IAPD Report

JAMES MICHAEL CHAPKIS

CRD# 2770441

Section Title | **Page(s)**

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JAMES MICHAEL CHAPKIS (CRD# 2770441)

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 **01/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	08/26/2025
IA	LPL FINANCIAL LLC	CRD# 6413	08/26/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	COEUR D'ALENE, ID	01/02/2009 - 08/28/2025
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	COEUR D'ALENE, ID	11/10/2008 - 08/28/2025
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	COEUR D'ALENE, ID	12/05/2008 - 01/02/2009

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	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 **11** 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	08/26/2025
B	FINRA	General Securities Representative	Approved	08/26/2025
B	Alabama	Agent	Approved	09/03/2025
B	Arizona	Agent	Approved	08/26/2025
B	California	Agent	Approved	08/26/2025
B	Idaho	Agent	Approved	08/27/2025
IA	Idaho	Investment Adviser Representative	Approved	08/27/2025
B	Maryland	Agent	Approved	08/26/2025
B	Montana	Agent	Approved	08/26/2025
B	Nevada	Agent	Approved	08/26/2025
B	New Jersey	Agent	Approved	08/26/2025
B	Oregon	Agent	Approved	08/26/2025
B	Texas	Agent	Approved	08/26/2025

Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	08/26/2025
B	Washington	Agent	Approved	08/26/2025

Branch Office Locations

LPL FINANCIAL LLC
COEUR D' ALENE, ID

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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/10/2010

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/21/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/04/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/04/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	01/02/2009 - 08/28/2025	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	COEUR D'ALENE, ID
B	11/10/2008 - 08/28/2025	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	COEUR D'ALENE, ID
IA	12/05/2008 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	COEUR D'ALENE, ID
IA	09/10/2007 - 11/12/2008	EDWARD JONES	CRD# 250	LAS VEGAS, NV
B	08/31/2007 - 11/12/2008	EDWARD JONES	CRD# 250	LAS VEGAS, NV
B	01/12/2001 - 09/05/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	LAS VEGAS, NV
B	03/02/1998 - 01/26/2001	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	01/04/1998 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	08/22/1996 - 12/22/1997	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
08/2025 - Present	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	COEUR D'ALENE, ID, United States
06/2015 - Present	STARMUS	Other	N	COEUR D'ALENE, ID, United States
01/2009 - 08/2025	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	INVESTMENT ADVISOR REP.	Y	COEUR D'ALENE, ID, United States
11/2008 - 08/2025	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	COEUR D'ALENE, ID, 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. 08/2025- Starmus- Business Entity For Tax/Investment Purposes Only- Non Inv Rel- Coeur D Alene, ID, 83814- 200 Hrs Per Mnth- 10 Hrs During Trading- Start Date 06/01/2015

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	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

Reporting Source:	Individual
Court Details:	JEFFERSON COUNTY COURT, STATE OF COLORADO. CASE NUMER 61422 NO. 7942455
Charge Date:	11/29/1979
Charge Details:	1. ONE COUNT, FRAUD USE OF GAS CREDIT CARD. 2. MISDEMEANOR 3.NO CONTEST 4. GAS CREDIT CARD (UNION 76) HAD OWNER AUTHORIZATION TO USE. $386.39 FRAUDULENT USE OF A CREDIT DEVICE
Felony?	No
Current Status:	Final
Status Date:	10/30/1981
Disposition Details:	MISDEMEANOR. FRAUDULENT USE OF A GAS CREDIT CARD THAT I WAS AUTHORIZED TO USE BUT WAS UNABLE TO VERIFY AT TIME OF ARREST. CHARGES WERE DISMISSED AFTER I PLED GUILTY TO BE RELEASED. STATEMENT FROM OWNER OF CREDIT CARD AVAILABLE UPON REQUEST.
Broker Statement	SEE ATTACHED I HAD PERMISSION TO USE GAS CREDIT CARD, HOWEVER UNABLE TO VERIFY THIS AT TIME OF ARREST. SEE ENCLOSED EXPLAINATION

Disclosure 2 of 2

Reporting Source:	Individual
Court Details:	POLICE DEPARTMENT LOS ANGELES COURT AGENCY CASE #1606111
Charge Date:	01/17/1978
Charge Details:	1. 1 COUNT,DISMISSED 1/30/78 POSS MARIJUANA FOR SALE 2.FELONY 3. NOT GUILTY 4..N/A

Felony?	Yes
Current Status:	Final
Status Date:	01/30/1978
Disposition Details:	A. DISMISSED B. 1/30/78 C. UNSUPERVISED PROBATION D. 12 MONTHS E. $50.00
Broker Statement	I WAS RIDING IN A CAR WHERE MARIJUANA WAS FOUND, WHEN IT WAS DETERMINED THAT I HAD NO KNOWLEDGE, CHARGE'S WERE DISMISSED AND I WAS RELEASED. ARREST OCCURED 1/17/78-RELEASED 1/18/78-CHARGED DISMISSED 1/30/78

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:	AE "CONVEYED" INCORRECT INFORMATION AND RESORTED TO AGRESSIVE SELLING OF MIDCOM STOCK SAYING IT WOULD ALLOW A "SURE GAIN" WITH "NO DOWNSIDE".
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	12/04/1997
Complaint Pending?	No
Status:	Denied
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	REJECTED AS ENTIRELY WITHOUT MERIT. AE VEHEMENTLY DENIES ALL ALLEGATIONS.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	CLIENT ALLEGED THAT MR. CHAPKIS "CONVEYED" INCORRECT INFORMATION AND RESORTED TO AGGRESSIVE SELLING OF MIDCOM STOCK SAYING IT WOULD ALLOW A "SURE GAIN" WITH "NO DOWNSIDE".
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	12/04/1997
Complaint Pending?	No
Status:	Denied
Status Date:	

Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	DEAN WITTER FOUND THE CLAIM TO BE ENTIRELY WITHOUT MERIT AND REJECTED THE CLAIM. AT NO TIME WAS CUSTOMER EVER OFFERED ANHY GUARANTEES AS TO THE PERFORMANCE THAT COULD BE EXPECTED FROM MIDCOMS STOCK. ALL INFORMATION GIVEN TO THE CUSTOMER WAS CONFINED TO INFORMATION PROVIDED TO ME BY DEAN WITTER.

End of Report

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