



IAPD Report

JOE TOM KING JR

CRD# 269945

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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

JOE TOM KING JR (CRD# 269945)

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 **04/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	06/03/2024
IA	LPL FINANCIAL LLC	CRD# 6413	06/04/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Panama City, FL	01/07/2019 - 06/07/2024
B	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Panama City, FL	01/04/2019 - 06/07/2024
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	PANAMA CITY, FL	04/27/2006 - 12/27/2018

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	2
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 **21** 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	06/03/2024
B	FINRA	General Securities Representative	Approved	06/03/2024
B	FINRA	General Securities Sales Supervisor	Approved	06/03/2024
B	FINRA	Municipal Securities Principal	Approved	06/03/2024
B	FINRA	Municipal Securities Representative	Approved	06/03/2024
B	FINRA	Registered Options Principal	Approved	06/03/2024
B	Alabama	Agent	Approved	06/17/2024
B	Alaska	Agent	Approved	07/01/2024
B	Arkansas	Agent	Approved	08/15/2024
B	California	Agent	Approved	06/03/2024
B	Colorado	Agent	Approved	06/03/2024
B	Florida	Agent	Approved	06/13/2024
IA	Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	06/06/2024
B Idaho	Agent	Approved	06/03/2024
B Kentucky	Agent	Approved	06/20/2024
B Louisiana	Agent	Approved	06/03/2024
B Maryland	Agent	Approved	06/03/2024
B Michigan	Agent	Approved	06/13/2024
B Mississippi	Agent	Approved	07/16/2024
B Nevada	Agent	Approved	06/13/2024
B New York	Agent	Approved	06/03/2024
B North Carolina	Agent	Approved	06/03/2024
B Ohio	Agent	Approved	06/03/2024
B Oregon	Agent	Approved	06/03/2024
B Tennessee	Agent	Approved	06/03/2024
B Texas	Agent	Approved	06/04/2024
IA Texas	Investment Adviser Representative	Restricted Approval	06/04/2024
B Virginia	Agent	Approved	07/09/2024

Branch Office Locations

LPL FINANCIAL LLC
3436 HIGHWAY 77 STE B
PANAMA CITY, FL 32405








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 5 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	11/11/1988
 General Securities Principal Examination (S24)	Series 24	10/27/1988
 Registered Options Principal Examination (S4)	Series 4	02/20/1984

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	02/20/1984
 General Securities Representative Examination (S7)	Series 7	09/19/1981
 Registered Representative Examination (S1)	Series 1	12/11/1968

State Securities Law Exams


Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/28/2006



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/18/1980

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	01/07/2019 - 06/07/2024	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Panama City, FL
B	01/04/2019 - 06/07/2024	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Panama City, FL
IA	04/27/2006 - 12/27/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	PANAMA CITY, FL
B	04/20/2006 - 12/27/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	PANAMA CITY, FL
B	07/31/1993 - 04/27/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PANAMA CITY, FL
IA	07/31/1993 - 04/27/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PANAMA CITY, FL
B	05/14/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	11/28/1983 - 05/14/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	09/02/1981 - 11/28/1983	A. G. EDWARDS & SONS, INC.	CRD# 4	
B	04/01/1980 - 10/29/1981	MOODY, DUNN & COMPANY	CRD# 7640	
B	10/26/1971 - 04/06/1973	JOHNSON, LANE, SPACE, SMITH & CO., INC.	CRD# 472	
B	12/18/1968 - 11/12/1971	J.C. BRADFORD & CO.	CRD# 1287	

