

BrokerCheck Report
ROY E COOK JR.

CRD# 3129380

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

ROY E. COOK JR.

CRD# 3129380

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

4320 WINFIELD ROAD SUITE 450
WARRENVILLE, IL 60555
CRD# 6413

Registered with this firm since: 09/28/2023

B LPL FINANCIAL LLC

4320 WINFIELD ROAD SUITE 450
WARRENVILLE, IL 60555
CRD# 6413

Registered with this firm since: 09/28/2023

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
- 13 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 CETERA INVESTMENT ADVISERS LLC**

CRD# 105644
SCHAUMBURG, IL
05/2018 - 09/2023

B CETERA FINANCIAL SPECIALISTS LLC

CRD# 10358
WARRENVILLE, IL
05/2018 - 09/2023

IA RAYMOND JAMES FINANCIAL SERVICES

ADVISORS, INC
CRD# 149018
SAINT PETERSBURG, FL
04/2015 - 05/2018

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	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 13 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	09/28/2023
U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	09/28/2023
B California	Agent	Approved	09/28/2023
B Florida	Agent	Approved	09/28/2023
B Idaho	Agent	Approved	10/14/2025
B Illinois	Agent	Approved	09/29/2023
IA Illinois	Investment Adviser Representative	Approved	09/29/2023
B Indiana	Agent	Approved	09/28/2023
B Michigan	Agent	Approved	09/28/2023
B Ohio	Agent	Approved	09/28/2023
B Oregon	Agent	Approved	07/09/2025
B Texas	Agent	Approved	09/28/2023
IA Texas	Investment Adviser Representative	Restricted Approval	09/28/2023

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Utah	Agent	Approved	09/28/2023
B Washington	Agent	Approved	09/28/2023
B Wisconsin	Agent	Approved	09/28/2023

Branch Office Locations

LPL FINANCIAL LLC
4320 WINFIELD ROAD SUITE 450
WARRENVILLE, IL 60555

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	05/23/2006

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	02/06/2006
IA Uniform Investment Adviser Law Examination	Series 65	09/17/1998

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 05/2018 - 09/2023	CETERA INVESTMENT ADVISERS LLC	105644	WARRENVILLE, IL
B 05/2018 - 09/2023	CETERA FINANCIAL SPECIALISTS LLC	10358	WARRENVILLE, IL
IA 04/2015 - 05/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	OAKBROOK, IL
B 03/2015 - 05/2018	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	OAKBROOK TERRACE, IL
IA 04/2015 - 05/2018	SAGE PRIVATE WEALTH GROUP, LLC	173399	WHEATON, IL
IA 11/2014 - 04/2015	BKD WEALTH ADVISORS, LLC	110905	OAKBROOK TERRACE, IL
IA 07/2010 - 04/2015	WOLF FINANCIAL MANAGEMENT, LLC	44225	OAKBROOK TERRACE, IL
IA 07/2010 - 12/2014	WOLF FINANCIAL MANAGEMENT, LLC	44225	OAKBROOK TERRACE, IL
B 07/2010 - 05/2014	WOLF FINANCIAL MANAGEMENT, LLC	44225	OAKBROOK TERRACE, IL
IA 09/2009 - 12/2010	OAK BROOK STRATEGIC INVESTMENT ADVISORS LLC	151334	ELMHURST, IL
B 05/2006 - 09/2009	BAKER TILLY CAPITAL, LLC	115333	CHICAGO, IL
IA 01/2006 - 09/2009	BAKER TILLY INVESTMENT ADVISORS	111264	MADISON, WI

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
09/2023 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Warrenville, IL, United States

Registration and Employment History



Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2018 - Present	DUGAN & LOPATKA WEALTH MANAGEMENT, LLC	MANAGING DIRECTOR	Y	WHEATON, IL, United States
05/2018 - 09/2023	CETERA FINANCIAL SPECIALISTS LLC	REGISTERED REP	Y	SCHAUMBURG, IL, United States
05/2018 - 09/2023	CETERA INVESTMENT ADVISERS LLC	REGISTERED INVESTMENT ADVISER	Y	SCHAUMBURG, IL, United States
05/2018 - 07/2018	DUGAN & LOPATKA, FINANCIAL SERVICES LLC	FINANCIAL ADVISOR	Y	WHEATON, IL, United States
04/2015 - 05/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC	INVESTMENT ADVISER REP	Y	WHEATON, IL, United States
03/2015 - 05/2018	RAYMOND JAMES FINANCIAL SERVICES, INC	FINANCIAL ADVISOR	Y	WHEATON, IL, United States
03/2015 - 05/2018	SAGE PRIVATE WEALTH GROUP	ADVISOR FOR SUPPORT COMPANY	N	WHEATON, IL, United States
03/2015 - 05/2018	SAGE PRIVATE WEALTH GROUP, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	WHEATON, 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.

