



IAPD Report

JOEL T. BARJENBRUCH

CRD# 5295640

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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

JOEL T. BARJENBRUCH (CRD# 5295640)

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 **05/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024
IA	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Omaha, NE	07/06/2023 - 11/14/2024
B	PRUCO SECURITIES, LLC.	5685	Omaha, NE	06/06/2023 - 11/14/2024
IA	D.H. HILL ADVISORS, INC.	116324	LINCOLN, NE	01/08/2015 - 07/05/2023

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
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 **17** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 8733

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/14/2024
B	Alabama	Agent	Approved	11/14/2024
B	California	Agent	Approved	05/07/2026
B	Colorado	Agent	Approved	10/24/2025
B	Florida	Agent	Approved	11/18/2024
B	Indiana	Agent	Approved	11/14/2024
B	Iowa	Agent	Approved	11/14/2024
B	Kansas	Agent	Approved	11/14/2024
B	Missouri	Agent	Approved	11/14/2024
IA	Missouri	Investment Adviser Representative	Approved	09/16/2025
B	Montana	Agent	Approved	04/25/2025
B	Nebraska	Agent	Approved	11/14/2024
IA	Nebraska	Investment Adviser Representative	Approved	11/14/2024



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	11/14/2024
B North Dakota	Agent	Approved	11/14/2024
B Oregon	Agent	Approved	11/14/2024
B South Dakota	Agent	Approved	01/29/2026
B Texas	Agent	Approved	11/14/2024
IA Texas	Investment Adviser Representative	Restricted Approval	11/14/2024
B Utah	Agent	Approved	11/14/2024
B Wisconsin	Agent	Approved	11/14/2024

Branch Office Locations

LPL ENTERPRISE, LLC
 7120 STEPHANIE LANE
 #200
 LINCOLN, NE 68516

LPL ENTERPRISE, LLC
 12312 OLIVE BOULEVARD
 SUITE 300
 ST LOUIS, MO 63141-6474

LPL ENTERPRISE, LLC
 13057 W. CENTER RD
 SUITE 12
 OMAHA, NE 68144



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	06/07/2012
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/10/2007

State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	12/21/2012
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/15/2007

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	07/06/2023 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Omaha, NE
B	06/06/2023 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	Omaha, NE
IA	01/08/2015 - 07/05/2023	D.H. HILL ADVISORS, INC.	CRD# 116324	LINCOLN, NE
B	01/02/2015 - 07/05/2023	D.H. HILL SECURITIES, LLLP	CRD# 41528	Lincoln, NE
IA	02/01/2013 - 12/31/2014	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	LINCOLN, NE
B	03/19/2012 - 12/31/2014	SECURITIES AMERICA, INC.	CRD# 10205	SCRIBNER, NE
B	11/02/2010 - 03/23/2012	FIRST HEARTLAND CAPITAL, INC.	CRD# 32460	LINCOLN, NE
B	05/11/2007 - 10/20/2010	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	LINCOLN, NE

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
11/2024 - Present	LPL ENTERPRISE, LLC	Mass Transfer	Y	Omaha, NE, United States
05/2023 - Present	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	FINANCIAL PROFESSIONAL	Y	Omaha, NE, United States
05/2023 - 11/2024	PRUCO SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	Omaha, NE, United States
01/2015 - 05/2023	D.H. HILL ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	OMAHA, NE, United States
01/2015 - 05/2023	D.H. HILL SECURITIES, LLLP	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, 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) 12/24/2024- Domaine WB, LLC- Rent Commercial Office Buildings- Real Estate Rental- INV Related- Omaha, NE- Start Date 01/01/2021- 10hrs/mth- 10hrs during trading
- 2) 12/24/2024- JS Financial, Inc.- Director of Marketing and Client Relations for this DBA- DBA for LPL Business (entity for LPL business)- INV Related- Omaha, NE- 160hrs/mth- 160hrs during trading
- 3) 12/20/2024- JTJR Holdings, LLC- Office Space ownership and rental - 7120 Stephanie Lane, Suite 200, Lincoln, NE 68516- Real Estate Rental- INV Related- Start Date 08/22/2021- 1hrs/mth- 0hrs during trading
- 4) 12/20/2024- Insura Financial Group, Inc.- Medicare Agent- Non-Variable Insurance- INV Related- Omaha, NE- Start Date 11/27/2020- 10hrs/mth- 10hrs during trading
- 5) 12/24/2024 - Joel Barjenbruch - Non-Variable Insurance - Insurance Sales - INV Related - At Lincoln, NE - Start Date 01/01/2007 - 40hrs/mth - 40hrs During Trading
- 6) 07/08/2025-Prudential Sponsored Non-Variable Insurance-Non-Variable Insurance/Insurance Agency-Inv related-At reported business location(s)



