



IAPD Report

John Anthony Casconi

CRD# 1628447

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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

John Anthony Casconi (CRD# 1628447)

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 **12/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MONEY CONCEPTS CAPITAL CORP	CRD# 12963	02/17/2009
IA	MONEY CONCEPTS ADVISORY SERVICE	CRD# 12963	02/18/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	NRP ADVISORS, INC.	141430	LOUISVILLE, KY	12/20/2007 - 03/19/2009
B	NRP FINANCIAL, INC.	103717	LOUISVILLE, KY	12/17/2007 - 03/19/2009
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	LOUISVILLE, KY	07/08/2002 - 12/19/2007

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	4
Termination	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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MONEY CONCEPTS ADVISORY SERVICE**
Main Address: 11440 JOG ROAD
PALM BEACH GARDENS, FL 33418
Firm ID#: 12963

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	02/17/2009
B	FINRA	General Securities Representative	Approved	02/17/2009
B	Alabama	Agent	Approved	02/17/2009
B	California	Agent	Approved	02/18/2009
B	Florida	Agent	Approved	05/29/2015
B	Indiana	Agent	Approved	03/20/2009
B	Kentucky	Agent	Approved	02/18/2009
IA	Kentucky	Investment Adviser Representative	Approved	02/18/2009
B	Michigan	Agent	Approved	03/29/2016
B	New Jersey	Agent	Approved	02/17/2009
B	New York	Agent	Approved	02/17/2009
B	North Carolina	Agent	Approved	08/31/2015
B	Ohio	Agent	Approved	02/17/2009



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	02/17/2009
B Texas	Agent	Approved	12/20/2023
B Virginia	Agent	Approved	09/14/2018

Branch Office Locations

MONEY CONCEPTS ADVISORY SERVICE
323 TOWNEPARK CIRCLE
LOUISVILLE, KY 40243




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	05/11/2001

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/21/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/01/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/02/1987

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
IA	12/20/2007 - 03/19/2009	NRP ADVISORS, INC.	CRD# 141430	LOUISVILLE, KY
B	12/17/2007 - 03/19/2009	NRP FINANCIAL, INC.	CRD# 103717	LOUISVILLE, KY
IA	07/08/2002 - 12/19/2007	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	LOUISVILLE, KY
B	09/17/1998 - 12/19/2007	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	LOUISVILLE, KY
B	02/21/1997 - 08/28/1998	WHEAT, FIRST SECURITIES, INC.	CRD# 6124	CHARLOTTE, NC
B	03/25/1987 - 02/20/1997	J.J.B. HILLIARD, W.L. LYONS, INC.	CRD# 453	LOUISVILLE, KY

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
03/2023 - Present	Team Casconi	Partner	N	Louisville, KY, United States
02/2009 - Present	MONEY CONCEPTS CAPITAL CORP	REG. REP.	Y	PALM BEACH GARDENS, FL, United States
09/1998 - Present	CASCONI GROUP	OFFICER-CEO	Y	LOUISVILLE, KY, United States
01/1990 - Present	LENOX PROPERTIES	OWNER, PROPRIETOR	Y	LOUISVILLE, KY, 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. CASCONI MANAGEMENT INC., CORP., 10531-B TIMBERWOOD CIRCLE, LOUISVILLE, KY 40223, FIXED LIFE AND LTC, OWNER OF SHAREHOLDER, 80 HRS. MO. DURING SECURITIES TRADING.
- 2.PRIVATE CLIENT GROUP/50% OWNER/INVESTMENT RELATED/96 HRS. A MONTH DURING SECURITIES TRADING HRS
- 3.BLUEGRASS ASSET MANAGEMENT, LLC, OWNER Non-investment related, 60% time spent on activity during securities hrs.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

4. Team Casconi, 12123 Shelbyville Road, Ste. 100-189, Louisville, KY 40243. Paterner, Buying Race Horses, Non-investment related, 1-10% time spent on activity during non-securities hrs.
5. Pickleball 4 Others ,Inc, , since 11/2025, 3812 Flowering Grove Court, Louisville, KS 40241. Non-investment related, 1-10% time spent on activity during non-securities hrs.



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	4
Termination	1

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 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC

Allegations: : BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT; COMMON LAW FRAUD; FRAUDULENT CONCEALMENT; NEGLIGENCE; NEGLIGENT MISREPRESENTATION/OMISSION; FAILURE TO SUPERVISE AND CONTROL; VIOLATION OF STATE SECURITIES LAWS AND NASD RULES OF FAIR PRACTICE; AND UNSUITABILITY.

Product Type: Annuity-Variable

Alleged Damages: \$450,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09-04769

Date Notice/Process Served: 08/21/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/19/2010



Monetary Compensation Amount: \$95,000.00

Individual Contribution Amount: \$95,000.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC.

Allegations: BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT; COMMON LAW FRAUD; FRAUDULENT CONCEALMENT; NEGLIGENCE; NEGLIGENT MISREPRESENTATION/OMISSION; FAILURE TO SUPERVISE AND CONTROL; VIOLATION OF STATE SECURITIES LAWS AND NASD RULES OF FAIR PRACTICE; AND UNSUITABILITY

Product Type: Annuity-Variable

Alleged Damages: \$450,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09-04769

Date Notice/Process Served: 08/21/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/19/2010

Monetary Compensation Amount: \$95,000.00

Individual Contribution Amount: \$95,000.00

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST UNION CAPITOL MARKETS CORP.

