

BrokerCheck Report

JOHN ALAN REGISTER

CRD# 2270475

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

JOHN A. REGISTER

CRD# 2270475

Currently employed by and registered with the following Firm(s):

IA LPL FINANCIAL LLC
 2650 ELECTRIC ROAD, SUITE D
 ROANOKE, VA 24018
 CRD# 6413
 Registered with this firm since: 06/22/2018

B LPL FINANCIAL LLC
 2650 ELECTRIC ROAD, SUITE D
 ROANOKE, VA 24018
 CRD# 6413
 Registered with this firm since: 06/22/2018

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 12 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- B AMERIPRISE FINANCIAL SERVICES, INC.**
 CRD# 6363
 Roanoke, VA
 06/2014 - 06/2018
- IA AMERIPRISE FINANCIAL SERVICES, INC.**
 CRD# 6363
 MINNEAPOLIS, MN
 06/2014 - 06/2018
- B INVESTMENT CENTERS OF AMERICA, INC.**
 CRD# 16443
 ROANOKE, VA
 01/2011 - 06/2014

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes****The following types of disclosures have been reported:**

Type	Count
Regulatory Event	3

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 12 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	06/22/2018
B	FINRA	General Securities Representative	Approved	06/22/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	06/22/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/04/2022
B	California	Agent	Approved	11/20/2018
B	Colorado	Agent	Approved	09/24/2024
B	District of Columbia	Agent	Approved	01/08/2020
B	Florida	Agent	Approved	06/25/2018
B	Illinois	Agent	Approved	06/25/2018
B	North Carolina	Agent	Approved	06/22/2018
B	Ohio	Agent	Approved	09/09/2020
B	South Carolina	Agent	Approved	06/22/2018
B	Texas	Agent	Approved	08/07/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	08/07/2024
B	Utah	Agent	Approved	01/24/2022
B	Virginia	Agent	Approved	06/22/2018
IA	Virginia	Investment Adviser Representative	Approved	06/22/2018

Branch Office Locations

LPL FINANCIAL LLC
2650 ELECTRIC ROAD, SUITE D
ROANOKE, VA 24018



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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
B General Securities Principal Examination	Series 24	10/02/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/04/1996
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/21/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/22/1999
B Uniform Securities Agent State Law Examination	Series 63	08/21/1992

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



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 and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2014 - 06/2018	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Roanoke, VA
IA 06/2014 - 06/2018	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Roanoke, VA
B 01/2011 - 06/2014	INVESTMENT CENTERS OF AMERICA, INC.	16443	ROANOKE, VA
IA 01/2011 - 06/2014	INVESTMENT CENTERS OF AMERICA, INC.	16443	ROANOKE, VA
B 06/2008 - 01/2011	INFINEX INVESTMENTS, INC.	35371	ROANOKE, VA
IA 06/2008 - 01/2011	INFINEX INVESTMENTS, INC.	35371	ROANOKE, VA
B 04/2005 - 06/2008	BI INVESTMENTS, LLC	125437	ROANOKE, VA
IA 04/2005 - 06/2008	BI INVESTMENTS, LLC	125437	ROANOKE, VA
B 01/2005 - 05/2005	SUNTRUST SECURITIES, INC.	17499	ATLANTA, GA
IA 01/2005 - 05/2005	SUNTRUST SECURITIES, INC.	17499	ROANOKE, VA
B 09/2002 - 01/2005	NCF FINANCIAL SERVICES, INC.	120471	DURHAM, NC
IA 09/2002 - 01/2005	NCF FINANCIAL SERVICES, INC.	120471	ROANOKE, VA
IA 06/2002 - 09/2002	INVEST FINANCIAL CORPORATION	12984	ROANOKE, VA
B 02/2002 - 09/2002	INVEST FINANCIAL CORPORATION	12984	APPLETON, WI
B 12/2000 - 01/2002	LINCOLN FINANCIAL DISTRIBUTORS, INC.	145	RADNOR, PA
B 04/2000 - 12/2000	DELAWARE DISTRIBUTORS, L.P.	14232	PHILADELPHIA, PA
B 03/1999 - 11/1999	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	BOSTON, MA
B 02/1996 - 03/1999	WACHOVIA BROKERAGE SERVICE	17503	WINSTON SALEM, NC
B 05/1993 - 02/1995	JMC FINANCIAL CORPORATION	16063	BOSTON, MA
B 08/1992 - 05/1993	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 08/1992 - 05/1993	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY



