



IAPD Report

JOHN JACOB ZEZINI

CRD# 2657153

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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 JACOB ZEZINI (CRD# 2657153)

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 **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/13/2017
IA	GOLDEN STATE WEALTH MANAGEMENT, LLC	CRD# 167995	11/14/2017
IA	LPL FINANCIAL LLC	CRD# 6413	08/02/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	GENOVESE BURFORD & BROTHERS WEALTH AND RETIREMENT PLAN MGMT, LLC	105698	SACRAMENTO, CA	07/10/2015 - 03/29/2019
B	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SACRAMENTO, CA	06/29/2015 - 11/17/2017
IA	EDWARD JONES	250	EL DORADO HILLS, CA	11/06/2006 - 06/30/2015

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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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 Representative	Approved	11/13/2017
B	California	Agent	Approved	11/13/2017
IA	California	Investment Adviser Representative	Approved	08/02/2021
B	Idaho	Agent	Approved	11/13/2017
B	Nevada	Agent	Approved	11/13/2017
B	Pennsylvania	Agent	Approved	05/16/2022
B	Virginia	Agent	Approved	11/13/2017
B	Washington	Agent	Approved	11/21/2017

Branch Office Locations

LPL FINANCIAL LLC
4944 WINDPLAY DRIVE #115
EL DORADO HILLS, CA 95746-6818

LPL FINANCIAL LLC
5743 CORSA AVENUE, SUITE 113
WESTLAKE VILLAGE, CA 91362

LPL FINANCIAL LLC
GRANITE BAY, CA

Employment 2 of 2

Firm Name: **GOLDEN STATE WEALTH MANAGEMENT, LLC**
Main Address: 201 E. SANDPOINTE AVENUE
#460



Qualifications

Firm ID#: SOUTH COAST METRO, CA 92707
167995

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	11/14/2017
IA	Texas	Investment Adviser Representative	Approved	11/14/2017

Branch Office Locations

GOLDEN STATE WEALTH MANAGEMENT, LLC

4944 Windplay Dr., Suite 115
El Dorado Hills, CA 95762





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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	09/29/1998
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	08/20/1998

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/16/1996
	Municipal Securities Representative Examination (S52)	Series 52	10/02/1995

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/07/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/16/1995

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
IA	07/10/2015 - 03/29/2019	GENOVESE BURFORD & BROTHERS WEALTH AND RETIREMENT PLAN MGMT, LLC	CRD# 105698	SACRAMENTO, CA
B	06/29/2015 - 11/17/2017	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SACRAMENTO, CA
IA	11/06/2006 - 06/30/2015	EDWARD JONES	CRD# 250	EL DORADO HILLS, CA
B	02/20/2003 - 06/30/2015	EDWARD JONES	CRD# 250	EL DORADO HILLS, CA
B	01/13/2000 - 02/27/2003	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	DETROIT, MI
B	02/08/1999 - 02/10/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	10/03/1995 - 10/21/1998	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI
B	10/09/1998 - 10/20/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

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	Golden State Wealth Management, LLC	Investment Adviser Representative	Y	Granite Bay, CA, United States
11/2017 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	GRANITE BAY, CA, United States
06/2015 - 11/2017	GENOVESE BURFORD & BROTHERS WEALTH & RETIREMENT PLAN MGMT LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SACRAMENTO, CA, United States
06/2015 - 10/2017	ROYAL ALLIANCE	REGISTERED REPRESENTATIVE	Y	SACRAMENTO, CA, 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. 11/13/2017 - RENTAL PROPERTY/ REAL ESTATE RENTAL/ 0%/ 102 ALEZANE DR, FOLSOM, CA 95630
2. 11/13/2017 - GRANITE BAY WEALTH MANAGEMENT/ DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS)/ 80%/ GRANITE BAY, CA
3. 11/14/2017 - Golden State Wealth Management, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start Date 11/17/2017 - 120 Hours Per Month/6 Hours During Securities Trading - Time Spent 80% - I provide investment advisory services through Golden State Wealth Management, LLC, an independent investment advisor firm. I started this business activity in November 2017. I expect to spend approximately 120 hours per month on this activity. Please see the Form ADV of the advisory firm for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
4. 11/14/2017 - Golden State Wealth Management, LLC - DBA: Granite Bay Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Start Date 11/17/2017 - 120 Hours Per Month/6 Hours During Securities Trading - Time Spent 80% - I provide investment advisory services through Golden State Wealth Management, LLC, an independent investment advisor firm. I started this business activity in Nov 2017. I expect to spend approximately 120 hours per month on this activity. Please see the Form ADV of the advisory firm for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
5. 10/2/2020 - Westlake Investment Advisors - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 10/1/2020 - 120 Hours Per Month/6 Hours During Securities Trading.
6. 1/26/2022 - Golden State Asset Management, LLC ' DE - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 12/21/2021 - Time Spent 2% - I provide investment advisory services through Golden State Asset Management, LLC `DE, an independent investment advisor firm. I started this business activity in 1/2022. I expect to spend approximately 0 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.advisorinfo.sec.gov/IAPD>. This firm is separate from and independent of LPL Financial.
7. 09/29/2023 - Real Estate Rental - Investment Related - Granite Bay CA - Start Date 07/01/2023 - 0 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
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:	Individual
Employing firm when activities occurred which led to the complaint:	H&R BLOCK FINANCIAL ADVISORS, INC.
Allegations:	SUITABILITY, MISREPRESENTATION OF CALL FEATURE AND FAILURE TO DISCLOSE RISKS IN CONNECTION WITH 05/03/2001 PURCHASE OF 35 GEORGIA PACIFIC CORPORATE DEBENTURES.
Product Type:	Debt - Corporate
Alleged Damages:	\$15,000.00

Customer Complaint Information

Date Complaint Received:	09/09/2002
Complaint Pending?	No
Status:	Denied
Status Date:	11/26/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement	THE CHARACTERISTICS INCLUDING THE RISKS AND CALL FEATURE WERE DISCLOSED BEFORE THE CUSTOMER PURCHASED THE DEBENTURES. THE TRANSACTION WAS CONSISTENT WITH HIS STATED OBJECTIVES. THE ALLEGATIONS ARE WITHOUT MERIT AND THE FIRM DENIED THE CLAIM.
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End of Report

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