



IAPD Report

JAMES GLENWRIGHT UNGER

CRD# 5580380

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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

JAMES GLENWRIGHT UNGER (CRD# 5580380)

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 **06/10/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DBK FINANCIAL COUNSEL, LLC	CRD# 170688	05/14/2024

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	CANTON, OH	05/24/2022 - 06/10/2024
B	LPL FINANCIAL LLC	6413	CANTON, OH	01/12/2021 - 06/10/2024
B	LION STREET FINANCIAL, LLC	165828	Cleveland, OH	07/02/2018 - 08/12/2020

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? **No**



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: **DBK FINANCIAL COUNSEL, LLC**
Main Address: 198 W. PORTAGE TRAIL EXT.
STE. 105
CUYAHOGA FALLS, OH 44223
Firm ID#: 170688

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	05/14/2024

Branch Office Locations

DBK FINANCIAL COUNSEL, LLC
198 W. PORTAGE TRAIL EXT.
STE. 105
CUYAHOGA FALLS, OH 44223



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	08/08/2008
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State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	02/20/2010
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** 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	05/24/2022 - 06/10/2024	LPL FINANCIAL LLC	CRD# 6413	CANTON, OH
B	01/12/2021 - 06/10/2024	LPL FINANCIAL LLC	CRD# 6413	CANTON, OH
B	07/02/2018 - 08/12/2020	LION STREET FINANCIAL, LLC	CRD# 165828	Cleveland, OH
B	11/01/2017 - 07/02/2018	CETERA ADVISOR NETWORKS LLC	CRD# 13572	CLEVELAND, OH
B	03/09/2015 - 11/01/2017	GIRARD SECURITIES, INC.	CRD# 18697	CLEVELAND, OH
IA	04/16/2012 - 01/30/2015	MORGAN STANLEY	CRD# 149777	COLUMBUS, OH
B	03/23/2012 - 01/30/2015	MORGAN STANLEY	CRD# 149777	COLUMBUS, OH
B	08/11/2008 - 07/18/2011	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	AKRON, OH

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
04/2024 - Present	DBK FINANCIAL COUNSEL, LLC	Investment Adviser Representative	Y	CUYAHOGA FALLS, OH, United States
04/2024 - Present	DBK Financial Counsel, LLC	Financial Planner	Y	Cuyahoga Falls, OH, United States
01/2021 - Present	LPL FINANCIAL, LLC	REG REP	Y	Canton, OH, United States
01/2021 - 04/2024	Zoyhofski Financial Services LLC	Registered Rep	Y	Canton, OH, United States
08/2020 - 04/2024	Self Employed	Insurance Consultant	N	Walton Hills, OH, United States
07/2018 - 08/2020	Lion Street Financial	Registered Representative	Y	Cleveland, OH, United States
02/2015 - 08/2020	THE OSWALD COMPANIES	PRODUCT DESIGN SPECIALIST	Y	CLEVELAND, OH, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2017 - 07/2018	CETERA ADVISOR NETWORKS LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
02/2015 - 11/2017	GIRARD SECURITIES	REGISTERED ADMIN	Y	CLEVELAND, OH, 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.

- 1)01/2021 - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - ZOYHOFSKI FINANCIAL SERVICES, LLC - INVESTMENT RELATED - CANTON, OH 44721
- 2)01/2008 - NON-VARIABLE INSURANCE - JAMES UNGER - INVESTMENT RELATED - CANTON, OH 44721
- 3)01/2015 - TAX PREP/ACCOUNTING/CPA - JAMES UNGER - INVESTMENT RELATED - WALTON HILLS, OH 44146
- 4)12/2020 - OTHER - CHESTNUT TREE FARM - 0% - NOT INVESTMENT RELATED - WALTON HILLS, OH 44114
- 5)12/2020 - OTHER - HOCKEY COACH - 0% - NOT INVESTMENT RELATED - WALTON HILLS, OH 44114



End of Report

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