



## IAPD Report

# MICHAEL TODD JANKOWSKI

CRD# 2325650

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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

### MICHAEL TODD JANKOWSKI (CRD# 2325650)

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 **07/31/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PARKVIEW ASSET MANAGEMENT, INC.	CRD# 307977	06/26/2020

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	LASALLE ST. INVESTMENT ADVISORS, L.L.C.	109701	Oakbrook Terrace, IL	09/15/2008 - 06/23/2020
B	LASALLE ST SECURITIES, L.L.C.	7191	WESTCHESTER, IL	08/25/2008 - 05/25/2012
IA	JONATHAN ROBERTS ADVISORY GROUP, INC.	112294	WESTBROOK, IL	03/29/2006 - 08/15/2008

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
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **PARKVIEW ASSET MANAGEMENT, INC.**  
Main Address: ONE PARKVIEW PLAZA  
SUITE 117  
OAKBROOK TERRACE, IL 60181  
Firm ID#: 307977

Regulator	Registration	Status	Date
 Illinois	Investment Adviser Representative	Approved	06/26/2020
 Texas	Investment Adviser Representative	Restricted Approval	08/01/2023

### Branch Office Locations

**PARKVIEW ASSET MANAGEMENT, INC.**  
ONE PARKVIEW PLAZA  
SUITE 117  
OAKBROOK TERRACE, IL 60181



## 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, 1 general industry/product exam, 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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<b>B</b> General Securities Representative Examination (S7)	Series 7	03/22/1993
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	12/21/1999
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	03/26/1993
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### 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	09/15/2008 - 06/23/2020	LASALLE ST. INVESTMENT ADVISORS, L.L.C.	CRD# 109701	Oakbrook Terrace, IL
B	08/25/2008 - 05/25/2012	LASALLE ST SECURITIES, L.L.C.	CRD# 7191	WESTCHESTER, IL
IA	03/29/2006 - 08/15/2008	JONATHAN ROBERTS ADVISORY GROUP, INC.	CRD# 112294	WESTBROOK, IL
B	01/17/2006 - 08/15/2008	J.W. COLE FINANCIAL, INC.	CRD# 124583	WESTCHESTER, IL
IA	02/14/2001 - 01/17/2006	LASALLE ST. INVESTMENT ADVISORS, L.L.C.	CRD# 109701	MATTESON, IL
B	09/03/1996 - 01/17/2006	LASALLE ST SECURITIES, L.L.C.	CRD# 7191	ELMHURST, IL
B	10/26/1995 - 06/18/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	11/09/1993 - 10/09/1995	FIRST OF AMERICA BROKERAGE SERVICE, INC.	CRD# 16989	CLEVELAND, OH
B	07/06/1993 - 11/05/1993	K. W. CHAMBERS & CO.	CRD# 1432	CLAYTON, MO
B	03/24/1993 - 05/13/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	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
06/2020 - Present	Parkview Asset Management, Inc.	Founder & President / Chief Compliance Officer	Y	Oakbrook Terrace, IL, United States
09/2008 - 06/2020	LASALLE ST. INVESTMENT ADVISORS, LLC	Investment Advisor Representative	Y	WESTCHESTER, IL, United States
08/2008 - 06/2020	LASALLE ST. SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	MATTESON, IL, United States



## Registration & Employment History



### 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.

WEALTH PLANNING NETWORK LLC -ONE WESTBROOK CORPORATE CENTER, SUITE 300, WESTCHESTER, IL 60154.  
TITLE: PRESIDENT, START: 2002, COMPENSATION: \$500K+. DUTIES: TRADITIONAL INS PRODUCT RELATED SALES, NO INVESTMENT RELATED;

FIXED INSURANCE;

TRUSTEE TO SENIOR PLANNING NETWORK DEF. BEN PLAN & SENIOR PLANNING NETWORK 401K PSP (NAME CHANGE PENDING TO WEALTH PLANNING NETWORK);



