



## IAPD Report

# JOHN W LENTZ VII

CRD# 1749775

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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 W LENTZ VII (CRD# 1749775)

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 **04/23/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PARK AVENUE SECURITIES LLC	CRD# 46173	05/03/1999
<b>IA</b>	PARK AVENUE SECURITIES LLC	CRD# 46173	04/30/2001

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **44** 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>B</b>	GUARDIAN INVESTOR SERVICES CORPORATION	6635	NEW YORK, NY	04/11/1990 - 05/03/1999
<b>B</b>	HOME LIFE INSURANCE COMPANY	4184	NEW YORK, NY	11/17/1987 - 04/18/1990
<b>B</b>	W. S. GRIFFITH & CO., INC.	10410	HARTFORD, CT	11/17/1987 - 04/18/1990

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
Criminal	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 **44** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**  
Main Address: 10 HUDSON YARDS  
NEW YORK, NY 10001  
Firm ID#: 46173

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	05/03/1999
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	06/03/1999
<b>B</b>	Alabama	Agent	Approved	12/01/2003
<b>IA</b>	Alabama	Investment Adviser Representative	Approved	03/15/2006
<b>B</b>	Arizona	Agent	Approved	11/01/2010
<b>IA</b>	Arizona	Investment Adviser Representative	Approved	08/05/2016
<b>B</b>	Arkansas	Agent	Approved	03/05/2007
<b>IA</b>	Arkansas	Investment Adviser Representative	Approved	06/24/2020
<b>B</b>	California	Agent	Approved	10/07/2009
<b>IA</b>	California	Investment Adviser Representative	Approved	04/24/2014
<b>B</b>	Colorado	Agent	Approved	09/14/2010
<b>IA</b>	Colorado	Investment Adviser Representative	Approved	07/27/2016
<b>B</b>	Connecticut	Agent	Approved	06/11/2021



### Qualifications

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	06/11/2021
B Delaware	Agent	Approved	03/04/2020
IA Delaware	Investment Adviser Representative	Approved	03/04/2020
B District of Columbia	Agent	Approved	11/27/2024
IA District of Columbia	Investment Adviser Representative	Approved	12/09/2024
B Florida	Agent	Approved	01/11/2023
IA Florida	Investment Adviser Representative	Approved	01/11/2023
B Georgia	Agent	Approved	05/03/1999
IA Georgia	Investment Adviser Representative	Approved	04/08/2004
B Idaho	Agent	Approved	08/07/2024
IA Idaho	Investment Adviser Representative	Approved	08/07/2024
B Illinois	Agent	Approved	06/28/2024
IA Indiana	Investment Adviser Representative	Approved	03/19/2015
B Indiana	Agent	Approved	03/20/2015
B Iowa	Agent	Approved	08/13/2018
IA Iowa	Investment Adviser Representative	Approved	08/14/2018
B Louisiana	Agent	Approved	10/14/2004
IA Louisiana	Investment Adviser Representative	Approved	06/11/2012
B Maine	Agent	Approved	05/23/2018



### Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	01/10/2022
IA Maryland	Investment Adviser Representative	Approved	05/17/2023
B Massachusetts	Agent	Approved	12/01/2022
IA Massachusetts	Investment Adviser Representative	Approved	07/18/2023
B Michigan	Agent	Approved	10/23/2024
IA Michigan	Investment Adviser Representative	Approved	10/23/2024
B Minnesota	Agent	Approved	07/26/2019
IA Minnesota	Investment Adviser Representative	Approved	03/16/2023
B Mississippi	Agent	Approved	04/07/2023
IA Mississippi	Investment Adviser Representative	Approved	04/07/2023
B Missouri	Agent	Approved	07/25/2023
B Nebraska	Agent	Approved	08/15/2024
IA Nebraska	Investment Adviser Representative	Approved	08/26/2024
B Nevada	Agent	Approved	09/20/2018
B New Hampshire	Agent	Approved	09/28/2022
IA New Hampshire	Investment Adviser Representative	Approved	09/28/2022
B New Jersey	Agent	Approved	06/26/2023
IA New Jersey	Investment Adviser Representative	Approved	01/07/2025
B New Mexico	Agent	Approved	03/20/2023



