



IAPD Report

JESSICA ROGAN STRINI

CRD# 4426724

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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

JESSICA ROGAN STRINI (CRD# 4426724)

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 **06/11/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/07/2021
IA	LPL FINANCIAL LLC	CRD# 6413	05/07/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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	BMO HARRIS FINANCIAL ADVISORS, INC	137115	MILWAUKEE, WI	08/01/2012 - 05/04/2021
B	BMO HARRIS FINANCIAL ADVISORS, INC.	137115	MILWAUKEE, WI	08/01/2012 - 05/04/2021
IA	M&I FINANCIAL ADVISORS, INC.	16517	BROOKFIELD, WI	04/23/2012 - 08/01/2012

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



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 **53** 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	05/07/2021
B	FINRA	General Securities Representative	Approved	05/07/2021
B	FINRA	Municipal Securities Principal	Approved	05/07/2021
B	FINRA	Municipal Securities Representative	Approved	05/07/2021
B	FINRA	Registered Options Principal	Approved	11/27/2023
B	Alabama	Agent	Approved	05/12/2021
B	Alaska	Agent	Approved	05/19/2021
B	Arizona	Agent	Approved	05/13/2021
B	Arkansas	Agent	Approved	05/10/2021
B	California	Agent	Approved	05/07/2021
B	Colorado	Agent	Approved	05/12/2021
B	Connecticut	Agent	Approved	05/07/2021
B	Delaware	Agent	Approved	05/14/2021



Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	05/11/2021
B Florida	Agent	Approved	05/10/2021
B Georgia	Agent	Approved	05/10/2021
B Hawaii	Agent	Approved	07/15/2021
B Idaho	Agent	Approved	05/10/2021
B Illinois	Agent	Approved	05/13/2021
B Indiana	Agent	Approved	05/13/2021
B Iowa	Agent	Approved	05/10/2021
B Kansas	Agent	Approved	05/07/2021
B Kentucky	Agent	Approved	05/11/2021
B Louisiana	Agent	Approved	05/11/2021
B Maine	Agent	Approved	05/07/2021
B Maryland	Agent	Approved	05/10/2021
B Massachusetts	Agent	Approved	05/10/2021
B Michigan	Agent	Approved	05/11/2021
B Minnesota	Agent	Approved	05/12/2021
B Mississippi	Agent	Approved	05/18/2021
B Missouri	Agent	Approved	05/10/2021
B Montana	Agent	Approved	05/07/2021



Qualifications

Regulator	Registration	Status	Date
B Nebraska	Agent	Approved	05/26/2021
B Nevada	Agent	Approved	05/17/2021
B New Hampshire	Agent	Approved	05/07/2021
B New Jersey	Agent	Approved	05/11/2021
B New Mexico	Agent	Approved	05/11/2021
B New York	Agent	Approved	05/11/2021
B North Carolina	Agent	Approved	05/10/2021
B North Dakota	Agent	Approved	05/10/2021
B Ohio	Agent	Approved	05/07/2021
B Oklahoma	Agent	Approved	05/11/2021
B Oregon	Agent	Approved	05/13/2021
B Pennsylvania	Agent	Approved	05/10/2021
B Puerto Rico	Agent	Approved	05/13/2021
B Rhode Island	Agent	Approved	05/11/2021
B South Carolina	Agent	Approved	05/11/2021
B South Dakota	Agent	Approved	06/15/2021
B Tennessee	Agent	Approved	05/10/2021
B Texas	Agent	Approved	05/07/2021
B Utah	Agent	Approved	05/10/2021



Qualifications

Regulator	Registration	Status	Date
B Vermont	Agent	Approved	05/10/2021
B Virgin Islands	Agent	Approved	05/12/2021
B Virginia	Agent	Approved	05/12/2021
B Washington	Agent	Approved	05/12/2021
B West Virginia	Agent	Approved	05/13/2021
B Wisconsin	Agent	Approved	05/07/2021
IA Wisconsin	Investment Adviser Representative	Approved	05/07/2021
B Wyoming	Agent	Approved	05/11/2021

Branch Office Locations

LPL FINANCIAL LLC
1014 LAYARD AVE
RACINE, WI 53402






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 3 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	11/27/2023
 Municipal Securities Principal Examination (S53)	Series 53	10/26/2016
 General Securities Principal Examination (S24)	Series 24	06/08/2013

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
 General Securities Representative Examination (S7)	Series 7	08/02/2001

