



IAPD Report

JOHN A COLON

CRD# 2154136

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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

JOHN A COLON (CRD# 2154136)

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 **01/09/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|--------------------------------|-------------|------------------|
| IA | BELPOINTE ASSET MANAGEMENT LLC | CRD# 143440 | 02/18/2020 |

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 | LPL FINANCIAL LLC | 6413 | SARASOTA, FL | 05/24/2019 - 12/05/2019 |
| B | WELLS FARGO CLEARING SERVICES, LLC | 19616 | SARASOTA, FL | 07/01/2003 - 05/28/2019 |
| IA | WELLS FARGO CLEARING SERVICES, LLC | 19616 | SARASOTA, FL | 07/01/2003 - 05/28/2019 |

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 | 2 |
| Customer Dispute | 2 |
| 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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BELPOINTE ASSET MANAGEMENT LLC**
Main Address: 500 DAMONTE RANCH PARKWAY
BUILDING 700, UNIT 700
RENO, NV 89521
Firm ID#: 143440

| Regulator | Registration | Status | Date |
|-------------------|-----------------------------------|----------|------------|
| IA Florida | Investment Adviser Representative | Approved | 02/18/2020 |

Branch Office Locations

BELPOINTE ASSET MANAGEMENT LLC
University Park, FL



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
| General Securities Sales Supervisor - General Module Examination (S10) | Series 10 | 04/06/1999 |

General Industry/Product Exams

| Exam | Category | Date |
|--|-----------|------------|
| Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| Futures Managed Funds Examination (S31) | Series 31 | 01/13/1994 |
| General Securities Representative Examination (S7) | Series 7 | 10/28/1991 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 11/13/1991 |

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 | 05/24/2019 - 12/05/2019 | LPL FINANCIAL LLC | CRD# 6413 | SARASOTA, FL |
| B | 07/01/2003 - 05/28/2019 | WELLS FARGO CLEARING SERVICES, LLC | CRD# 19616 | SARASOTA, FL |
| IA | 07/01/2003 - 05/28/2019 | WELLS FARGO CLEARING SERVICES, LLC | CRD# 19616 | SARASOTA, FL |
| B | 11/08/2000 - 07/01/2003 | PRUDENTIAL SECURITIES INCORPORATED | CRD# 7471 | NEW YORK, NY |
| IA | 11/08/2000 - 07/01/2003 | PRUDENTIAL SECURITIES INCORPORATED | CRD# 7471 | GREAT NECK, NY |
| B | 05/12/1993 - 10/17/2000 | DEAN WITTER REYNOLDS INC. | CRD# 7556 | PURCHASE, NY |
| B | 10/30/1991 - 04/22/1993 | MCLAUGHLIN, PIVEN, VOGEL SECURITIES, INC. | CRD# 7404 | NEW YORK, NY |

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 |
|-------------------|------------------------------------|-----------------------------------|--------------------|-----------------------------|
| 11/2019 - Present | BELPOINTE ASSET MANGEMENT, LLC | INVESTMENT ADVISOR REPRESENTATIVE | Y | Reno, NV, United States |
| 05/2019 - 11/2019 | LPL FINANCIAL LLC | REGISTERED REPRESENTATIVE | Y | SARASOTA, FL, United States |
| 11/2016 - 05/2019 | WELLS FARGO CLEARING SERVICES, LLC | REGISTERED REP | Y | SARASOTA, FL, United States |
| 05/2009 - 11/2016 | WELLS FARGO ADVISORS LLC | REGISTERED REP | Y | SARASOTA, 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). SARASOTA HOUSING AUTHORITY, NON-INVESTMENT RELATED, SARASOTA, FLORIDA, COMMISSIONER SINCE 5/2005 APPROX 2 HOURS PER MONTH, NON BUSINESS HOURS.
- 2). FLORIDA COUNCIL ON COMPULSIVE GAMBLING, NON-INVESTMENT RELATED, SANFORD, FLORIDA, BOARD MEMBER SINCE 2/2017, APPROX 2 HOURS PER MONTH, NON BUSINESS HOURS.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- 3). SARASOTA HOUSING FUNDING CORPORATION, NON-INVESTMENT RELATED, SARASOTA, FLORIDA, BOARD MEMBER SINCE 5/2015, APPROX 2 HOURS PER MONTH, NON BUSINESS HOURS.
- 4). TIGER BAY - MANATEE COUNTY - NON-INVESTMENT RELATED, BRADENTON, FLORIDA , CIVIC CLUB, BOARD MEMBER SINCE 06/2018 , APPROX 2 HOURS PER MONTH, NON BUSINESS HOURS.
- 5). TEEN COURT - SARASOTA COUNTY, NON-INVESTMENT RELATED, SARASOTA, FLORIDA, CIVIC CLUB, BOARD MEMBER SINCE 02/2018 , APPROX 2 HOURS PER MONTH, NON BUSINESS HOURS.
- 6).JOHN COLON CONSULTANT, NON INVESTMENT RELATED, SAME AS CURRENT PRIMARY RESIDENTIAL ADDRESS, GOVERNMENT RELATIONS AND AFFORDABLE HOUSING DEVELOPMENT, CONSULTANT, PRINCIPAL, 2/18/2022, 20 HOURS PER MONTH, 5 HOURS PER MONTH DURING TRADING HOURS, PROVIDE GUIDANCE ON PROGRAMS TO CREATE, MANAGE AFFORDABLE HOUSING DEVELOPMENT.