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
Customer Dispute	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: Nebraska

Sanction(s) Sought: Monetary Penalty other than Fines

Date Initiated: 10/29/2015

Docket/Case Number: N/A

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: SECURITIES AMERICA, INC.

Product Type: No Product

Allegations: Dishonest and unethical business practices, in violation of 48 NAC 12.003.06, and Neb. Rev. Stat. 8-1103(9)(a) (Reissue 2012), in that Barjenbruch violated FINRA rule 2210 in that he failed to include the required disclosures in a Communication, and failed to and submit the Communication to Securities America for its approval.

Current Status: Final

Resolution: Consent

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: 10/29/2015
Sanctions Ordered: Monetary Penalty other than Fines

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines
Total Amount: \$1,500.00
Portion Levied against individual: \$1,500.00

Payment Plan:

Is Payment Plan Current:
Date Paid by individual: 10/29/2015

Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual
Regulatory Action Initiated By: State of Nebraska Department of Banking & Finance

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated: 10/29/2015

Docket/Case Number: N/A

Employing firm when activity occurred which led to the regulatory action: Securities America Advisors, Inc.

Product Type: Annuity-Fixed

Allegations: Violation of FINRA Rule 2210; that Mr. Barjenbruch failed to submit communications for principal approval, and communications failed to include required disclosures.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 10/29/2015
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$1,500.00



Portion Levied against individual: \$1,500.00

Payment Plan: Paid in Full

Is Payment Plan Current: Yes

Date Paid by individual: 10/26/2015

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

I made an administrative oversight that was purely clerical and, by no means, was it intentionally dishonest and/or unethical. A proper disclosure from my compliance department was unintentionally left off the invitation for an August 5th & 6th, 2014, educational workshop I had planned to host. It was not done with the intent to mislead or harm any consumers receiving the invitation. Realizing my mistake, I did not take this situation lightly. I immediately took actions of my own volition to ensure that no one would be further affected by this mistake. I canceled both events, and neither presentation took place. I have never made such a mistake before and never intend to do so again. I came to terms and consent with the Nebraska Department of Banking & Finance as resolution for this administrative mistake.



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: D.H. HILL SECURITIES, LLLP

Allegations: Claimants became clients in Jan 2021 and continue to be clients of representative. Claimants allege unsuitable recommendation of product.

Product Type: Debt-Asset Backed

Alleged Damages: \$250,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-01915

Date Notice/Process Served: 09/17/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/21/2024

Monetary Compensation Amount: \$125,000.00

Individual Contribution Amount: \$60,000.00

Firm Statement The Firm denies all allegations of wrongdoing in connection with this matter. All investments were completely suitable based on information provided by the client, and the material risks and features of the investments were fully and accurately disclosed to the client. The Firm made a business decision to resolve this matter in order to avoid the costs and distraction of further litigation.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: D.H. HILL SECURITIES, LLLP

Allegations: Claimants became clients in Jan 2021 and continue to be clients of representative. Claimants allege unsuitable recommendation of product.

Product Type: Debt-Asset Backed

Alleged Damages: \$250,000.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-01915

Date Notice/Process Served: 09/17/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/21/2024

Monetary Compensation Amount: \$125,000.00

Individual Contribution Amount: \$60,000.00

Broker Statement The Firm denies all allegations of wrongdoing in connection with this matter. All investments were completely suitable based on information provided by the client, and the material risks and features of the investments were fully and accurately disclosed to the client. The Firm made a business decision to resolve this matter in order to avoid the costs and distraction of further litigation.



End of Report

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