



IAPD Report

RICHARD JOHN RUSTIN

CRD# 4483351

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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

RICHARD JOHN RUSTIN (CRD# 4483351)

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 **03/09/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	12/16/2021
IA	LPL FINANCIAL LLC	CRD# 6413	12/16/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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
B	SECURITIES AMERICA, INC.	10205	HUNTINGTON BEACH, CA	10/26/2017 - 12/21/2021
IA	SECURITIES AMERICA ADVISORS, INC.	110518	HUNTINGTON BEACH, CA	10/24/2017 - 12/21/2021
IA	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	HUNTINGTON BEACH, CA	02/10/2010 - 10/26/2017

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 2 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	12/16/2021
B FINRA	General Securities Representative	Approved	12/16/2021
B FINRA	Invest. Co and Variable Contracts	Approved	12/16/2021
B California	Agent	Approved	12/16/2021
IA California	Investment Adviser Representative	Approved	12/16/2021
B Florida	Agent	Approved	03/07/2022

Branch Office Locations

LPL FINANCIAL LLC
7561 CENTER AVE STE 17
HUNTINGTON BEACH, CA 92647




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	03/20/2006

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/04/2005
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/12/2001

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	03/07/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/2001

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
B	10/26/2017 - 12/21/2021	SECURITIES AMERICA, INC.	CRD# 10205	HUNTINGTON BEACH, (
IA	10/24/2017 - 12/21/2021	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	HUNTINGTON BEACH, (
IA	02/10/2010 - 10/26/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	HUNTINGTON BEACH, (
B	01/21/2010 - 10/26/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	HUNTINGTON BEACH, (
IA	01/21/2010 - 01/27/2010	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	HUNTINGTON BEACH, (
IA	03/30/2005 - 01/26/2010	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	HUNTINGTON BEACH, (
B	05/16/2002 - 01/26/2010	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	HUNTINGTON BEACH, (
B	02/12/2002 - 05/28/2002	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY
B	12/13/2001 - 03/01/2002	FORESTERS EQUITY SERVICES, INC.	CRD# 18464	SAN DIEGO, CA

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
12/2021 - Present	LPL Financial LLC	Registered Representative	Y	Huntington Beach, CA, United States
10/2017 - 12/2021	SECURITIES AMERICA ADVISORS	INVESTMENT ADVISOR REP	Y	HUNTINGTON BEACH, CA, United States
10/2017 - 12/2021	SECURITIES AMERICA INC.	REGISTERED REP	Y	HUNTINGTON BEACH, CA, United States
01/2010 - 10/2017	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	ORANGE, 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. 2/10/2022 - GATEWAY FINANCIAL SERVICES - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 02/10/2022 - 50 Hours Per Month.
2. 2/14/2022 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 02/10/2022 - 20 Hours Per Month/0 Hours During Securities Trading.
3. 02/17/2022 - No Business Name - Investment Related - Home Based - Other-NONE - Hobby Collector - Start Date: 01/01/2021 - 15 Hours Per Month/0 Hours During Securities Trading - Buying/Selling Sports and Movie Collectibles and Non-Fungible Tokens.



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:	Individual
Regulatory Action Initiated By:	STATE OF CALIFORNIA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Revocation Suspension
Date Initiated:	06/09/2009
Docket/Case Number:	LBB 5431-AP (AR)
Employing firm when activity occurred which led to the regulatory action:	WOODBURY FINANCIAL SERVICES, INC.
Product Type:	Insurance
Allegations:	REPRESENTATIVE FAILED TO DISCLOSE A CHANGE TO HIS BACKGROUND INFORMATION.
Current Status:	Final
Resolution:	STIPULATION AND WAIVER
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/09/2010
Sanctions Ordered:	Monetary Penalty other than Fines



Revocation
Other: REVOCATION OF UNRESTRICTED LICENSE AND ISSUANCE OF
RESTRICTED LICENSE

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$200.00

Portion Levied against individual: \$200.00

Payment Plan: PAYMENT MUST BE MADE WITHIN 3 MONTHS

Is Payment Plan Current: Yes

Date Paid by individual: 02/22/2010

Was any portion of penalty waived? No

Amount Waived:



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
Formal Charges were brought in:	State Court
Name of Court:	Superior Court of California, County of Orange
Location of Court:	Newport Beach, CA
Docket/Case #:	IPD-11-14153
Charge Date:	10/04/2011
Charge(s) 1 of 3	
Formal Charge(s)/Description:	F 11358 HSC Cultivation of Marijuana
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Dismissed
Charge(s) 2 of 3	
Formal Charge(s)/Description:	F 11360(a) HSC Transporting Marijuana
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Dismissed
Charge(s) 3 of 3	
Formal Charge(s)/Description:	F 11359 HSC Possession of Marijuana for Sale
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	04/03/2012
Disposition Date:	04/03/2012
Sentence/Penalty:	Beginning 4/3/2012 and ending 4/3/2015 6 mos suspended sentence, 3 years informal probation, Fines and costs of \$2,170 and \$2800 to the Victim Witness Emergency Fund. Paid in full on 6/27/2012.
Broker Statement	All felony charges were dismissed in their entirety. The representative is in an aggressive state of [redacted] and these charges were dismissed based on the



representative's medical use need under the California Compassionate Use Act.



End of Report

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