

BrokerCheck Report

JOE TOM KING JR

CRD# 269945

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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.

JOE T. KING JR

CRD# 269945

Currently employed by and registered with the following Firm(s):**IA LPL FINANCIAL LLC**3436 HIGHWAY 77 STE B
PANAMA CITY, FL 32405
CRD# 6413

Registered with this firm since: 06/04/2024

B LPL FINANCIAL LLC3436 HIGHWAY 77 STE B
PANAMA CITY, FL 32405
CRD# 6413

Registered with this firm since: 06/03/2024

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
- 21 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****IA AMERIPRIZE FINANCIAL SERVICES, LLC**CRD# 6363
MINNEAPOLIS, MN
01/2019 - 06/2024**B AMERIPRIZE FINANCIAL SERVICES, LLC**CRD# 6363
Panama City, FL
01/2019 - 06/2024**IA RAYMOND JAMES & ASSOCIATES, INC.**CRD# 705
ST. PETERSBURG, FL
04/2006 - 12/2018**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
Customer Dispute	2
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 21 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	06/03/2024
B FINRA	General Securities Representative	Approved	06/03/2024
B FINRA	General Securities Sales Supervisor	Approved	06/03/2024
B FINRA	Municipal Securities Principal	Approved	06/03/2024
B FINRA	Municipal Securities Representative	Approved	06/03/2024
B FINRA	Registered Options Principal	Approved	06/03/2024

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	06/17/2024
B Alaska	Agent	Approved	07/01/2024
B Arkansas	Agent	Approved	08/15/2024
B California	Agent	Approved	06/03/2024
B Colorado	Agent	Approved	06/03/2024
B Florida	Agent	Approved	06/13/2024
IA Florida	Investment Adviser Representative	Approved - Pending IAR CE	06/13/2024

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Georgia	Agent	Approved	06/06/2024
B Idaho	Agent	Approved	06/03/2024
B Kentucky	Agent	Approved	06/20/2024
B Louisiana	Agent	Approved	06/03/2024
B Maryland	Agent	Approved	06/03/2024
B Michigan	Agent	Approved	06/13/2024
B Mississippi	Agent	Approved	07/16/2024
B Nevada	Agent	Approved	06/13/2024
B New York	Agent	Approved	06/03/2024
B North Carolina	Agent	Approved	06/03/2024
B Ohio	Agent	Approved	06/03/2024
B Oregon	Agent	Approved	06/03/2024
B Tennessee	Agent	Approved	06/03/2024
B Texas	Agent	Approved	06/04/2024
IA Texas	Investment Adviser Representative	Restricted Approval	06/04/2024
B Virginia	Agent	Approved	07/09/2024

Branch Office Locations

LPL FINANCIAL LLC
 3436 HIGHWAY 77 STE B
 PANAMA CITY, FL 32405

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 5 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B Municipal Securities Principal Examination	Series 53	11/11/1988
B General Securities Principal Examination	Series 24	10/27/1988
B Registered Options Principal Examination	Series 4	02/20/1984

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	02/20/1984
B General Securities Representative Examination	Series 7	09/19/1981
B Registered Representative Examination	Series 1	12/11/1968

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/28/2006
B Uniform Securities Agent State Law Examination	Series 63	04/18/1980

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at

Broker Qualifications



Industry Exams this Broker has Passed, continued

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 01/2019 - 06/2024	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Panama City, FL
B 01/2019 - 06/2024	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Panama City, FL
IA 04/2006 - 12/2018	RAYMOND JAMES & ASSOCIATES, INC.	705	PANAMA CITY, FL
B 04/2006 - 12/2018	RAYMOND JAMES & ASSOCIATES, INC.	705	PANAMA CITY, FL
B 07/1993 - 04/2006	CITIGROUP GLOBAL MARKETS INC.	7059	PANAMA CITY, FL
IA 07/1993 - 04/2006	CITIGROUP GLOBAL MARKETS INC.	7059	PANAMA CITY, FL
B 05/1988 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 11/1983 - 05/1988	E. F. HUTTON & COMPANY INC	235	
B 09/1981 - 11/1983	A. G. EDWARDS & SONS, INC.	4	
B 04/1980 - 10/1981	MOODY, DUNN & COMPANY	7640	
B 10/1971 - 04/1973	JOHNSON, LANE, SPACE, SMITH & CO., INC.	472	
B 12/1968 - 11/1971	J.C. BRADFORD & CO.	1287	