Registration and Employment History

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
06/2018 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Roanoke, VA, United States
06/2014 - 06/2018	Ameriprise Financial Services, Inc.	Registered Rep	Y	Roanoke, VA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. 6/22/2018 - Midsummer Wealth Management, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 06/22/2018 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100%.
2. 3/16/2020 - Midsummer Wealth Management - DBA: River Birch Wealth Management LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 05/01/2020 - 5 Hours Per Month/1 Hour During Securities Trading.
3. 3/25/2020 - McJoByn - Investment Related - 2650 Electric Road, Suite D, Roanoke, VA 24018 - Real Estate Rental - Start Date: 06/30/2020 - 1 Hour Per Month/0 Hours During Securities Trading.
4. 11/21/2023 - Virginia Western Community College - Outside/W-2 Employment - Adjunct Professor - Not Investment Related - 3094 Colonial Ave SW, Roanoke, VA 24015 - Start Date 01/01/2024 - 12 Hours Per Month/ 0 Hours During Trading
5. 07/05/2024 - Blue Acres, LLC - Rep's business - Not Investment Related - Roanoke, VA 24012 - Start Date 05/20/2024 - 8 Hours Per Month/ 0 Hours During Trading

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	3	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 3

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF FLORIDA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/06/2012
Docket/Case Number:	128213-12-AG
Employing firm when activity occurred which led to the regulatory action:	INVESTMENT CENTERS OF AMERICA, INC.
Product Type:	No Product
Allegations:	MISSTATEMENT ON THE APPLICATION CONCERNING PRIOR ADMINISTRATIVE ACTION.
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: 10/18/2012

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: PAY \$1,500 ADMINISTRATIVE PENALTY.

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:

Is Payment Plan Current:

Date Paid by individual: 10/24/2012

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 3

Reporting Source: Broker

Regulatory Action Initiated By: SOUTH CAROLINA DEPARTMENT OF INSURANCE

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 07/01/1996

Docket/Case Number: 1996151-056-001-2-0

Employing firm when activity occurred which led to the regulatory action: METROPOLITAN LIFE



Product Type:	Insurance
Allegations:	THAT I FAILED TO DISCLOSE A VIRGINIA DEPARTMENT OF INSURANCE DISCIPLINARY ACTION ON MY SOUTH CAROLINA INSURANCE AGENT'S LICENSE APPLICATION.
Current Status:	Final
Resolution:	Settled
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:	07/01/1996
Sanctions Ordered:	Cease and Desist
Broker Statement	I MISINTERPRETED THE QUESTION REGARDING PAST DISCIPLINE ISSUES WHEN I COMPLETED THE SOUTH CAROLINA INSURANCE LICENSE APPLICATION. THIS APPLICATION WAS COMPLETED IN CONJUNCTION WITH MY COMPLIANCE OFFICER AND I DID NOT KNOWINGLY ATTEMPT TO ANSWER THE QUESTION INCORRECTLY.

Disclosure 3 of 3

Reporting Source:	Broker
Regulatory Action Initiated By:	COMMONWEALTH OF VIRGINIA, STATE CORPORATION COMMISSION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	01/20/1995
Docket/Case Number:	INS950077
Employing firm when activity occurred which led to the regulatory action:	METROPOLITAN LIFE
Product Type:	Insurance
Other Product Type(s):	



Allegations:	I WAS ONE OF A NUMBER OF INDIVIDUALS INVOLVED IN AN INVESTIGATION AND SUBSEQUENT ALLEGATIONS BY THE BUREAU OF INSURANCE, THAT WHILE EMPLOYED BY METROPOLITAN LIFE, WE MAY HAVE MISREPRESENTED BENEFITS, ADVANTAGES, CONDITIONS OR TERMS OF CERTAIN INSURANCE POLICIES AND DISSEMINATED MARKETING MATERIALS WHICH WERE UNTRUE, DECEPTIVE OR MISLEADING.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/08/1995
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, IT WAS ORDERED THAT THE DEFENDANTS CEASE AND DESIST FROM ANY CONDUCT WHICH CONSTITUTES A VIOLATION OF VIRGINIA CODES OF THE COMMISSION'S RULES GOVERNING LIFE INSURANCE AND ANNUITY MARKETING PRACTICES. THE COMMONWEALTH OF VIRGINIA WAS PAID THE SUM OF \$20,000. I DID NOT PARTICIPATE IN ANY OF THAT AMOUNT.
Broker Statement	I FOLLOWED THE SALES TRAK AS DIRECTED. THIS WAS MY FIRST JOB OUT OF THE AIR FORCE, AND I DID NOT REALIZE THAT I WAS VIOLATING THE VA INSURANCE LAWS.

End of Report



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