



IAPD Report

DAVID JOSEPH LA PLACA

CRD# 2419782

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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

DAVID JOSEPH LA PLACA (CRD# 2419782)

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 **01/12/2017**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTELLECTUS PARTNERS, LLC	CRD# 173140	06/26/2015

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
B	PURSHE KAPLAN STERLING INVESTMENTS	35747	San Francisco, CA	07/28/2015 - 04/25/2016
IA	DEUTSCHE BANK SECURITIES INC.	2525	SAN FRANCISCO, CA	07/13/2004 - 07/09/2015
B	DEUTSCHE BANK SECURITIES INC.	2525	SAN FRANCISCO, CA	06/01/2004 - 07/09/2015

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

Employment 1 of 1

Firm Name: **INTELLECTUS PARTNERS, LLC**

Main Address: 1050 BATTERY STREET
SUITE 100
SAN FRANCISCO, CA 94111

Firm ID#: 173140

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	06/26/2015
IA Texas	Investment Adviser Representative	Approved	06/26/2015

Branch Office Locations

INTELLECTUS PARTNERS, LLC

1050 BATTERY STREET
SUITE 100
SAN FRANCISCO, CA 94111



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

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	08/07/1996

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	04/25/2016
 General Securities Representative Examination (S7)	Series 7	12/03/1993

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/1993

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	07/28/2015 - 04/25/2016	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	San Francisco, CA
IA	07/13/2004 - 07/09/2015	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	SAN FRANCISCO, CA
B	06/01/2004 - 07/09/2015	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	SAN FRANCISCO, CA
B	01/19/2000 - 06/09/2004	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	07/06/1998 - 02/11/2000	WARBURG DILLON READ LLC	CRD# 7654	NEW YORK, NY
B	09/20/1996 - 06/30/1998	CIBC OPPENHEIMER CORP.	CRD# 630	NEW YORK, NY
B	12/06/1993 - 10/09/1996	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
06/2015 - Present	INTELLECTUS PARTNERS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SAN FRANCISCO, CA, United States
07/2015 - 04/2016	PURSHE KAPLAN STERLING INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, 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.)IP GROUP LLC;
INVESTMENT RELATED?: YES;
ADDRESS: 501 TIBURON BLVD TIBURON CA 94920;
NATURE OF BUSINESS: INVESTMENT;
TITLE/POSITION: MEMBER;
START DATE OF AFFILIATION: 1/30/07;
NUMBER OF HOURS PER/MONTH DEVOTED: 0;
NUMBER OF TRADING HOURS PER/MONTH DEVOTED: 0;
DESCRIPTION OF DUTIES: INVESTMENT.



Registration & Employment History

OTHER BUSINESS ACTIVITIES

NAME CHANGE FROM INNOVATION PARTNERS, LLC 02/2015

2.) DATA EMPOWERMENT;
INVESTMENT RELATED?: YES;
ADDRESS: 350 FIFTH AVENUE SUITE 6440
NEW YORK NY 10118;
NATURE OF BUSINESS: SOFTWARE DEVELOPMENT;
TITLE/POSITION: MANAGING MEMBER;
START DATE OF AFFILIATION: JULY 2013;
NUMBER OF HOURS PER/MONTH DEVOTED: 1HR;
NUMBER OF TRADING HOURS PER/MONTH DEVOTED: 0;
DESCRIPTION OF DUTIES: SOFTWARE DEVELOPMENT.

3.) ORBITAL INSIGHT;
INVESTMENT RELATED?: NO;
ADDRESS: 444 CASTRO ST MOUNTAIN VIEW C;
NATURE OF BUSINESS: SOFTWARE;
TITLE/POSITION: ADVISORY BOARD;
START DATE OF AFFILIATION: DEC 2013;
NUMBER OF HOURS PER/MONTH DEVOTED: 1;
NUMBER OF TRADING HOURS PER/MONTH DEVOTED: 0;
DESCRIPTION OF DUTIES: SOFTWARE ADVISORY.

4.) GAGA SPORTS;
INVESTMENT RELATED?: NO;
ADDRESS: 315 MONTGOMERY ST 9TH FLOOR SAN FRANCISCO, CA 94104;
NATURE OF BUSINESS: SPORTS SOFTWARE;
TITLE/POSITION: ADVISOR;
START DATE OF AFFILIATION: JAN 2014;
NUMBER OF HOURS PER/MONTH DEVOTED : 1;
NUMBER OF TRADING HOURS PER/MONTH DEVOTED: 0;
DESCRIPTION OF DUTIES: BUSINESS ADVISOR/CONSULTANT;