### Qualifications

Regulator	Registration	Status	Date
IA New Mexico	Investment Adviser Representative	Approved	03/20/2023
B New York	Agent	Approved	03/22/2000
IA New York	Investment Adviser Representative	Approved	04/16/2021
IA North Carolina	Investment Adviser Representative	Approved	03/28/2016
B North Carolina	Agent	Approved	03/29/2016
B Ohio	Agent	Approved	06/03/2008
IA Ohio	Investment Adviser Representative	Approved	10/21/2013
B Oklahoma	Agent	Approved	12/18/2024
IA Oklahoma	Investment Adviser Representative	Approved	04/23/2026
B Oregon	Agent	Approved	07/01/2019
B Pennsylvania	Agent	Approved	07/29/2019
IA Pennsylvania	Investment Adviser Representative	Approved	06/24/2020
B South Carolina	Agent	Approved	01/13/2004
IA South Carolina	Investment Adviser Representative	Approved	01/07/2005
B South Dakota	Agent	Approved	07/22/2015
IA South Dakota	Investment Adviser Representative	Approved	11/07/2016
B Tennessee	Agent	Approved	01/29/2021
B Texas	Agent	Approved	07/17/2006
IA Texas	Investment Adviser Representative	Approved	06/22/2007



## Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	06/04/2024
IA	Utah	Investment Adviser Representative	Approved	06/04/2024
B	Vermont	Agent	Approved	02/22/2022
IA	Vermont	Investment Adviser Representative	Approved	02/22/2022
B	Virginia	Agent	Approved	01/10/2022
IA	Virginia	Investment Adviser Representative	Approved	04/18/2022
B	Washington	Agent	Approved	08/28/2003
IA	Washington	Investment Adviser Representative	Approved	12/17/2015
IA	West Virginia	Investment Adviser Representative	Approved	03/18/2024
B	West Virginia	Agent	Approved	03/21/2024
B	Wisconsin	Agent	Approved	08/04/2023
IA	Wisconsin	Investment Adviser Representative	Approved	08/07/2023
B	Wyoming	Agent	Approved	11/07/2022
IA	Wyoming	Investment Adviser Representative	Approved	11/14/2022

### Branch Office Locations

**PARK AVENUE SECURITIES LLC**  
401 EAST VIRGINIA STREET  
TALLAHASSEE, FL 32301

**PARK AVENUE SECURITIES LLC**  
2931 CRAWFORDVILLE HIGHWAY  
CRAWFORDVILLE, FL 32327



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



#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/20/1994
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/16/1987

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	04/30/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/24/1992

### 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	04/11/1990 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	11/17/1987 - 04/18/1990	HOME LIFE INSURANCE COMPANY	CRD# 4184	
B	11/17/1987 - 04/18/1990	W. S. GRIFFITH & CO., INC.	CRD# 10410	HARTFORD, CT

#### 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
01/2019 - Present	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	CRAWFORDVILLE, FL, United States
01/2019 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	CRAWFORDVILLE, FL, United States
05/2013 - Present	GUARDIAN LIFE INSURANCE CO OF AMERICA	AGENT	Y	TALLAHASSEE, FL, United States
05/2013 - Present	PARK AVENUE SECURITIES LLC	REGISTERED REP	Y	TALLAHASSEE, 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. Exellentz Family Trust-This is a trust created by my wife's grandmother. My wife and I are beneficiaries and I am one of the trustees,  
Start: 02/01/2012,  
Address: 23 Limpkin Ct. Crawfordville, FL ,  
2 non bus hrs per month,  
Investment related,
2. Brokerage Health and Life Insurance-Sale of Health and Life products,.  
Start: 01/01/1984,  
Address: 401 E. Virginia St, Tallahassee FL ,  
3 bus hrs per month,  
Investment related,
3. HL DEVELOPMENT VENTURES, LLC-Owns a 13,000 sq ft commercial shopping center,.  
Start: 06/04/2005,  
Address: 23 Azeala Court Crawfordville, FL,



