

BrokerCheck Report

RONALD DIONISIO BALITON

CRD# 2413681

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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:

- 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
- 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.

RONALD D. BALITON

CRD# 2413681

Currently employed by and registered with the following Firm(s):**IA LPL FINANCIAL LLC**

1100 SW SAINT LUCIE WEST BLVD
STE 101
PORT ST LUCIE, FL 34986
CRD# 6413
Registered with this firm since: 11/15/2017

B LPL FINANCIAL LLC

1100 SW SAINT LUCIE WEST BLVD
STE 101
PORT ST LUCIE, FL 34986
CRD# 6413
Registered with this firm since: 11/15/2017

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
- 31 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

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

CRD# 12984
APPLETON, WI
03/2011 - 11/2017

B INVEST FINANCIAL CORPORATION

CRD# 12984
STUART, FL
03/2011 - 11/2017

IA FNB BROKERAGE SERVICES, INC.

CRD# 18741
STUART, FL
01/2007 - 03/2011

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
Criminal	2
Customer Dispute	3
Termination	1

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 31 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 Representative	Approved	11/15/2017
U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	09/27/2023
B California	Agent	Approved	08/06/2020
B Colorado	Agent	Approved	12/22/2019
B Connecticut	Agent	Approved	11/16/2017
B Delaware	Agent	Approved	05/31/2019
B District of Columbia	Agent	Approved	01/07/2019
B Florida	Agent	Approved	11/15/2017
IA Florida	Investment Adviser Representative	Approved	11/16/2017
B Georgia	Agent	Approved	04/24/2019
B Hawaii	Agent	Approved	11/06/2020
B Indiana	Agent	Approved	06/18/2020
B Kansas	Agent	Approved	03/04/2020

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Maryland	Agent	Approved	08/19/2020
B Massachusetts	Agent	Approved	04/26/2022
B Minnesota	Agent	Approved	08/22/2025
B Montana	Agent	Approved	02/24/2021
B Nebraska	Agent	Approved	03/05/2024
B New Jersey	Agent	Approved	11/15/2017
B New York	Agent	Approved	12/08/2017
B North Carolina	Agent	Approved	02/25/2021
B Ohio	Agent	Approved	11/15/2017
B Oregon	Agent	Approved	07/22/2021
B Pennsylvania	Agent	Approved	05/17/2019
B South Carolina	Agent	Approved	02/25/2021
B South Dakota	Agent	Approved	03/04/2021
B Texas	Agent	Approved	11/16/2017
IA Texas	Investment Adviser Representative	Restricted Approval	11/15/2017
B Utah	Agent	Approved	03/10/2021
B Vermont	Agent	Approved	11/15/2017
B Virgin Islands	Agent	Approved	09/25/2019
B Virginia	Agent	Approved	01/02/2019
B Washington	Agent	Approved	02/27/2019
B Wisconsin	Agent	Approved	02/25/2021



Broker Qualifications

Employment 1 of 1, continued

Branch Office Locations

LPL FINANCIAL LLC

1100 SW SAINT LUCIE WEST BLVD
STE 101
PORT ST LUCIE, FL 34986

LPL FINANCIAL LLC

2940 CARDINAL DR
VERO BEACH, FL 32963

LPL FINANCIAL LLC

1901 SOUTH US HWY 1
FORT PIERCE, FL 34950

LPL FINANCIAL LLC

1206 US HWY 1
VERO BEACH, FL 32960

LPL FINANCIAL LLC

6030 20TH ST
VERO BEACH, FL 32966

LPL FINANCIAL LLC

1110 ROSELAND RD
SEBASTIAN, FL 32958

LPL FINANCIAL LLC

1409 S PARROTT AVE
OKEECHOBEE, FL 34974

LPL FINANCIAL LLC

1108 SE PORT ST LUCIE BLVD
PORT ST. LUCIE, FL 34952

LPL FINANCIAL LLC

300 S VERNER RD
Clewiston, FL 33440

LPL FINANCIAL LLC

1000 NE JENSEN BEACH BLVD
JENSEN BEACH, FL 34957

LPL FINANCIAL LLC

Broker Qualifications



Employment 1 of 1, continued

1790 SW GATLIN BLVD
PORT ST. LUCIE, FL 34953

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/10/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/28/2001
B Uniform Securities Agent State Law Examination	Series 63	01/06/1994

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 **0** professional designation(s).