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 | 2 |
| Customer Dispute | 2 |
| Termination | 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 2

| | |
|-----------------------------|---|
| Reporting Source: | Individual |
| Court Details: | NEW YORK CITY POLICE DEPARTMENT JDS 31081-21491 |
| Charge Date: | 12/01/1976 |
| Charge Details: | CRIMINAL IMPERSONATION, VTL 401 UNREGISTERED VEHICLE, VTL 319 UNINSURED, VTL 306 B UNINSPECTED, VTL 402-4 IMPROPER PLATES |
| Felony? | No |
| Current Status: | Final |
| Status Date: | 12/01/1976 |
| Disposition Details: | GUILTY TO UNREGISTERED VEHICLE VTL, 401 UNINSPECTED VEHICLE VTL 306B AND IMPROPER PLATES VTL 402-4. TOTAL FINE \$350.00 |
| Broker Statement | PLEAD GUILTY TO VTL (MOTOR VEHICLE) CHARGES ONLY. CRIMINAL IMPERSONATION AND UNINSURED VEHICLE CHARGES WERE DROPPED. |

Disclosure 2 of 2

| | |
|--------------------------|--|
| Reporting Source: | Individual |
| Court Details: | NEW YORK CITY POLICE DEPT. Not Provided |
| Charge Date: | 07/02/1974 |
| Charge Details: | 110/220.03 PL NO DAMAGES OR CLAIMS. |



Felony?

Current Status: Final

Status Date: 02/08/1977

Disposition Details: MISDEMEANOR-FINE PAID \$200.00

Broker Statement FINE PAID AND RECEIVED CONDITIONAL DISCHARGE.



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: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENT'S BROTHER ALLEGES THAT FA MADE MULTIPLE UNAUTHORIZED PURCHASES IN HIS DECEASED BROTHER'S ACCOUNT AFTER HIS DEATH IN MAY 2002. HE ALSO CLAIMS DAMAGES ON PENALTIES ASSESSED BY THE IRS BECAUSE OF THE UNAUTHORIZED TRADES.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$44,745.39

Customer Complaint Information

Date Complaint Received: 10/16/2007

Complaint Pending? No

Status: Denied

Status Date: 02/28/2008

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INC.

Allegations: CLIENT'S BROTHER ALLEGES THAT FA MADE MULTIPLE UNAUTHORIZED PURCHASES IN HIS DECEASED BROTHER'S ACCOUNT AFTER HIS DEATH IN MAY 2002. HE ALSO CLAIMS DAMAGES ON PENALTIES ASSESSED BY THE IRS BECAUSE OF THE UNAUTHORIZED TRADES.

Product Type: Other

Other Product Type(s): EQUITIES.

Alleged Damages: \$44,745.39

Customer Complaint Information

Date Complaint Received: 10/16/2007

Complaint Pending? No

Status: Denied



Status Date: 02/28/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement NO EVIDENCE OF WRONGDOING BY FA UNCOVERED. IRS TAX PROBLEMS RESULTED FROM FAILURE OF ADMINISTRATOR OF ESTATE TO FILE TAX RETURNS.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: UNAUTHORIZED TRADING, BREACH OF CONTRACT, FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, FAILURE TO SUPERVISE.

Product Type: Options

Other Product Type(s): STOCKS

Alleged Damages: \$130,000.00

Customer Complaint Information

Date Complaint Received: 06/06/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/14/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE CASE NUMBER 2002-010331

Date Notice/Process Served: 03/14/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/14/2003

Monetary Compensation Amount: \$85,000.00

Individual Contribution Amount: \$0.00

Firm Statement IN ORDER TO AVOID THE COST, DELAY AND UNCERTAINTY ASSOCIATED WITH ARBITRATION, THE FIRM, WITHOUT ADMITTING ANY LIABILITY IN THE MATTER, DECIDED TO SETTLE THIS CLAIM WITH THE CLAIMANTS.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.
Allegations: UNAUTHORIZED TRADING, BREACH OF CONTRACT, FRAUD, BREACH FIDUCIARY DUTY, NEGLIGENCE, FAILURE TO SUPERVISE.
Product Type: Options
Other Product Type(s): STOCKS
Alleged Damages: \$130,000.00

Customer Complaint Information

Date Complaint Received: 06/06/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 03/14/2003
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE CASE NUMBER 2002-010331
Date Notice/Process Served: 03/14/2003
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/14/2003
Monetary Compensation Amount: \$85,000.00
Individual Contribution Amount: \$0.00

Broker Statement IN ORDER TO AVOID THE COST, DELAY AND UNCERTAINTY ASSOCIATED WITH ARBITRATION, THE FIRM, WITHOUT ADMITTING ANY LIABILITY IN THE MATTER, DECIDED TO SETTLE THIS CLAIM WITH THE CLAIMANTS. I WAS NEITHER CONSULTED ABOUT NOR ASKED TO CONTRIBUTE TO THIS DECISION, AND I FIND THE CLAIMS WITHOUT MERIT.



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: Firm
Firm Name: LPL Financial LLC
Termination Type: Discharged
Termination Date: 11/05/2019
Allegations: Engaged in office sharing arrangement with unaffiliated RIA without Firm approval.
Product Type: No Product

Reporting Source: Individual
Firm Name: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 11/05/2019
Allegations: ENGAGED IN OFFICE SHARING ARRANGEMENT WITH UNAFFILIATED RIA WITHOUT FIRM APPROVAL.
Product Type: No Product

Broker Statement Shortly after joining LPL, Mr. Colon, became critically ill, which continued up through the time of his termination. Any failure to obtain documented approval of office sharing was unavoidable due his extenuating circumstance. LPL terminated Mr. Colon without the opportunity to cure the issue.



End of Report

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