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

1 non bus hr per month,  
Investment related,

4. LENTZ/GRULICH - SWG Properties, LLC-Owner occupied real estate and rental property,  
Start: 05/01/2013,  
Address: 401 Virginia St Tallahassee, FL,  
1 non bus hr per month,  
Investment related,

5. Clear Springs Property-This entity owns real estate,  
Start: 01/01/2003,  
Address: 23 Limpkin Ct. Crawfordville, FL,  
1 non bus hr per month,  
Investment related,

6. REAL ESTATE PARTNERSHIP - Ginn Bahamas Investments Group purchased a lot on Grand Bahama to sell or build home on.,  
Start: 08/31/2007,  
Address: 954 Ridgewood Road Sparks, MD 21152,  
1 non bus hr per month,  
Investment related,

7. SWA Properites, LLC-Owner occupied real estate and rental property.,  
Start: 12/11/2011,  
Address: 115 East Screven, Quitman GA,  
1 non bus hrs per month,  
Investment related,

8. Strategic Wealth Alliance, LLC-Corporate entity that I operate my practice from. The entity employs staff and some business expenses are paid through this entity.,  
Start: 01/01/2007,  
Address: 401 E. Virginia St. Tallahassee, FL,  
160 bus hrs per month,  
Investment related,

9. Strategic Wealth Group of N. Florida Financial, LLC-I operate my financial practice through this entity. This entity pays most office expenses and employs most staff. All marketing is done with this entity.,  
Start: 05/01/2013,  
Address: 401 E. Virginia St Tallahassee, FL ,  
160 bus hrs per month,  
Investment related,

10. Synthetic Fiber Group, LLC-This is an LLC that was created to invest in Applied Fiber which is a closely held company in N. Florida. The entity owns no other assets and has no other activity. ,  
Start: 02/27/2014,  
Address: 23 Limpkin Ct Crawfordville, FL ,  
0 hrs per month,  
Investment related,

11. SWG Business Consultants, LLC-Fee based business consulting,



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Start: 10/15/2016,

Address: 401 E. Virginia St Tallahassee, FL ,

5-10 bus hrs per month,

Not investment related,

12. DJK Property Holdings, LLC-Multi Family Residential Real Estate Ownership,

Start: 02/01/2019,

Address: 2931 Crawfordville Hwy Crawfordville, FL 32327,

2 non bus hrs per month,

Investment related,

13) Sherrye McCullough Irrevocable Trust-sister in law-Trustee,

Start: 08/15/2021,

Address: 2211 Bannerman Rd. Tallahassee, FL 32312,

3 total hours per month 0 during securities trading hours,

Investment related,

No annual compensation,

14) CSP II, LLC-LLC to hold Real Estate,

Start: 08/15/2021,

Address: 2211 Bannerman Rd. Tallahassee, FL 32312,

5 total hours per month 0 during securities trading hours,

Investment related,

More than 10% annual compensation,

15) WeAreBranius, LLC-LLC to hold Private Placement,

Start: 11/01/2021,

Address: 225 International Cir, Hunt Valley, MD 21030,

0 total hours per month,

Investment related,

No annual compensation,

16) Can Monkey-board member,

Start: 11/01/2021,

Address: 225 International Cir, Hunt Valley, MD 21030,

1 total hour per month; 0 during securities trading hours,

Not investment related,

No annual compensation,

17) CSP St. Pete, LLC-LLC to own Real Estate,

Start: 01/01/2023,

Address: 401 E. Virginia St. Tallahassee, FL.,

5 total hour per month; 0 during securities trading hours,

Investment related,

Less than 10% annual compensation,



## 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
Criminal	1

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Circuit Court of 2nd Judicial Circuit
<b>Location of Court:</b>	Leon County, Florida
<b>Docket/Case #:</b>	86CF-4745
<b>Charge Date:</b>	10/21/1986
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Cashing or depositing item.
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	N/A
<b>Disposition of charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	12/24/1986
<b>Disposition Date:</b>	12/24/1986
<b>Sentence/Penalty:</b>	Nolle prosequere, 12/24/1986. Rep says he was never notified of the charge. The check was paid and charges dropped. He was never informed or aware of initial charge or the fact that they were dropped until this recent notification.



## End of Report

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