

## BrokerCheck Report

**JONATHAN ALLEN ZULAUF**

CRD# 2697880

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**JONATHAN A. ZULAUF**

CRD# 2697880

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

**IA LPL FINANCIAL LLC**  
 333 PIERCE ROAD, SUITE 405  
 ITASCA, IL 60143  
 CRD# 6413  
 Registered with this firm since: 08/01/2005

**B LPL FINANCIAL LLC**  
 333 PIERCE ROAD, SUITE 405  
 ITASCA, IL 60143  
 CRD# 6413  
 Registered with this firm since: 02/04/2005

**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
- 28 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 RAYMOND JAMES FINANCIAL SERVICES, INC.**  
 CRD# 6694  
 ST. PETERSBURG, FL  
 01/2005 - 01/2005
- B EDWARD JONES**  
 CRD# 250  
 ST. LOUIS, MO  
 12/1998 - 01/2005
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 CRD# 7691  
 NEW YORK, NY  
 08/1997 - 12/1998

**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
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 28 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	02/04/2005
B	FINRA	General Securities Principal	Approved	03/03/2006

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/21/2021
B	Arizona	Agent	Approved	05/21/2019
B	Arkansas	Agent	Approved	01/05/2015
B	California	Agent	Approved	02/04/2005
B	Colorado	Agent	Approved	03/25/2010
B	Florida	Agent	Approved	03/09/2005
B	Georgia	Agent	Approved	02/04/2005
B	Illinois	Agent	Approved	02/04/2005
IA	Illinois	Investment Adviser Representative	Approved	08/01/2005
B	Indiana	Agent	Approved	10/23/2020
B	Iowa	Agent	Approved	01/09/2017



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	02/04/2005
B	Maryland	Agent	Approved	01/17/2025
B	Michigan	Agent	Approved	02/04/2005
B	Minnesota	Agent	Approved	08/21/2014
B	Mississippi	Agent	Approved	09/22/2015
B	Nevada	Agent	Approved	07/29/2022
B	New Jersey	Agent	Approved	05/30/2018
B	New Mexico	Agent	Approved	09/17/2020
B	New York	Agent	Approved	03/21/2021
B	North Carolina	Agent	Approved	10/02/2013
B	Oklahoma	Agent	Approved	09/11/2018
B	Oregon	Agent	Approved	08/02/2005
B	Pennsylvania	Agent	Approved	02/04/2005
B	South Carolina	Agent	Approved	08/19/2016
B	Texas	Agent	Approved	08/09/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	08/09/2013
B	Virginia	Agent	Approved	01/08/2018
B	Washington	Agent	Approved	05/24/2017
B	Wisconsin	Agent	Approved	02/04/2005

## Branch Office Locations

## Broker Qualifications



### Employment 1 of 1, continued

#### LPL FINANCIAL LLC

333 PIERCE ROAD, SUITE 405

ITASCA, IL 60143

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## 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>B</b> General Securities Principal Examination	Series 24	03/01/2006

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	05/02/1996
<b>B</b> Municipal Securities Representative Examination	Series 52	01/17/1996

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	07/27/2005
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/30/1996

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/](http://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
<b>B</b> 01/2005 - 01/2005	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL
<b>B</b> 12/1998 - 01/2005	EDWARD JONES	250	ST. LOUIS, MO
<b>B</b> 08/1997 - 12/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
<b>B</b> 02/1996 - 07/1997	OLDE DISCOUNT CORPORATION	5979	DETROIT, MI

### 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
02/2005 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	ITASCA, IL, 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.

- 12/20/2006: OTHER-NOTARY - NOTARY PUBLIC IN THE STATE OF ILLINOIS. - 1 % TIME SPENT - ITASCA, IL.
- 4/19/2010: OTHER-SET UP LLC - STRATEGIC INVESTMENT PARTNERS, LLC - PER THE ADVICE OF OUR ATTORNEY, WE SET UP AN LLC(STRATEGIC INVESTMENT PARTNERS) FOR THE SOLE PURPOSE OF PAYING OUR JOINT OFFICE EXPENSES. - TIME SPENT 1% - ITASCA, IL.
- 5/5/2011: FOR TAX PURPOSES ONLY - ZULAUF FINANCIAL SERVICES - ZULAUF FINANCIAL SERVICES WILL ONLY BE USED FOR BILL PAYING AND TAX REPORTING ITEMS. I AM NOT HOLDING THAT NAME OUT AS MY DBA. LPL FINANCIAL IS MY DBA - TIME SPENT 1% - ITASCA, IL.