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	10/01/2001

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	08/01/2012 - 05/04/2021	BMO HARRIS FINANCIAL ADVISORS, INC	CRD# 137115	MILWAUKEE, WI
B	08/01/2012 - 05/04/2021	BMO HARRIS FINANCIAL ADVISORS, INC.	CRD# 137115	MILWAUKEE, WI
IA	04/23/2012 - 08/01/2012	M&I FINANCIAL ADVISORS, INC.	CRD# 16517	BROOKFIELD, WI
B	12/20/2007 - 08/01/2012	M&I FINANCIAL ADVISORS, INC	CRD# 16517	BROOKFIELD, WI
IA	05/03/2010 - 04/18/2012	M&I INVESTMENT MANAGEMENT CORP.	CRD# 109802	MILWAUKEE, WI
IA	12/20/2007 - 03/31/2010	M&I FINANCIAL ADVISORS, INC.	CRD# 16517	BROOKFIELD, WI
B	07/06/2005 - 12/13/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MILWAUKEE, WI
IA	07/06/2005 - 12/13/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MILWAUKEE, WI
IA	09/17/2002 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	NEW ORLEANS, LA
B	04/17/2002 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
B	08/03/2001 - 01/30/2002	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	08/03/2001 - 01/30/2002	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
05/2021 - Present	LPL Financial LLC	Registered Representative / Home Office Employee	Y	Racine, WI, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2012 - 04/2021	BMO HARRIS FINANCIAL ADVISORS, INC.	Mass Transfer	Y	CUDAHY, WI, United States
07/2011 - 04/2021	BMO HARRIS BANK	REGISTERED REP	Y	MILWAUKEE, WI, 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.

- 04/18/2024 - The Rave - Non-Inv Related - Milwaukee, WI - Outside/W-2 Employment - Started: 5/16/2024 - 36 Hrs/Mo; 0 Hr 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

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:	Firm
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP
Allegations:	CLIENT ALLEGES MISREPRESENTATION IN CONNECTION WITH A UIT. ACTIVITY DATES 12/12/06-12/12/06.
Product Type:	Unit Investment Trust(s)
Alleged Damages:	\$15,119.85

Customer Complaint Information

Date Complaint Received:	04/08/2009
Complaint Pending?	No
Status:	Settled
Status Date:	03/10/2009
Settlement Amount:	\$15,119.85
Individual Contribution Amount:	\$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP



Allegations: CLIENT ALLEGES MISREPRESENTATION IN CONNECTION WITH A UIT.
ACTIVITY DATES 12/12/06-12/12/06

Product Type: Unit Investment Trust

Alleged Damages: \$15,119.85

Customer Complaint Information

Date Complaint Received: 04/08/2009

Complaint Pending? No

Status: Settled

Status Date: 03/10/2009

Settlement Amount: \$15,119.85

Individual Contribution Amount: \$0.00

Broker Statement

AFTER I LEFT THE EMPLOY OF CHASE INVESTMENT SERVICES CORP (CISC) ON DECEMBER 12, 2007, CISC ALLEGEDLY RECEIVED AN ORAL COMPLAINT FROM [CUSTOMER] ON APRIL 8TH, 2009, CLAIMING THAT I MISREPRESENTED A UNIT INVESTMENT TRUST (UIT). I WAS NOT INFORMED OF THE COMPLAINT, GIVEN AN OPPORTUNITY TO RESPOND TO THE ALLEGATIONS OF [CUSTOMER], OR CONSULTED REGARDING CISC'S DECISION ON THIS MATTER. CISC DID NOT INFORM ME OF THE ORAL COMPLAINT INSTEAD UNDER COVER OF A LETTER DATED APRIL 16TH, 2009 IT MAILED TO ME A COPY OF AN AMENDMENT TO MY FORM U-5. I DENY ANY MISREPRESENTATION OF A UNIT INVESTMENT TRUST (UIT) INVESTMENT. [CUSTOMER] WAS INFORMED OF ALL OF THE INFORMATION INVOLVED REGARDING THE UIT INCLUDING A PROSPECTUS AND FACT SHEETS. [CUSTOMER] ALSO SIGNED AND ACKNOWLEDGED ALL OF CISC'S COMPLIANCE, ACCOUNT OPENING AND DISCLOSURE DOCUMENTS AS REQUIRED BY CISC AND THEIR COMPLIANCE DEPARTMENT. ALL OF THIS PAPERWORK WAS APPROVED BY CISC'S COMPLIANCE/PRINCIPLE AND APPROVED FOR SUITABILITY AND COMPLIANCE WHICH ALLOWED THE INVESTMENT TO BE ISSUED PER CISC'S STRICT COMPLIANCE GUIDELINES.