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
06/2024 - Present	CAPITAL CITY BANK	Financial consultant	Y	Panama City, FL, United States
06/2024 - Present	LPL FINANCIAL	Registered representative	Y	Panama City, FL, United States
03/2020 - 06/2024	Ameriprise Financial Services, LLC	Registered Rep	Y	Panama City, FL, United States
01/2019 - 03/2020	Ameriprise Financial Services, Inc.	Registered Representative	Y	Destin, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2013 - 01/2019	Real School Work	Officer	N	Southport, FL, United States
04/2006 - 12/2018	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	PANAMA CITY, FL, 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- 05/2024 / Joe Tom King Author / Other - Author / Not Investment Related / 5 hr mth / Southport, FL / Start date: 08/01/2017
- 2) 03/06/2025 - Joe KING (JR) - Not Investment Related - Other - author - Home Based - Start Date:12/02/2024 - 5 Hrs/Mth - 0 Hrs During Trading.
- 3) 03/12/2025 - Capital City investments - Investment Related - DBA for LPL Business (entity for LPL business) - At reported business location(s) - Start Date:06/03/2024 - 160 Hrs/Mth - 8 Hrs During Trading.
- 4) 03/20/2025 - JOE KING (JR) - Other - published book - Not Investment Related - Home Based - Start Date:02/25/2025 - 10 Hrs/Mth - 0 Hrs 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	2
Termination	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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	CLAIMANT ALLEGES MISREPRESENTATION. ACTIVITY DATES IS 11/17/08 THRU 11/17/08.
Product Type:	Annuity-Variable
Alleged Damages:	\$11,313.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/28/2009
Complaint Pending?	No
Status:	Settled
Status Date:	04/28/2010
Settlement Amount:	\$1,361.00
Individual Contribution Amount:	\$1,361.00

**Disclosure 2 of 2**

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: E.F. HUTTON & CO., INC.

Allegations: VIOLATING SECTION 10(b) AND RULE 10(b)-5 OF THE SECURITIES EXCHANGE ACT OF 1934, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, COMMON LAW FRAUD, MISREPRESENTATION, CHURNING, UNSUITABILITY

Product Type:

Alleged Damages: \$106,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #90-00197

Date Notice/Process Served: 01/26/1990

Arbitration Pending? No

Disposition: Other

Disposition Date: 12/05/1990

Disposition Detail: AWARD AGAINST PARTY
** RESPONDENTS, HUTTON AND KING, ARE FOUND LIABLE, JOINTLY AND SEVERALLY AND SHALL PAY TO THE CLAIMANT THE AMOUNT OF \$19,140.00, PLUS INTEREST AT THE LEGAL RATE OF 12% PER ANNUM FROM SEPTEMBER 1, 1986 TO NOVEMBER 1, 1990 IN THE AMOUNT OF \$9,570.00 FOR A TOTAL DUE TO CLAIMANT OF \$28,710.00. **

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: E.F. HUTTON & CO., INC.

Allegations: CHURNING, MISREPRESENTATION AND UNAUTHORIZED TRADING, \$106,000 PLUS INTEREST, COSTS PUNITIVE DAMAGES AND ATTORNEYS' FEES.

Product Type:

Alleged Damages: \$106,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date: 12/05/1990

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 90-00197

Date Notice/Process Served: 01/26/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 12/05/1990

Monetary Compensation Amount: \$124,868.83

Individual Contribution Amount: \$28,710.00

Civil Litigation Information

Court Details: FIRST DISTRICT APPEALS; FL; 87-01580

Date Notice/Process Served: 06/01/1987

Litigation Pending? Yes

Broker Statement \$96,158.83 SHEARSON LEHMAN BROTHERS PAID TOTAL SETTLEMENT
Not Provided



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: Firm
Firm Name: Raymond James & Associates, Inc
Termination Type: Discharged
Termination Date: 12/06/2018
Allegations: Discharged due to concerns relating to the nature of advisor's UIT activity
Product Type: Unit Investment Trust

Reporting Source: Individual
Firm Name: Raymond James & Associates, Inc
Termination Type: Discharged
Termination Date: 12/06/2018
Allegations: Discharged due to concerns relating to the nature of advisor's UIT activity
Product Type: Unit Investment Trust



End of Report

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