



IAPD Report

Paul Vincent Caputo Jr

CRD# 7039327

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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

Paul Vincent Caputo Jr (CRD# 7039327)

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 **05/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	10/08/2024
IA	LPL FINANCIAL LLC	CRD# 6413	05/26/2026

QUALIFICATIONS

This representative is currently registered in **1** 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	ELEVATED CAPITAL ADVISORS, LLC	226721	Naperville, IL	07/19/2021 - 08/03/2022
IA	ELEVATED CAPITAL ADVISORS, LLC	226721	Naperville, IL	07/14/2021 - 07/15/2021
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	DOWNERS GROVE, IL	04/02/2019 - 07/02/2021

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
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 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	Invest. Co and Variable Contracts	Approved	10/08/2024
B	Illinois	Agent	Approved	11/08/2024
IA	Illinois	Investment Adviser Representative	Approved	05/26/2026

Branch Office Locations

LPL FINANCIAL LLC
503 NORTH WASHINGTON STREET
NAPERVILLE, IL 60563



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 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	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	03/22/2024
B	Securities Industry Essentials Examination (SIE)	SIE	11/16/2018

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/21/2026
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/04/2024



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	07/19/2021 - 08/03/2022	ELEVATED CAPITAL ADVISORS, LLC	CRD# 226721	Naperville, IL
IA	07/14/2021 - 07/15/2021	ELEVATED CAPITAL ADVISORS, LLC	CRD# 226721	Naperville, IL
IA	04/02/2019 - 07/02/2021	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	DOWNERS GROVE, IL
B	02/15/2019 - 07/02/2021	PRUCO SECURITIES, LLC.	CRD# 5685	DOWNERS GROVE, IL

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
10/2024 - Present	LPL Financial	Registered Representative	Y	Naperville, IL, United States
09/2022 - Present	BMO Bank, N.A.	Retail Relationship Banker (09/2022-09/2024), Senior Premier Relationship Manager (09/2024-present)	Y	Naperville, IL, United States
07/2021 - 09/2022	Caputo Financial Services LLC	Owner and Financial Consultant	Y	Naperville, IL, United States
07/2021 - 08/2022	Elevated Capital Advisors, LLC	Investment Adviser Representative	Y	Sandy, UT, United States
02/2019 - 06/2021	The Prudential Insurance Company of America	Financial Professional	N	DOWNERS GROVE, IL, United States
12/2018 - 06/2021	Pruco Securities LLC	Registered Representative	Y	Downers Grove, IL, United States
09/2016 - 12/2018	Segregation Holding	Cost Segregation Specialist	N	Boulder, CO, United States
10/2018 - 11/2018	Mutual of Omaha Investor Services	Candidate Development Program	Y	Oak Brook, IL, United States
04/2017 - 09/2017	Empire Today, Today's Sales	Sales Representative	N	Denver, CO, 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- 09/2024 / BMO Investment Services / DBA for LPL Business (entity for LPL business) / Investment Related / At reported business location(s)

2- 09/2024 / Notary / Notary / Investment Related / Naperville, IL / Start date: 11/03/2022

3- 09/2024 / BMO Investment Services / Financial Institution Duty / Investment Related / 160 hrs mth / 40 hrs during trading / Naperville IL / Start date: 09/30/2024



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
Criminal	1

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: circuit court of the thirteenth judicial circuit
Location of Court: county of hillsborough, state of florida
Docket/Case #: 07-CF-005369
Charge Date: 05/03/2007

Charge(s) 1 of 2

Formal Charge(s)/Description: Possession of Cocaine
No of Counts: 1
Felony or Misdemeanor: Felony
Plea for each charge: Guilty
Disposition of charge: Deferred Adjudication

Charge(s) 2 of 2

Formal Charge(s)/Description: Possession of drug paraphernalia
No of Counts: 1
Felony or Misdemeanor: Misdemeanor
Plea for each charge: Guilty
Disposition of charge: Convicted
Current Status: Final
Status Date: 05/01/2008



Disposition Date: 07/19/2007

Sentence/Penalty: Possession of cocaine: Sentence - 18 months probation with early termination after 9 months for good behavior Start: 07/19/2007 End: 05/01/2008 Monetary: \$365 in court costs paid: 08/01/2007
Possession of drug paraphernalia: Sentence - time served

Broker Statement Possession of cocaine: adjudication withheld with 18 months of probation with early termination after 9 months. No felony conviction due to adjudication withheld and satisfactory completion of probation and all provisions including 25 hours of community service, all costs paid, alcohol/drug evaluation and treatment of 8 weeks of group class sessions complete, all random drug screens negative.
Possession of drug paraphernalia: adjudicated guilty, misdemeanor conviction. No additional sentence/penalty beyond time served and compliance with above.



End of Report

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