No information reported.

Registration and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2011 - 11/2017	INVEST FINANCIAL CORPORATION	12984	STUART, FL
B 03/2011 - 11/2017	INVEST FINANCIAL CORPORATION	12984	STUART, FL
IA 01/2007 - 03/2011	FNB BROKERAGE SERVICES, INC.	18741	PORT ST. LUCIE, FL
B 12/2004 - 03/2011	FNB BROKERAGE SERVICES, INC.	18741	PORT ST. LUCIE, FL
IA 10/2002 - 12/2003	UVEST FINANCIAL SERVICES AND/OR COMPASS CAPITAL	13787	FORT PIERCE, FL
B 10/2002 - 12/2003	UVEST FINANCIAL SERVICES GROUP, INC.	13787	CHARLOTTE, NC
B 07/2002 - 10/2002	MEDALLION EQUITIES, INC.	43399	MARIETTA, GA
B 08/2000 - 02/2002	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	BOSTON, MA
B 05/1996 - 09/2000	FISERV INVESTOR SERVICES, INC.	34637	HOUSTON, TX
B 12/1993 - 05/1996	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL

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
11/2017 - Present	LPL Financial LLC	Registered Representative	Y	Port St Lucie, FL, United States
03/2011 - Present	Seacoast Bank	Financial Consultant	Y	Port St. Lucie, FL, United States
03/2011 - 11/2017	INVEST Financial Corp	Registered Rep	Y	Tampa, FL, United States

Registration and Employment History



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)11/15/17- Seacoast Investment Services- DBA for LPL Business (entity for LPL business)- Inv. Related- at reported business location(s)- 100%

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
Criminal	0	2	0
Customer Dispute	0	3	N/A
Termination	N/A	1	N/A



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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 2

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	Clerk of the Circuit Court
Location of Court:	Alachua County, Florida
Docket/Case #:	01 1987 MM 011018
Charge Date:	12/17/1987
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Worthless Check
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Nolo Contendere
Disposition of charge:	Pled Nolo Contendere
Current Status:	Final
Status Date:	03/03/1988
Disposition Date:	03/03/1988
Sentence/Penalty:	6 months probation

**Disclosure 2 of 2**

Reporting Source: Broker

Formal Charges were brought in: State Court

Name of Court: Clerk of Circuit Court

Location of Court: Alachua County, Florida

Docket/Case #: 01 1991 MM006673 A

Charge Date: 08/29/1991

Charge(s) 1 of 1

Formal Charge(s)/Description: Worthless Check

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: None

Disposition of charge: Nolle Prossed

Current Status: Final

Status Date: 05/15/1992

Disposition Date: 05/15/1992

Sentence/Penalty: None



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	FNB BROKERAGE SERVICES
Allegations:	CLIENTS ALLEGED KBS REIT & WELLS REIT ARE UNSUITABLE INVESTMENTS.
Product Type:	Real Estate Security
Alleged Damages:	\$25,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-03480
Date Notice/Process Served:	10/09/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/11/2013
Monetary Compensation Amount:	\$9,500.00
Individual Contribution Amount:	\$5,000.00

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FISERV INVESTOR SERVICES, INC.
Allegations:	CLIENT ALLEGED THE VA WAS AN INAPPROPRIATE INVESTMENT AND THE REP STATED THE VA POLICY DID NOT HAVE ANY SURRENDER CHARGES. THE REP FURNISHED THE CUSTOMER WITH A SIGNATURE GUARANTEE



LETTER THAT STATES "THIS IS A CONTRACT BETWEEN RONALD D. BALITON, CFP & CUSTOMER IN REGARDS TO HER GOLDEN SELECT ANNUITY [ACCOUNT NUMBER]. IF THE ANNITY IS WITHDRAWN, CUSTOMER WILL NOT BE RESPONSIBLE FOR ANY PENALTY INCURRED."

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/01/2001

Complaint Pending? No

Status: Settled

Status Date: 04/03/2001

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FISERV INVESTOR SERVICES, INC.

