



IAPD Report

JOHN ALAN REGISTER

CRD# 2270475

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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 ALAN REGISTER (CRD# 2270475)

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 **02/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	06/22/2018
IA	LPL FINANCIAL LLC	CRD# 6413	06/22/2018

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
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Roanoke, VA	06/23/2014 - 06/22/2018
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Roanoke, VA	06/13/2014 - 06/22/2018
B	INVESTMENT CENTERS OF AMERICA, INC.	16443	ROANOKE, VA	01/26/2011 - 06/13/2014

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	3



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: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/22/2018
B	FINRA	General Securities Representative	Approved	06/22/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	06/22/2018
B	Alabama	Agent	Approved	04/04/2022
B	California	Agent	Approved	11/20/2018
B	Colorado	Agent	Approved	09/24/2024
B	District of Columbia	Agent	Approved	01/08/2020
B	Florida	Agent	Approved	06/25/2018
B	Illinois	Agent	Approved	06/25/2018
B	New York	Agent	Approved	12/11/2025
B	North Carolina	Agent	Approved	06/22/2018
B	Ohio	Agent	Approved	09/09/2020
B	South Carolina	Agent	Approved	06/22/2018



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	08/07/2024
IA Texas	Investment Adviser Representative	Restricted Approval	08/07/2024
B Utah	Agent	Approved	01/24/2022
B Virginia	Agent	Approved	06/22/2018
IA Virginia	Investment Adviser Representative	Approved	06/22/2018

Branch Office Locations

LPL FINANCIAL LLC
2650 ELECTRIC ROAD, SUITE D
ROANOKE, VA 24018

LPL FINANCIAL LLC
ROANOKE, VA




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 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/02/2002

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/04/1996
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/21/1992

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/22/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/21/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	06/23/2014 - 06/22/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Roanoke, VA
IA	06/13/2014 - 06/22/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Roanoke, VA
B	01/26/2011 - 06/13/2014	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	ROANOKE, VA
IA	01/25/2011 - 06/13/2014	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	ROANOKE, VA
B	06/01/2008 - 01/14/2011	INFINEX INVESTMENTS, INC.	CRD# 35371	ROANOKE, VA
IA	06/01/2008 - 01/14/2011	INFINEX INVESTMENTS, INC.	CRD# 35371	ROANOKE, VA
B	04/18/2005 - 06/01/2008	BI INVESTMENTS, LLC	CRD# 125437	ROANOKE, VA
IA	04/18/2005 - 06/01/2008	BI INVESTMENTS, LLC	CRD# 125437	ROANOKE, VA
B	01/03/2005 - 05/10/2005	SUNTRUST SECURITIES, INC.	CRD# 17499	ATLANTA, GA
IA	01/03/2005 - 05/10/2005	SUNTRUST SECURITIES, INC.	CRD# 17499	ROANOKE, VA
B	09/30/2002 - 01/03/2005	NCF FINANCIAL SERVICES, INC.	CRD# 120471	DURHAM, NC
IA	09/30/2002 - 01/03/2005	NCF FINANCIAL SERVICES, INC.	CRD# 120471	ROANOKE, VA
IA	06/18/2002 - 09/30/2002	INVEST FINANCIAL CORPORATION	CRD# 12984	ROANOKE, VA
B	02/05/2002 - 09/30/2002	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	12/31/2000 - 01/25/2002	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	RADNOR, PA
B	04/27/2000 - 12/31/2000	DELAWARE DISTRIBUTORS, L.P.	CRD# 14232	PHILADELPHIA, PA



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	03/22/1999 - 11/29/1999	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
B	02/26/1996 - 03/04/1999	WACHOVIA BROKERAGE SERVICE	CRD# 17503	WINSTON SALEM, NC
B	05/10/1993 - 02/03/1995	JMC FINANCIAL CORPORATION	CRD# 16063	BOSTON, MA
B	08/24/1992 - 05/11/1993	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	08/24/1992 - 05/11/1993	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	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
06/2018 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Roanoke, VA, United States
06/2014 - 06/2018	Ameriprise Financial Services, Inc.	Registered Rep	Y	Roanoke, VA, 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.