5.) SCIENTIFIC REVENUE;
INVESTMENT RELATED? : NO;
ADDRESS: 12 MURPHY PLACE, SAN MATEO CA 94402;
NATURE OF BUSINESS: CASUAL VIDEO GAME SOFTWARE;
TITLE/POSITION: ADVISOR;
START DATE OF AFFILIATION: APRIL 2014
NUMBER OF HOURS PER/MONTH DEVOTED: .5;
NUMBER OF TRADING HOURS PER/MONTH DEVOTED: 0;
DESCRIPTION OF DUTIES: STRATEGIC ADVISORY;

6.) THE HINT BOX;
INVESTMENT RELATED? : NO;
ADDRESS: 555 MARKET ST , SF CA;
NATURE OF BUSINESS: SOFTWARE DEVELOPMENT, NEWS AGGREGATION/READER;
TITLE/POSITION: OWNER;
START DATE OF AFFILIATION: JAN 2014;
NUMBER OF HOURS PER/MONTH DEVOTED : 1;



Registration & Employment History

OTHER BUSINESS ACTIVITIES

NUMBER OF TRADING HOURS PER/MONTH DEVOTED : 0;
DESCRIPTION OF DUTIES: SOFTWARE DEVELOPMENT.

7.)INSIGHT X LABS LLC;
INVESTMENT RELATED? : N;
ADDRESS: TIBURON CA 94920;
NATURE OF BUSINESS: SOFTWARE OPTIMIZATION & DEVELOPMENT;
TITLE/POSITION: MANAGING MEMBER;
START DATE OF AFFILIATION: NOV 2014;
NUMBER OF HOURS PER/MONTH DEVOTED : 30MIN;
NUMBER OF TRADING HOURS PER/MONTH DEVOTED : 0;
DESCRIPTION OF DUTIES: INSTRUCTOR: DEVELOPMENT AND OPTIMIZATION OF SOFTWARE.

9)BIETELAN INC. NOT INVESTMENT RELATED. 12544 HIGH BLUFF DR. SAN DIEGO, CA 92130. SOFTWARE FOR IOT. ADVISORY BOARD. START 7/2015. 1 HR/MONTH 0 DURING TRADING. I ASSIST IN STRATEGY DEVELOPMENT.

10) GEMINI PARTNERS LLC. INVESTMENT RELATED. 501 TIBURA BLVD. CA 94920. INVESTMENT VEHICLE. MANAGING PARTNER. START 1998. 1 HR/MONTH 1 DURING TRADING. THIS IS SIMPLY A VEHICLE THAT HOLDS OTHER INVESTMENTS.

11) CANNAE, NOT INVESTMENT RELATED. PHILADELPHIA, PA. SPARC ROCKETRY. START 2015, STRATEGIC ADVISOR, 0 HOURS SPENT.

12)AMP TRADING NOT INVESTMENT RELATED. MARKET ST, SAN FRANCISCO, CA. ADVERTISING, ADVISOR, 0 HOURS SPENT, INFORMAL ADVISOR.

13) HOVEE INC. NOT INVESTMENT RELATED. SAN FRANCISCO, CA. CAR SHARING SOCIAL NETWORK. START 6/2014. 0 HOURS. STRATEGIC ADVISOR

14) INTELLECTUS VENTURES. INVESTMENT RELATED. SAN FRANCISCO, CA. START DATE 06/2016. 0 HOURS. PRIVATE COMPANY INVESTMENTS. MANAGING MEMBER.



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
Customer Dispute	1

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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGES THAT MR. LAPLACA CHURNED HIS ACCOUNT, MISREPRESENTED THE SECURITIES RECOMMENDED TO THE CUSTOMER AND DID NOT PROVIDE HIM WITH AGREED UPON COMMISSION DISCOUNTS. THE ALLEGED DAMAGES ARE UNSPECIFIED, BUT APPEAR TO EXCEED \$5,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/10/1998

Complaint Pending? No

Status: Denied

Status Date: 01/09/1998

Settlement Amount:

Individual Contribution Amount:

Firm Statement CIBC WORLD MARKETS CORP. RESPONDED TO THE CLIENT DENYING THE CLAIM AND TO DATE WE NOT HEARD BACK FROM THE CLIENT. CIBC WORLD MARKETS CORP. CONSIDERS THE MATTER TO BE CLOSED.



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CIVC WORLD MARKETS CORP
Allegations: ALLEGED CHURNING OF ACCOUNT, ALLEGED MISREPRESENTATION OF SECURITIES RECOMMENDED, AND ALLEGEDLY DID NOT PROVIDE AGREED DISCOUNTS.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/10/1998

Complaint Pending? No

Status: Denied

Status Date: 10/09/1998

Settlement Amount:

Individual Contribution Amount:



End of Report

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