Allegations: CLIENT ALLEGED THE VA WAS AN INAPPROPRIATE INVESTMENT AND THE REP STATED THE VA POLICY DID NOT HAVE ANY SURRENDER CHARGES. THE REP FURNISHED THE CUSTOMER WITH A SIGNATURE GUARANTEE LETTER THAT STATES: "THIS IS A CONTRACT BETWEEN RONALD D BALITON, CFP & CUSTOMER IN REGARDS TO HER GOLDEN SELECT ANNUITY [ACCOUNT NUMBER]. IF THE ANNITY IS WITHDRAWN, CUSTOMER WILL NOT BE RESPONSIBLE FOR ANY PENALTY INCURRED."

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/01/2001

Complaint Pending? No

Status: Settled

Status Date: 04/03/2001



Settlement Amount: \$1,111.02

Individual Contribution Amount: \$0.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES INC

Allegations: THE COMPLAINT CONTAINS ALLEGATIONS OF MISREPRESENTATION RELATING TO VARIABLE ANNUITY PURCHASE FACILITATED BY THE REPRESENTATIVE IN MARCH OF YEAR 2001.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$67,212.00

Customer Complaint Information

Date Complaint Received: 11/14/2002

Complaint Pending? No

Status: Denied

Status Date: 12/02/2002

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE FIRM INVESTIGATED THE COMPLAINT AND CONCLUDED IT WAS WITHOUT MERIT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA

Allegations: ALLEGATIONS OF MISREPRESENTATION RELATING TO VARIABLE ANNUITY PURCHASE FACILITATED BY THE REPRESENTATIVE IN MARCH 2001.

Product Type: Annuity(ies) - Variable



Alleged Damages: \$67,200.00

Customer Complaint Information

Date Complaint Received: 11/14/2002

Complaint Pending? No

Status: Denied

Status Date: 12/12/2002

Settlement Amount: \$0.00

Individual Contribution

Amount:



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	BANC OF AMERICA INVESTMENT SERVICES, INC.
Termination Type:	Voluntary Resignation
Termination Date:	02/01/2002
Allegations:	FAILURE TO COMPLY WITH FIRM POLICIES AND PROCEDURES.
Product Type:	Annuity(ies) - Variable
Other Product Types:	
Broker Statement	UPON JOINING BOA, I INHERITED MRS. KITIE BILLIE AS A CUSTOMER. MRS. BILLIE WAS RECENTLY WIDOWED. MR&MRS BILLIE HAD A VARIABLE ANNUITY THAT WAS AN ANNUITANT DRIVEN CONTRACT. I MET MRS. BILLIE AFTER MR BILLIE'S DEATH. SHE CAME TO ME TO CASH OUT OF THE ANNUITY. IT WAS AT THIS TIME THAT WE DISCOVERED THAT SHE WAS NOT THE BENEFICIARY ONLY A CO-OWNER. THEREFORE SINCE THE ANNUITY WAS ANNUITANT DRIVEN, SHE WAS NOT ENTITLED TO THE PROCEEDS. RATHER A NEPHEW WAS THE PRIMARY BENEFICIARY AND THEN ANOTHER NEPHEW WAS THE CONTINGENT BENEFICIARY. MRS. BILLIE BECAME VERY UPSET AND INSISTED THAT THE CONTRACT WAS SET UP INCORRECTLY. I ALERTED MY SUPERVISOR OF THE MISTAKE AND THE SITUATION WITH MRS BILLIE. IN ORDER TO HELP I CONTACTED THE NEPHEWS AND THEY EACH AFFIRMED THAT THE PROCEEDS SHOULD GO TO MRS BILLIE. IT WAS AT THIS TIME THAT I WROTE A LETTER TO THE ANNUITY COMPANY DETAILING THE MISTAKE, THE CURRENT AFFIRMATIONS OF THE NEPHEWS AND THEIR CONTACT NUMBERS, AND MRS. BILLIE'S DESIRE FOR THE PROCEEDS. I FAXED THE LETTER TO THE COMPANY. I MADE THE MISTAKE OF NOT GETTING THE LETTER APPROVED BY MY SUPERVISOR.

End of Report



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