WHEN I LEFT CHASE, PER MY AGREEMENT, I DID NOT RETAIN ANY CLIENT FILES, CONTACTS ETC. IT WAS ALSO MY UNDERSTANDING THAT UPON MY DEPARTURE, ALL CLIENTS AND CLIENT FILES WOULD BE ASSIGNED TO ANOTHER FINANCIAL ADVISOR WITHIN CHASE INVESTMENT SERVICES SO THAT THE CLIENT WOULD CONTINUE BEING SERVICED WITH REVIEWS OF THE PRODUCT ON A TIMELY, SEMIANNUAL MANNER, AND PROVIDED ANY OPTIONS THAT MAY BE AVAILABLE. I HAVE NOT HAD ANY CONTACT OR COMMUNICATION FROM THE CLIENT AS OF MY DEPARTURE DATE OF DECEMBER 12, 2007. UPON MY DEPARTURE THIS CLIENT WAS HAPPY WITH THE UIT AND DID NOT FEEL THAT THERE WAS NO MISREPRESENTATION. AGAIN, I DENY ANY OF THESE ALLEGATIONS AND SPECIFICALLY ANY MISREPRESENTATION.

IT APPEARS THAT THE "COMPLAINT" WAS GENERATED BY CISC TO INTERFERE WITH MY ABILITY TO CONDUCT BUSINESS AFTER MY DEPARTURE FROM CISC OR IN RETALIATION FOR MY DECISION TO LEAVE CISC AND JOIN A MAJOR

Disclosure 2 of 2

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES REP FAILED TO FOLLOW INSTRUCTIONS AND MISREPRESENTED A VARIABLE ANNUITY INVESTMENT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$25,974.00

Customer Complaint Information

Date Complaint Received: 09/15/2008

Complaint Pending? No

Status: Settled

Status Date: 12/10/2008

Settlement Amount: \$26,233.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES REP FAILED TO FOLLOW INSTRUCTIONS AND MISREPRESENTED A VARIABLE ANNUITY INVESTMENT

Product Type: Annuity(ies) - Variable

Alleged Damages: \$25,974.00

Customer Complaint Information

Date Complaint Received: 09/15/2008

Complaint Pending? No

Status: Settled

Status Date: 12/10/2008

Settlement Amount: \$26,233.00

Individual Contribution Amount: \$0.00

Broker Statement

AFTER I LEFT THE EMPLOY OF CHASE INVESTMENT SERVICES CORP (CISC) ON DECEMBER 12, 2007, CISC ALLEGEDLY RECEIVED AND ORAL COMPLAINT FROM [CUSTOMER] ON SEPTEMBER 12, 2008, CLAIMING THAT I FAILED TO FOLLOW INSTRUCTIONS AND MISREPRESENTED A VARIABLE ANNUITY INVESTMENT. I WAS NOT INFORMED OF THE COMPLAINT, GIVEN AN OPPORTUNITY TO RESPOND TO THE ALLEGATIONS OF [CUSTOMER], OR CONSULTED REGARDING CISC'S DECISION ON THIS MATTER. CISC DID NOT INFORM ME OF THE ORAL COMPLAINT OR OF THE SETTLEMENT UNTIL, UNDER COVER OF A LETTER DATED OCTOBER 6, 2008, THEY MAILED TO ME A COPY OF AN AMENDMENT TO MY FORM U-5. I DENY ANY MISREPRESENTATION OF A VARIABLE ANNUITY INVESTMENT AND ALSO DENY ANY FAILURE TO FOLLOW INSTRUCTIONS GIVEN BY



[CUSTOMER]. [CUSTOMER] WAS INFORMED OF ALL THE INFORMATION INVOLVED REGARDING THE VA, INCLUDING A PROSPECTUS. SHE ALSO SIGNED AND ACKNOWLEDGED ALL OF CISC'S COMPLIANCE, ACCOUNT OPENING AND DISCLOSURE DOCUMENTS AS REQUIRED BY CISC AND THEIR COMPLIANCE DEPARTMENT AND WAS CONTACTED BY MY MANAGER AT THE TIME TO CONFIRM HER UNDERSTANDING OF THE PRODUCT SHE PURCHASED. IT APPEARS THAT THE "COMPLAINT" WAS GENERATED AND SETTLED BY CISC TO INTERFERE WITH MY ABILITY TO CONDUCT BUSINESS AFTER MY DEPARTURE FROM CISC OR IN RETALIATION FOR MY DECISION TO LEAVE CISC AND JOIN A COMPETITOR AND DAMAGE MY REPUTATION AND GOOD STANDING WITH FINRA.



End of Report

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