Allegations: INDIANA RETIREMENT PLAN CLAIMS THAT MR. CASCONI MISREPRESENTED SALES CHARGES ASSOCIATED WITH PURCHASE OF NORTH AMERICAN VENTURE ANNUITY CONTRACT RESULTING IN HIGHER COMMISSION, UNAUTHORIZED TRANSFERS OF TRUST ASSETS AND CHURNING SEEKS SURRENDER OF CONTRACT WITHOUT IMPOSITION OF SURRENDER PENALTY WHICH WOULD BE AT LEAST \$40,000.00

Product Type: Annuity(ies) - Variable

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 01/21/2000



Complaint Pending? No
Status: Denied
Status Date: 02/18/2000
Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIRST UNION CAPITOL MARKETS CORP.

Allegations: CLIENT CLAIMS THAT THEY WERE NOT GIVEN PROPER DISCLOSURE IN REGARD TO POTENTIAL CONTINGENT DEFFERED SALES CHARGE.

Product Type: Annuity(ies) - Variable
Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 01/21/2000
Complaint Pending? No
Status: Denied
Status Date: 02/18/2000
Settlement Amount:
Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: FIRST UNION CAPITAL MARKETS CORP.

Allegations: CLIENT CLAIMS THAT THE POSITIONING OF A MUTUAL FUND IN 1997 WAS UNAUTHORIZED.

Product Type: Mutual Fund(s)
Alleged Damages: \$60,000.00

Customer Complaint Information

Date Complaint Received: 08/11/1999
Complaint Pending? No
Status: Settled
Status Date: 09/22/1999
Settlement Amount: \$16,690.00
Individual Contribution Amount: \$0.00



Amount:

Firm Statement FOR BUSINESS PURPOSES AND WITHOUT ADMITTING ANY LIABILITY ON THE PART OF THE FIRM, THE MATTER WAS SETTLED IN THE AMOUNT OF \$16,690.00.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WHEAT FIRST UNION

Allegations: CLIENT CLAIMS POSITIONING OF MUTUAL FUND WAS UNAUTHORIZED.

Product Type: Mutual Fund(s)

Alleged Damages: \$60,000.00

Customer Complaint Information

Date Complaint Received: 08/11/1999

Complaint Pending? No

Status: Settled

Status Date: 09/22/1999

Settlement Amount: \$16,690.00

Individual Contribution Amount: \$0.00

Broker Statement WHEAT FIRST SETTLED THIS COMPLAINT WITHOUT MY KNOWLEDGE AND FOR BUSINESS PURPOSES SETTLED FOR \$16690.0. WHEAT FIRST HAS ALL DEALINGS WITH THE CLIENT AND I WAS NEVER INVOLVED IN ANY MATTER.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENTS ALLEGE FC VERBALLY OVERSTATED THE MARKET VALUE OF THEIR ACCOUNT AND HAD EXCEEDED A LIMIT ON LOSSES CLIENTS HAD IMPOSED ON ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/24/1998

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Firm Statement MR CASCONI HAS DENIED CLIENT'S ALLEGATIONS. FIRM AND CLIENT IN SETTLEMENT DISCUSSIONS TO REACH AMICABLE



RESOLUTION OF CLAIM.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WHEAT FIRST

Allegations: ON 8/24/98 CLIENTS MADE A WRITTEN CLAIM THAT BROKER HAD VERBALLY OVERSTATED THE MARKET VALUE OF THEIR ACCOUNT AND HAD EXCEEDED A LIMIT ON LOSSES CLIENTS HAD IMPOSED ON ACCOUNT. JOHN CASCONI WAS EMPLOYED BY WHEAT, FIRST SECURITIES WHEN THE CUSTOMER COMPLAINT WAS RECEIVED.

Product Type: No Product

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/24/1998

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement I DO NOT KNOW, I HAVE CONTACTED WHEAT FIRST AND THEY WILL NOT DISCLOSED RESULT GIVEN TO ME OR MY ATTORNEY. I DO NOT KNOW IF ANY DOLLAR FIGURE IS INVOLVED.
NOT PROVIDED



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Individual

Firm Name: WHEAT, FIRST SECURITIES, INC

Termination Type: Permitted to Resign

Termination Date: 08/28/1998

Allegations: PERMITTED TO RESIGN ON 8/28/98 FROM WHEAT, FIRST SECURITIES, INC. BECAUSE OF CIRCUMSTANCES SURROUNDING A CUSTOMER COMPLAINT INITIATED BY CLIENTS. THIS CUSTOMER COMPLAINT WAS A WRITTEN CLAIM THAT I HAD VERBALLY OVERSTATED THE MARKET VALUE OF THEIR ACCOUNT + HAD EXCEEDED A LIMIT ON LOSSES. THIS CUSTOMER COMPLAINT IS STILL PENDING.

Product Type: No Product

Other Product Types:

Broker Statement WFV ASKED ME TO RESIGN AFTER CUSTOMER MADE THE ABOVE COMPLAINT. I WAS NOT PERMITTED TO DEFEND MYSELF THEY NEVER ASKED FOR PHONE RECORDS OR NOTES FROM CLIENT MEETINGS I WAS INTERVIEWED 3 TIMES FOR A TOTAL OF 1 HOUR 20 MIN-AND THEN ASKED TO RESIGN. THEY NEVER ASKED ME TO PUT MY SIDE IN WRITING NOR DID THEY WANT ANY EVIDENCE. NOTES- COMPUTER PRINT OUTS ETC.
NOT PROVIDED



End of Report

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