- 6/22/2018 - Midsummer Wealth Management, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 06/22/2018 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100%.
- 3/16/2020 - Midsummer Wealth Management - DBA: River Birch Wealth Management LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 05/01/2020 - 5 Hours Per Month/1 Hour During Securities Trading.
- 3/25/2020 - McJoByn - Investment Related - 2650 Electric Road, Suite D, Roanoke, VA 24018 - Real Estate Rental - Start Date: 06/30/2020 - 1 Hour Per Month/0 Hours During Securities Trading.
- 11/21/2023 - Virginia Western Community College - Outside/W-2 Employment - Adjunct Professor - Not Investment Related - 3094 Colonial Ave SW, Roanoke, VA 24015 - Start Date 01/01/2024 - 12 Hours Per Month/ 0 Hours During Trading



Registration & Employment History



OTHER BUSINESS ACTIVITIES

5. 07/05/2024 - Blue Acres, LLC - Rep's business - Not Investment Related - Roanoke, VA 24012 - Start Date 05/20/2024 - 8 Hours Per Month/ 0 Hours During Trading



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	3

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 3

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF FLORIDA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/06/2012
Docket/Case Number:	128213-12-AG
Employing firm when activity occurred which led to the regulatory action:	INVESTMENT CENTERS OF AMERICA, INC.
Product Type:	No Product
Allegations:	MISSTATEMENT ON THE APPLICATION CONCERNING PRIOR ADMINISTRATIVE ACTION.
Current Status:	Final
Resolution:	Consent
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:	10/18/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: PAY \$1,500 ADMINISTRATIVE PENALTY.

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$1,500.00**Portion Levied against individual:** \$1,500.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 10/24/2012**Was any portion of penalty waived?** No**Amount Waived:****Disclosure 2 of 3****Reporting Source:** Individual**Regulatory Action Initiated By:** SOUTH CAROLINA DEPARTMENT OF INSURANCE**Sanction(s) Sought:** Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)**Date Initiated:** 07/01/1996**Docket/Case Number:** 1996151-056-001-2-0**Employing firm when activity occurred which led to the regulatory action:** METROPOLITAN LIFE**Product Type:** Insurance**Allegations:** THAT I FAILED TO DISCLOSE A VIRGINIA DEPARTMENT OF INSURANCE DISCIPLINARY ACTION ON MY SOUTH CAROLINA INSURANCE AGENT'S LICENSE APPLICATION.**Current Status:** Final**Resolution:** Settled**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes**Resolution Date:** 07/01/1996**Sanctions Ordered:** Cease and Desist**Broker Statement** I MISINTERPRETED THE QUESTION REGARDING PAST DISCIPLINE ISSUES WHEN I COMPLETED THE SOUTH CAROLINA INSURANCE LICENSE APPLICATION. THIS APPLICATION WAS COMPLETED IN CONJUNCTION WITH MY COMPLIANCE OFFICER AND I DID NOT KNOWINGLY ATTEMPT TO ANSWER THE QUESTION INCORRECTLY.



Disclosure 3 of 3

Reporting Source:	Individual
Regulatory Action Initiated By:	COMMONWEALTH OF VIRGINIA, STATE CORPORATION COMMISSION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	01/20/1995
Docket/Case Number:	INS950077
Employing firm when activity occurred which led to the regulatory action:	METROPOLITAN LIFE
Product Type:	Insurance
Other Product Type(s):	
Allegations:	I WAS ONE OF A NUMBER OF INDIVIDUALS INVOLVED IN AN INVESTIGATION AND SUBSEQUENT ALLEGATIONS BY THE BUREAU OF INSURANCE, THAT WHILE EMPLOYED BY METROPOLITAN LIFE, WE MAY HAVE MISREPRESENTED BENEFITS, ADVANTAGES, CONDITIONS OR TERMS OF CERTAIN INSURANCE POLICIES AND DISSEMINATED MARKETING MATERIALS WHICH WERE UNTRUE, DECEPTIVE OR MISLEADING.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/08/1995
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, IT WAS ORDERED THAT THE DEFENDANTS CEASE AND DESIST FROM ANY CONDUCT WHICH CONSTITUTES A VIOLATION OF VIRGINIA CODES OF THE COMMISSION'S RULES GOVERNING LIFE INSURANCE AND ANNUITY MARKETING PRACTICES. THE COMMONWEALTH OF VIRGINIA WAS PAID THE SUM OF \$20,000. I DID NOT PARTICIPATE IN ANY OF THAT AMOUNT.
Broker Statement	I FOLLOWED THE SALES TRAK AS DIRECTED. THIS WAS MY FIRST JOB OUT OF THE AIR FORCE, AND I DID NOT REALIZE THAT I WAS VIOLATING THE VA INSURANCE LAWS.



End of Report

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