



IAPD Report

CHARLES JOSEPH ROOT JR

CRD# 403716

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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

CHARLES JOSEPH ROOT JR (CRD# 403716)

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 **08/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DOUBLE EAGLE FINANCIAL	CRD# 137331	02/01/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	LPL FINANCIAL LLC	6413	SANTA ROSA, CA	11/19/1996 - 10/25/2024
B	LPL FINANCIAL LLC	6413	SANTA ROSA, CA	05/12/1995 - 10/25/2024
B	ARAGON FINANCIAL SERVICES, INC.	16023	IRVINE, CA	01/04/1993 - 05/03/1995

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
Regulatory Event	1
Criminal	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **DOUBLE EAGLE FINANCIAL**
Main Address: SANTA ROSA, CA
Firm ID#: 137331

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	02/01/2018

Branch Office Locations

DOUBLE EAGLE FINANCIAL
Santa Rosa, CA




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/02/2023

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Registered Representative Examination (S1)	Series 1	05/16/1969

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/31/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/31/1996

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	11/19/1996 - 10/25/2024	LPL FINANCIAL LLC	CRD# 6413	SANTA ROSA, CA
B	05/12/1995 - 10/25/2024	LPL FINANCIAL LLC	CRD# 6413	SANTA ROSA, CA
B	01/04/1993 - 05/03/1995	ARAGON FINANCIAL SERVICES, INC.	CRD# 16023	IRVINE, CA
B	07/07/1982 - 12/31/1990	PLANNED INVESTMENTS INC.	CRD# 5066	ATLANTA, GA
B	07/05/1977 - 12/28/1983	HOME LIFE INSURANCE COMPANY	CRD# 4184	
B	08/26/1980 - 06/17/1982	PROTECTED INVESTORS OF AMERICA	CRD# 6082	
B	01/24/1975 - 07/19/1975	M. H. DECKARD & CO., INC.	CRD# 539	
B	01/04/1974 - 02/01/1975	UNIVERSITY SECURITIES CORPORATION	CRD# 6518	
B	06/27/1972 - 02/07/1974	BLC EQUITY SERVICES CORPORATION	CRD# 1137	
B	12/29/1970 - 06/30/1972	SPECTRUM FINANCIAL GROUP, INC.	CRD# 948	

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
01/1984 - Present	Double Eagle Financial	Investment Adviser Representative	Y	SANTA ROSA, CA, United States
12/1997 - 10/2024	LPL Financial, LLC	Investment Adviser Representative	Y	Santa Rosa, CA, United States
05/1995 - 10/2024	LPL FINANCIAL LLC	Registered Representative	Y	SANTA ROSA, CA, United States
07/1986 - 10/2024	DOUBLE EAGLE FINANCIAL	Investment Adviser Representative	N	SANTA ROSA, CA, United States
04/1969 - 10/2024	PRINCIPAL MUTUAL LIFE INSURANCE	OTHER - LIFE AGENT BROKER	N	SANTA ROSA, 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.

8/10/2015 - NO BUSINESS NAME - Investment Related - 2821 Yuma Court, Santa Rosa, CA 95403 - Real Estate Rental - START 06/01/2005 - 2 Hours Per Month/0 Hours During Securities Trading - We inherited this rental 11 years ago, and it is rented to our housekeeper for at market rent.



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
Regulatory Event	1
Criminal	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/24/1983

Docket/Case Number: SF-973

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 08/26/1983

Sanctions Ordered: Censure
Monetary/Fine \$1,438.00

Other Sanctions Ordered:

Sanction Details:

**Regulator Statement**

COMP #SF-973, FILED 5/24/83, DIST. #2N, ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - ENGAGED IN PRIVATE SECURITIES TRANSACTIONS OUTSIDE THE SCOPE OF HIS EMPLOYMENT WITH PROTECTED INVESTORS OF AMERICAN WITHOUT PRIOR WRITTEN NOTIFICATION THEREOF TO HIS EMPLOYER FOR WHICH HE RECEIVED COMPENSATION DIRECTLY FROM THE ISSUER IN CONTRAVENTION OF THE B/G'S INTERPRETATION WITH RESPECT TO PRIVATE SECURITIES TRANSACTIONS.****DECISION RENDERED 8/26/83, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY ROOT IS ACCEPTED; THEREFORE HE IS CENSURED AND FINED \$1,438. ALL RIGHTS OF APPEAL AND REVIEW HAVE BEEN WAIVED, THIS DECISION WAS FINAL 8/26/83.

Reporting Source: Individual

Regulatory Action Initiated By: 22F NASD OFFICE SAN FRANCISCO

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/24/1983

Docket/Case Number: SF-973

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: 22F - SELLING AWAY FROM BROKER DEALER

Current Status: Final

Resolution: Consent

Resolution Date: 08/26/1983

Sanctions Ordered: Censure
Monetary/Fine \$1,438.00

Other Sanctions Ordered:

Sanction Details: 22F - FINE IN AMOUNT OF \$1,143 EQUAL TO COMMISSION - NO SUSPENSION

Broker Statement Not Provided



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 1

Reporting Source:	Individual
Court Details:	22A-DISTRICT ATTORNEY-COUNTY OF MARIN 22F NASD OFFICE SAN FRANCISCO 22A NOT KNOWN 22F NASD #SF973
Charge Date:	05/07/1971
Charge Details:	22A-NON SUFFICIENT FUNDS CHECK-FELONY-CHECK AMOUNT \$75 22F-SELLING AWAY FROM BROKER DEALER 22A-COMPLETE-SUMMARY PROBATION 6 MO
Felony?	
Current Status:	Final
Status Date:	06/01/1971
Disposition Details:	22A-FELONY-SUMMARY PROBATION-ACTION TO BE EXPUNGED AFTER 1 YEAR. 22F. FINE IN AMOUNT OF \$1143 EQUAL TO COMMISSION - NO SUSPENSION
Broker Statement	Not Provided



End of Report

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