



## IAPD Report

# RONALD DIONISIO BALITON

CRD# 2413681

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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

### RONALD DIONISIO BALITON (CRD# 2413681)

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 **03/19/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	11/15/2017
B	LPL FINANCIAL LLC	CRD# 6413	11/15/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** 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	INVEST FINANCIAL CORPORATION	12984	STUART, FL	03/28/2011 - 11/16/2017
B	INVEST FINANCIAL CORPORATION	12984	STUART, FL	03/25/2011 - 11/16/2017
IA	FNB BROKERAGE SERVICES, INC.	18741	PORT ST. LUCIE, FL	01/18/2007 - 03/22/2011

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	3
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 **32** 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>B</b>	FINRA	General Securities Representative	Approved	11/15/2017
<b>B</b>	Alabama	Agent	Approved	09/27/2023
<b>B</b>	California	Agent	Approved	08/06/2020
<b>B</b>	Colorado	Agent	Approved	12/22/2019
<b>B</b>	Connecticut	Agent	Approved	11/16/2017
<b>B</b>	Delaware	Agent	Approved	05/31/2019
<b>B</b>	District of Columbia	Agent	Approved	01/07/2019
<b>B</b>	Florida	Agent	Approved	11/15/2017
<b>IA</b>	Florida	Investment Adviser Representative	Approved	11/16/2017
<b>B</b>	Georgia	Agent	Approved	04/24/2019
<b>B</b>	Hawaii	Agent	Approved	11/06/2020
<b>B</b>	Illinois	Agent	Approved	03/20/2026
<b>B</b>	Indiana	Agent	Approved	06/18/2020



### Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	03/04/2020
B Maryland	Agent	Approved	08/19/2020
B Massachusetts	Agent	Approved	04/26/2022
B Minnesota	Agent	Approved	08/22/2025
B Montana	Agent	Approved	02/24/2021
B Nebraska	Agent	Approved	03/05/2024
B New Jersey	Agent	Approved	11/15/2017
B New York	Agent	Approved	12/08/2017
B North Carolina	Agent	Approved	02/25/2021
B Ohio	Agent	Approved	11/15/2017
B Oregon	Agent	Approved	07/22/2021
B Pennsylvania	Agent	Approved	05/17/2019
B South Carolina	Agent	Approved	02/25/2021
B South Dakota	Agent	Approved	03/04/2021
B Texas	Agent	Approved	11/16/2017
IA Texas	Investment Adviser Representative	Restricted Approval	11/15/2017
B Utah	Agent	Approved	03/10/2021
B Vermont	Agent	Approved	11/15/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Virgin Islands	Agent	Approved	09/25/2019
<b>B</b> Virginia	Agent	Approved	01/02/2019
<b>B</b> Washington	Agent	Approved	02/27/2019
<b>B</b> Wisconsin	Agent	Approved	02/25/2021