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
06/2024 - Present	CAPITAL CITY BANK	Financial consultant	Y	Panama City, FL, United States
06/2024 - Present	LPL FINANCIAL	Registered representative	Y	Panama City, FL, United States

Registration and Employment History



Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2020 - 06/2024	Ameriprise Financial Services, LLC	Registered Rep	Y	Panama City, FL, United States
01/2019 - 03/2020	Ameriprise Financial Services, Inc.	Registered Representative	Y	Destin, FL, United States
11/2013 - 01/2019	Real School Work	Officer	N	Southport, FL, United States
04/2006 - 12/2018	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	PANAMA CITY, FL, 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- 05/2024 / Joe Tom King Author / Other - Author / Not Investment Related / 5 hr mth / Southport, FL / Start date: 08/01/2017

2) 03/06/2025 - Joe KING (JR) - Not Investment Related - Other - author - Home Based - Start Date:12/02/2024 - 5 Hrs/Mth - 0 Hrs During Trading.

3) 03/12/2025 - Capital City investments - Investment Related - DBA for LPL Business (entity for LPL business) - At reported business location(s) - Start Date:06/03/2024 - 160 Hrs/Mth - 8 Hrs During Trading.

4) 03/20/2025 - JOE KING (JR) - Other - published book - Not Investment Related - Home Based - Start Date:02/25/2025 - 10 Hrs/Mth - 0 Hrs 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
Customer Dispute	1	1	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.

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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	CLAIMANT ALLEGES MISREPRESENTATION. ACTIVITY DATES IS 11/17/08 THRU 11/17/08.
Product Type:	Annuity-Variable
Alleged Damages:	\$11,313.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/28/2009
Complaint Pending?	No
Status:	Settled
Status Date:	04/28/2010
Settlement Amount:	\$1,361.00
Individual Contribution Amount:	\$1,361.00



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: E.F. HUTTON & CO., INC.
Allegations: VIOLATING SECTION 10(b) AND RULE 10(b)-5 OF THE SECURITIES EXCHANGE ACT OF 1934, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, COMMON LAW FRAUD, MISREPRESENTATION, CHURNING, UNSUITABILITY

Product Type:

Alleged Damages: \$106,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #90-00197](#)

Date Notice/Process Served: 01/26/1990

Arbitration Pending? No

Disposition: Other

Disposition Date: 12/05/1990

Disposition Detail: AWARD AGAINST PARTY
** RESPONDENTS, HUTTON AND KING, ARE
FOUND LIABLE, JOINTLY AND SEVERALLY AND SHALL PAY TO THE
CLAIMANT THE AMOUNT OF \$19,140.00, PLUS INTEREST AT THE LEGAL
RATE OF 12% PER ANNUM FROM SEPTEMBER 1, 1986 TO NOVEMBER 1,
1990 IN THE AMOUNT OF \$9,570.00 FOR A TOTAL DUE TO CLAIMANT OF
\$28,710.00. **

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: E.F. HUTTON & CO., INC.

Allegations: CHURNING, MISREPRESENTATION AND UNAUTHORIZED TRADING, \$106,000 PLUS INTEREST, COSTS PUNITIVE DAMAGES AND ATTORNEYS' FEES.

Product Type:

Alleged Damages: \$106,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date: 12/05/1990

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 90-00197](#)

Date Notice/Process Served: 01/26/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 12/05/1990

Monetary Compensation Amount: \$124,868.83

Individual Contribution Amount: \$28,710.00

Civil Litigation Information

Court Details: FIRST DISTRICT APPEALS; FL; 87-01580

Date Notice/Process Served: 06/01/1987



Litigation Pending?

Yes

Broker Statement

\$96,158.83 SHEARSON LEHMAN BROTHERS PAID TOTAL
SETTLEMENT
Not Provided



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: Firm
Employer Name: Raymond James & Associates, Inc
Termination Type: Discharged
Termination Date: 12/06/2018
Allegations: Discharged due to concerns relating to the nature of advisor's UIT activity
Product Type: Unit Investment Trust

Reporting Source: Broker
Employer Name: Raymond James & Associates, Inc
Termination Type: Discharged
Termination Date: 12/06/2018
Allegations: Discharged due to concerns relating to the nature of advisor's UIT activity
Product Type: Unit Investment Trust

End of Report



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