## 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
Customer Dispute	2

### 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>Court Details:</b>	STATE OF ILLINOIS, MCLEAN COUNTY CIRCUIT COURT 89 C7 150
<b>Charge Date:</b>	09/30/1987
<b>Charge Details:</b>	UNLAWFUL DELIVERY OF CANNABIS, COUNT I
<b>Felony?</b>	
<b>Current Status:</b>	Final
<b>Status Date:</b>	10/04/1989
<b>Disposition Details:</b>	PLEA OF GUILTY WAS ENTERED WITH CONVICTION DROPPED CONTINGENT UPON SERVING A 30 MONTH PROBATION PERIOD. (7.10 PROBATION) THE PROBATION PERIOD WAS COMPLETED SUCCESSFULLY, MARCH 1992. THE PLEA OF GUILTY WAS TO 1 COUNT; UNLAWFUL DELIVERY OF CANNABIS-CLASS 4 FELONY THE APPROXIMATE FINE AND COURT COSTS WERE \$600.- ,PAID IN FULL.
<b>Broker Statement</b>	THE INCIDENT HAPPENED WHILE I WAS AGE 19 DURING MY SOPHOMORE YEAR AT ILLINOIS STATE UNIVERSITY. PEER PRESSURE AND A FAVOUR FOR A FRIEND INFLUENCED ME TO DO THIS ACT. I HAVE NO PRIOR CRIMINAL RECORD; AND MY ACHIEVEMENTS PRIOR TO, AND AFTER THE INCIDENT OCCURRED, SHOW I AM NOT CAPABLE OF PURSUING THIS COURSE OF ILLEGAL ACTION AGAIN.



### 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:** LASALLE ST. SECURITIES, L.L.C.

**Allegations:** CUSTOMER ALLEGES BROKER RECOMMENDED UNSUITABLE PRODUCT AROUND MARCH OF 2001.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$160,000.00

#### Customer Complaint Information

**Date Complaint Received:** 03/15/2007

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/31/2007

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** OUR INVESTIGATION FOUND THE CLIENT'S ALLEGATIONS TO BE WITHOUT MERIT.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** LASALLE ST. SECURITIES L.L.C.

**Allegations:** CUSTOMER ALLEGES BROKER RECOMMENDED UNSUITABLE PRODUCT AROUND MARCH OF 2001

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$160,000.00

#### Customer Complaint Information

**Date Complaint Received:** 03/15/2007

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/22/2007

**Settlement Amount:**

**Individual Contribution**



**Amount:**

**Disclosure 2 of 2**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** LASALLE ST. SECURITIES, L.L.C.

**Allegations:** ON JULY 15, 1999, CUSTOMER PURCHASED A GE VARIABLE ANNUITY THROUGH REPRESENTATIVE JANKOWSKI. CUSTOMER CLAIMS THAT SHE THOUGHT SHE WAS PURCHASING MUTUAL FUNDS. CUSTOMER DOESN'T THINK THE INVESTMENT WAS SUITABLE AS SHE WAS INVESTING MONEY FROM A TAX DEFFERRED INVESTMENT. CUSTOMER REQUESTED WAIVING SURRENDER CHARGE.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$13,932.00

**Customer Complaint Information**

**Date Complaint Received:** 07/06/2000

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 07/12/2000

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** AFTER AN INTERNAL INVESTIGATION, LASALLE ST. SECURITIES FOUND NO BASIS TO WAIVE SURRENDER CHARGES ON CUSTOMER'S ANNUITY. CUSTOMER WAS TOLD IT WAS A VARIABLE ANNUITY. CUSTOMER SIGNED THE VARIABLE ANNUITY APPLICATION AND DISCLOSURES STATING SHE WAS PURCHASING A VARIABLE ANNUITY AS WELL AS THE SURRENDER CHARGES ASSOCIATED WITH THE VARIABLE ANNUITY. CUSTOMER DID WANT TO PURCHASE THE VARIABLE ANNUITY NOT FOR ITS TAX DEFFERRED STATUS, BUT ITS' SURVIVOR BENEFIT.



## End of Report

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