: VIOLATIONS OF JOBS 20 OF SECURITIES ACT
AMOUNT $129,873

Product Type:

Alleged Damages: $129,873.68

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 93-00735

Date Notice/Process Served: 03/18/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 01/27/1994

Monetary Compensation Amount: $112,874.00

Individual Contribution Amount: $0.00

Broker Statement

AWARD OF $112,874.00 JOINTLY AND SEVERALLY.
OTHER MONETARY RELIEF, INTEREST.
CLIENT WAS INVESTOR WITH OVER 10 YEARS OF
SPECULATION EXPERIENCE $1 MILLION NET WORTH AND $100,000 &
ANNUAL INCOME, CONTROLLED SEVERAL ACCOUNTS THAT WERE VERY
DIVERSE BALANCED. CLIENT ACKNOWLEDGED RISK AND
ACKNOWLEDGED ALL
TRADES. PROVIDED ME WITH MANY REFERRALS, FAMILY ACCOUNTS THE
TREATMENT ACCOUNTS. I KNEW CUSTOMER WELL, 5 PERSONAL VISITS
AND AVERAGED 3 PHONE CALLS PE WEEK. AS NEGATIVE PRESS
CONCERNING FIRM INCREASED HE REQUESTED GUARANTEES. I
EXECUTED
OUTSTANDING DUE DILIGENCE INCLUDING VISITS TO CERTAIN
HEADQUARTERS I FEEL THE AWARD TO BE MISLEADING. MY FIRM AGREED
TO PAY ALL COSTS AND MY FIRM FOUND I ACTED CORRECTLY AND
REQUESTED NO RETRIBUTION.

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	F.N. WOLF & CO., INC.
Allegations:	OMISSION OF FACTS; MISREPRESENTATION; SUITABILITY; BRCH OF FIDUCIARY DT
Product Type:	
Alleged Damages:	$21,266.76

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-00648
Date Notice/Process Served:	03/01/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/14/1993
Disposition Detail:	CASE IS CLOSED, SETTLED Not Provided

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	F.N. WOLF & CO., INC.
Allegations:	VIOLATION OF SECTION 10(B), 20 OF SECURITIES ACT OF 1934 AND RULE 10B-5 OF THE SEC-ALLEGED AMOUNT $21,266.76
Product Type:	
Alleged Damages:	$21,266.76

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	National Association of Securities Dealers, Inc.; 93-00648
Date Notice/Process Served:	03/01/1993
Arbitration Pending?	No

Disposition:	Settled
Disposition Date:	09/14/1993
Monetary Compensation Amount:	$12,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLED PRIOR TO ARBITRATION WITHOUT ADMISSION OF FAULT OF LIABILITY OF ANY KIND FOR $12,000. AMOUNT OF SETTLEMENT PAID IN FULL BY FN WOLF & CO. INC. CLIENT WAS REFERRED FROM ANOTHER CUSTOMER. CLIENT WAS A CIA & SOPHISTICATED EDUCATED INVESTOR WHO WAS INTERESTED IN INVESTING A SPECIFIC DOLLAR AMENDMENT IN THE STOCK IN QUESTION. I SUGGESTED A MORE DIVERSE PORTFOLIO BUT CLIENT DECIDED. I PERFORMED EXCELLENT DUE DILIGENCE ON THE STOCK IN QUESTION INCLUDI A PERSONAL VISIT TO THE COMPANY'S HEADQUARTERS & PRESENTED A BLANCED VIEW OF T THE INVESTMENT. MY FORMER FIRM WAS EXPERIENCING NEGATIVE PRESS, WHEN CLIENT HEARD NEGATIVE PUBLICITY HE THREATENED ME WITH ACTION STATEMENT MY FIRM TO GUARANTEE HIS INVESTMENT. AT NO TIME DID I OR MY FIRM GUARANTEE THE INVESTMENT WHEN CLIENT EXPERIENCED HE PROCEEDED WITH AN ARBITRATION INVESTMENT. AT NO WHICH WAS SETTLED PRIOR TO ARBITRATION WITHOUT FAULT OR LIABILITY. MY FORMER FIRM FOUND THAT I ACTED APPROPRIATELY AND REQUESTED NO PERSONAL REGISTRATION. MY FORMER FIRM PAID THE ENTIRE AMOUNT OF THE SETTLEMENT.

End of Report

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