

BrokerCheck Report

RICHARD JOSEPH PAKES

CRD# 2946404

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7



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.

**RICHARD J. PAKES**

CRD# 2946404

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

IA LPL FINANCIAL LLC
 319 E. CARRILLO ST STE 102
 SANTA BARBARA, CA 93101
 CRD# 6413
 Registered with this firm since: 02/11/2021

B LPL FINANCIAL LLC
 319 E. CARRILLO ST STE 102
 SANTA BARBARA, CA 93101
 CRD# 6413
 Registered with this firm since: 02/11/2021

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
- 26 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 WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 ST. LOUIS, MO
 03/2000 - 02/2021
- B WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 SANTA BARBARA, CA
 10/1997 - 02/2021

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? **No**



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 26 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	02/11/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/18/2021
B	Alaska	Agent	Approved	02/11/2021
B	Arizona	Agent	Approved	02/11/2021
B	California	Agent	Approved	02/11/2021
IA	California	Investment Adviser Representative	Approved	02/11/2021
B	Colorado	Agent	Approved	02/11/2021
B	Connecticut	Agent	Approved	02/11/2021
B	Florida	Agent	Approved	02/11/2021
B	Georgia	Agent	Approved	01/23/2024
B	Idaho	Agent	Approved	02/11/2021
B	Illinois	Agent	Approved	03/08/2021
B	Indiana	Agent	Approved	10/22/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	02/11/2021
B	Michigan	Agent	Approved	02/11/2021
B	Missouri	Agent	Approved	08/23/2024
B	Nevada	Agent	Approved	02/11/2021
B	New Mexico	Agent	Approved	02/11/2021
B	New York	Agent	Approved	02/11/2021
B	Ohio	Agent	Approved	02/11/2021
B	Oklahoma	Agent	Approved	02/11/2021
B	Oregon	Agent	Approved	02/11/2021
B	Pennsylvania	Agent	Approved	02/11/2021
B	South Carolina	Agent	Approved	01/29/2025
B	Texas	Agent	Approved	02/11/2021
IA	Texas	Investment Adviser Representative	Approved	02/11/2021
B	Utah	Agent	Approved	02/11/2021
B	Virginia	Agent	Approved	02/11/2021
B	Washington	Agent	Approved	02/11/2021

Branch Office Locations

LPL FINANCIAL LLC
319 E. CARRILLO ST STE 102
SANTA BARBARA, CA 93101

LPL FINANCIAL LLC
AUSTIN, TX

Broker Qualifications



Employment 1 of 1, continued



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	10/27/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/07/1999
B Uniform Securities Agent State Law Examination	Series 63	11/05/1997

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 03/2000 - 02/2021	WELLS FARGO CLEARING SERVICES, LLC	19616	SANTA BARBARA, CA
B 10/1997 - 02/2021	WELLS FARGO CLEARING SERVICES, LLC	19616	SANTA BARBARA, CA

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
02/2021 - Present	LPL Financial, LLC	Registered Representative	Y	SANTA BARBARA, CA, United States
11/2016 - 01/2021	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SANTA BARBARA, CA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SANTA BARBARA, CA, 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) 02/11/2021 - Business Entity For Tax/Investment Purposes Only - Pakes Investment Group, LLC - Investment Related - 172 World of Tennis Square, Lakeway TX 78738 - Start date: 01/2021

2) 02/11/2021 - DBA for LPL Business (entity for LPL business) - CVG Wealth Management - Investment Related - Santa Barbara , CA 93101- Start date: 01/2021

3) 03/05/2025 - Claudia Pakes Design Studio - Not Investment Related - Other - Interior Design - Home Based - Start Date:02/24/2025 - 15 Hrs/Mth - 0 Hrs During Trading.

4) 08/13/2025 - Luvant Interiors - Other - Business Owner - Austin TX - Not Inv Rel - Start date: 08/01/2025 - 10 hrs/mnth

End of Report



This page is intentionally left blank.