## Registration and Employment History



### Other Business Activities, continued

4. 6/18/2013: OTHER-TOM IZZO'S BASKETBALL CAMP - TOM IZZO SUMMER BASKETBALL CAMP - COACHING AT TOM IZZO'S SUMMER BASKETBALL CAMP...WORKING WITH KIDS ON THEIR BASKETBALL SKILLS. WORKING THE CAMP AROUND THE 3RD WEEK OF JUNE EVERY SUMMER INCLUDING THIS ONE. - TIME SPENT 1%.

5. 08/17/2015 - TIME FINANCIAL (A CRUMP COMPANY) - NON-VARIABLE INSURANCE - INV REL - AT REPORTED BUSINESS LOCATION(S) - START 08/15/2015 - 1 HR/MO DURING SECS TRDG HRS.

6. 10/3/2018 - United Health Group - Investment Related - Location/Address: n/a - Other-Health Insurance - Servicing Agent - 1 Hour Per Month/1 Hour During Securities Trading - I would act as a servicing agent on my own health insurance plan.

7. 09/09/2024 - Zulauf Financial Services - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business location(s) - Start Date 08/28/2024 - 160 Hours per Month/ 7 Hours during Trading

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## 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:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - 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.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - 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.
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4. **There are different statuses and dispositions for disclosure events:**
  - 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.
  - 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
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.

### 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

<b>Reporting Source:</b>	Broker
<b>Employer Name:</b>	EDWARD JONES
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	01/19/2005
<b>Allegations:</b>	DID NOT GET PRE-APPROVAL FOR MOVING A CLIENT FROM A LONG TERM INVESTMENT TO ANOTHER LONG TERM INVESTMENT.
<b>Product Type:</b>	Annuity(ies) - Variable
<b>Other Product Types:</b>	
<b>Broker Statement</b>	IN SEPTEMBER, 2004, I DID NOT RECEIVE PRE-APPROVAL TO TRANSFER A CUSTOMER FROM AN ANNUITY WITH "B" SHARES TO AN ANNUITY WITH "A" SHARES WHICH WAS A NET BENEFIT TO THE CLIENT AFTER TWO YEARS. I SENT A REQUEST FOR PRE-APPROVAL AND AFTER SUBMITTING THE REQUEST, I LEARNED THAT MY SUPERVISOR HAD LEFT EDWARD JONES AND THAT A NEW REPLACEMENT WASN'T NAMED YET. EDWARD JONES HELD MY REQUEST FOR PRE-APPROVAL FOR A FEW DAYS UNTIL THE NEW SUPERVISOR WAS NAMED. I ASSUMED THE TRANSACTION WAS GOING TO BE APPROVED AS THE OTHERS HAD IN THE PAST. AFTER REVIEWING THE DETAILS WITH MY CLIENT, INCLUDING THE UPFRONT FEE, MY CLIENT TOLD ME HE WISHED TO COMPLETE THE EXCHANGE. TO MY SURPRISE, MY NEW SUPERVISOR DID NOT APPROVE THE TRANSACTION AT THAT TIME. HE DID APPROVE IT LATER, IN WRITING, STATING THAT THE TRANSACTION WAS IN THE BEST INTEREST AND ECONOMICALLY BENEFICIAL FOR MY CLIENT. I RESIGNED VIA LETTER ON JANUARY 18,



2005. HOWEVER, EDWARD JONES TERMINATED ME ON JANUARY 19, 2005, BEFORE HAVING RECEIVED IT. I BELIEVE I WAS TERMINATED BECAUSE INDIVIDUALS IN MY REGION THOUGHT I WAS LEAVING TO GO TO A COMPETITOR.

## End of Report



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