### Branch Office Locations

**LPL FINANCIAL LLC**  
 1100 SW SAINT LUCIE WEST BLVD  
 STE 101  
 PORT ST LUCIE, FL 34986

**LPL FINANCIAL LLC**  
 1108 SE PORT ST LUCIE BLVD  
 PORT ST. LUCIE, FL 34952

**LPL FINANCIAL LLC**  
 1110 ROSELAND RD  
 SEBASTIAN, FL 32958

**LPL FINANCIAL LLC**  
 300 S VERNER RD  
 Clewiston, FL 33440

**LPL FINANCIAL LLC**  
 1409 S PARROTT AVE  
 OKEECHOBEE, FL 34974

**LPL FINANCIAL LLC**  
 1206 US HWY 1  
 VERO BEACH, FL 32960

**LPL FINANCIAL LLC**  
 6030 20TH ST  
 VERO BEACH, FL 32966

**LPL FINANCIAL LLC**  
 1901 SOUTH US HWY 1  
 FORT PIERCE, FL 34950

**LPL FINANCIAL LLC**  
 2940 CARDINAL DR  
 VERO BEACH, FL 32963

**LPL FINANCIAL LLC**  
 1000 NE JESNSEN BEACH BLVD  
 JENSEN BEACH, FL 34957

**LPL FINANCIAL LLC**  
 1790 SW GATLIN BLVD  
 PORT ST. LUCIE, FL 34953



## 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, 2 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
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General Securities Representative Examination (S7)	Series 7	12/10/1993
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	09/28/2001
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Uniform Securities Agent State Law Examination (S63)	Series 63	01/06/1994
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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	03/28/2011 - 11/16/2017	INVEST FINANCIAL CORPORATION	CRD# 12984	STUART, FL
B	03/25/2011 - 11/16/2017	INVEST FINANCIAL CORPORATION	CRD# 12984	STUART, FL
IA	01/18/2007 - 03/22/2011	FNB BROKERAGE SERVICES, INC.	CRD# 18741	PORT ST. LUCIE, FL
B	12/03/2004 - 03/22/2011	FNB BROKERAGE SERVICES, INC.	CRD# 18741	PORT ST. LUCIE, FL
IA	10/09/2002 - 12/11/2003	UVEST FINANCIAL SERVICES AND/OR COMPASS CAPITAL	CRD# 13787	FORT PIERCE, FL
B	10/04/2002 - 12/11/2003	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	CHARLOTTE, NC
B	07/17/2002 - 10/08/2002	MEDALLION EQUITIES, INC.	CRD# 43399	MARIETTA, GA
B	08/16/2000 - 02/12/2002	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
B	05/01/1996 - 09/01/2000	FISERV INVESTOR SERVICES, INC.	CRD# 34637	HOUSTON, TX
B	12/13/1993 - 05/08/1996	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL

### 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
11/2017 - Present	LPL Financial LLC	Registered Representative	Y	Port St Lucie, FL, United States
03/2011 - Present	Seacoast Bank	Financial Consultant	Y	Port St. Lucie, FL, United States
03/2011 - 11/2017	INVEST Financial Corp	Registered Rep	Y	Tampa, FL, 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.

1)11/15/17- Seacoast Investment Services- DBA for LPL Business (entity for LPL business)- Inv. Related- at reported business location(s)- 100%



## 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	3
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

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Clerk of the Circuitry Court
<b>Location of Court:</b>	Alachua County, Florida
<b>Docket/Case #:</b>	01 1987 MM 011018
<b>Charge Date:</b>	12/17/1987
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Worthless Check
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	Nolo Contendere
<b>Disposition of charge:</b>	Pled Nolo Contendere
<b>Current Status:</b>	Final
<b>Status Date:</b>	03/03/1988
<b>Disposition Date:</b>	03/03/1988
<b>Sentence/Penalty:</b>	6 months probation

#### Disclosure 2 of 2



<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Clerk of Circuit Court
<b>Location of Court:</b>	Alachua County, Florida
<b>Docket/Case #:</b>	01 1991 MM006673 A
<b>Charge Date:</b>	08/29/1991
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Worthless Check
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	None
<b>Disposition of charge:</b>	Nolle Prossed
<b>Current Status:</b>	Final
<b>Status Date:</b>	05/15/1992
<b>Disposition Date:</b>	05/15/1992
<b>Sentence/Penalty:</b>	None



## 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 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** FNB BROKERAGE SERVICES

**Allegations:** CLIENTS ALLEGE KBS REIT & WELLS REIT ARE UNSUITABLE INVESTMENTS.

**Product Type:** Real Estate Security

**Alleged Damages:** \$25,000.00

### Arbitration Information

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

**Docket/Case #:** 12-03480

**Date Notice/Process Served:** 10/09/2012

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/11/2013

**Monetary Compensation Amount:** \$9,500.00

**Individual Contribution Amount:** \$5,000.00

### Disclosure 2 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** BANC OF AMERICA INVESTMENT SERVICES INC

**Allegations:** THE COMPLAINT CONTAINS ALLEGATIONS OF MISREPRESENTATION RELATING TO VARIABLE ANNUITY PURCHASE FACILITATED BY THE REPRESENTATIVE IN MARCH OF YEAR 2001.

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

**Alleged Damages:** \$67,212.00

### Customer Complaint Information

**Date Complaint Received:** 11/14/2002

**Complaint Pending?** No



**Status:** Denied  
**Status Date:** 12/02/2002

**Settlement Amount:**  
**Individual Contribution Amount:**

**Firm Statement** THE FIRM INVESTIGATED THE COMPLAINT AND CONCLUDED IT WAS WITHOUT MERIT.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** BANC OF AMERICA

**Allegations:** ALLEGATIONS OF MISREPRESENTATION RELATING TO VARIABLE ANNUITY PURCHASE FACILITATED BY THE REPRESENTATIVE IN MARCH 2001.

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

**Alleged Damages:** \$67,200.00

**Customer Complaint Information**

**Date Complaint Received:** 11/14/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/12/2002

**Settlement Amount:** \$0.00

**Individual Contribution Amount:**

**Disclosure 3 of 3**

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** FISERV INVESTOR SERVICES, INC.

**Allegations:** CLIENT ALLEGED THE VA WAS AN INAPPROPRIATE INVESTMENT AND THE REP STATED THE VA POLICY DID NOT HAVE ANY SURRENDER CHARGES. THE REP FURNISHED THE CUSTOMER WITH A SIGNATURE GUARANTEE LETTER THAT STATES "THIS IS A CONTRACT BETWEEN RONALD D. BALITON, CFP & CUSTOMER IN REGARDS TO HER GOLDEN SELECT ANNUITY [ACCOUNT NUMBER]. IF THE ANNITY IS WITHDRAWN, CUSTOMER WILL NOT BE RESPONSIBLE FOR ANY PENALTY INCURRED."

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 04/01/2001

**Complaint Pending?** No

**Status:** Settled



**Status Date:** 04/03/2001

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** FISERV INVESTOR SERVICES, INC.

**Allegations:** CLIENT ALLEGED THE VA WAS AN INAPPROPRIATE INVESTMENT AND THE REP STATED THE VA POLICY DID NOT HAVE ANY SURRENDER CHARGES. THE REP FURNISHED THE CUSTOMER WITH A SIGNATURE GUARANTEE LETTER THAT STATES: "THIS IS A CONTRACT BETWEEN RONALD D BALITON, CFP & CUSTOMER IN REGARDS TO HER GOLDEN SELECT ANNUITY [ACCOUNT NUMBER]. IF THE ANNUITY IS WITHDRAWN, CUSTOMER WILL NOT BE RESPONSIBLE FOR ANY PENALTY INCURRED."

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 04/01/2001

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/03/2001

**Settlement Amount:** \$1,111.02

**Individual Contribution Amount:** \$0.00



## 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:** BANC OF AMERICA INVESTMENT SERVICES, INC.

**Termination Type:** Voluntary Resignation

**Termination Date:** 02/01/2002

**Allegations:** FAILURE TO COMPLY WITH FIRM POLICIES AND PROCEDURES.

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

**Other Product Types:**

### Broker Statement

UPON JOINING BOA, I INHERITED MRS. KITIE BILLIE AS A CUSTOMER. MRS. BILLIE WAS RECENTLY WIDOWED. MR&MRS BILLIE HAD A VARIABLE ANNUITY THAT WAS AN ANNUITANT DRIVEN CONTRACT. I MET MRS. BILLIE AFTER MR BILLIE'S DEATH. SHE CAME TO ME TO CASH OUT OF THE ANNUITY. IT WAS AT THIS TIME THAT WE DISCOVERED THAT SHE WAS NOT THE BENEFICIARY ONLY A CO-OWNER. THEREFORE SINCE THE ANNUITY WAS ANNUITANT DRIVEN, SHE WAS NOT ENTITLED TO THE PROCEEDS. RATHER A NEPHEW WAS THE PRIMARY BENEFICIARY AND THEN ANOTHER NEPHEW WAS THE CONTINGENT BENEFICIARY. MRS. BILLIE BECAME VERY UPSET AND INSISTED THAT THE CONTRACT WAS SET UP INCORRECTLY. I ALERTED MY SUPERVISOR OF THE MISTAKE AND THE SITUATION WITH MRS BILLIE. IN ORDER TO HELP I CONTACTED THE NEPHEWS AND THEY EACH AFFIRMED THAT THE PROCEEDS SHOULD GO TO MRS BILLIE. IT WAS AT THIS TIME THAT I WROTE A LETTER TO THE ANNUITY COMPANY DETAILING THE MISTAKE, THE CURRENT AFFIRMATIONS OF THE NEPHEWS AND THEIR CONTACT NUMBERS, AND MRS. BILLIE'S DESIRE FOR THE PROCEEDS. I FAXED THE LETTER TO THE COMPANY. I MADE THE MISTAKE OF NOT GETTING THE LETTER APPROVED BY MY SUPERVISOR.



## End of Report

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