1)09/27/2023 - Dugan & Lopatka Wealth Management, LLC - DBA for LPL Business (entity for LPL business) - Inv Rel - At Reported Business Location(s) - Start: 07/2018 - 160 Hr/Mth

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	0	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 - 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:	BAKER TILLY CAPITAL, LLC
Allegations:	A FINRA ARBITRATION HAS BEEN FILED AGAINST BAKER TILLY CAPITAL THAT DOES NOT NAME MR. COOK AS A RESPONDENT, BUT DOES FOCUS ON HIS ACTIONS AS THE AGENT FOR THE CLAIMANT. THE CLAIMANT DESCRIBES IN THE COMPLAINT THAT, DURING JANUARY 2007, MR. COOK SOLICITED THE CLAIMANT TO PURCHASE \$60,000 OF KEYLIME COVE SUBORDINATED NOTES THROUGH BAKER TILLY CAPITAL, LLC. THE COMPLAINT DESCRIBES "CAUSES OF ACTION" BASED UPON ALLEGED VIOLATIONS, AMONG OTHERS, OF: (1) THE ANTI-FRAUD PROVISIONS OF ILLINOIS SECURITIES LAW; (2) CONSUMER FRAUD AND DECEPTIVE PRACTICES ACT; (3) COMMON LAW; (4) NASD RULE 2110 WHICH REQUIRES ALL NASD MEMBERS AND THEIR ASSOCIATED PERSONS TO OBSERVE STANDARDS OF COMMERCIAL HONOR AND JUST AND EQUITABLE PRINCIPALS OF TRADE; (5) NASD RULE 2120 BY USE OF MANIPULATIVE, DECEPTIVE AND FRAUDULENT DEVICE; (6) NASD RULE 2310 BY RECOMMENDING AN UNSUITABLE INVESTMENT; (7) FIDUCIARY DUTY OWED TO CLAIMANT; AND (8) THE RESPONSIBILITY TO PERFORM ADEQUATE DUE DILIGENCE ON THE INVESTMENT BEING RECOMMENDED. [CUSTOMER] RECEIVED A MEMORANDUM DESCRIBING THE NATURE AND RISKS OF THE INVESTMENT, DISCUSSED THESE RISKS WITH MR. COOK, REPRESENTED IN WRITING THAT HE UNDERSTOOD THE NUMEROUS RISKS, INCLUDING RISK OF LOSS, ASSOCIATED WITH THE INVESTMENT,



AND REPRESENTED HE HAD THE FINANCIAL MEANS AND MET OTHER QUALIFICATIONS TO BEAR THE RISKS. [CUSTOMER] ALSO MADE ALL DECISIONS ON HOW MUCH AND WHEN TO INVEST AND REPRESENTED HE UNDERSTOOD THE INVESTMENT WAS A LONG-TERM INVESTMENT WITH NO LIQUIDITY. HE RECEIVED REGULAR REPORTS FROM KEY LIME, AND WAS THEREFORE ABLE TO EVALUATE THE PROGRESS OF THE INVESTMENT AS TIME WENT BY. [THIRD PARTY] ATTEMPTING TO RECOVER LOSSES IN AN INVESTMENT THAT DID NOT FARE WELL IN THE GENERAL DOWNTURN OF THE REAL ESTATE MARKET DURING THE PAST FEW YEARS. MR. COOK'S RECOMMENDATION OF THE INVESTMENT WAS SUITABLE, AND NO VIOLATION OF ANY LAW OR FINRA RULES OCCURRED.

Product Type: Direct Investment-DPP & LP Interests

Promissory Note

Real Estate Security

Alleged Damages: \$60,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA- CHICAGO, IL

Docket/Case #: 11-03317

Filing date of arbitration/CFTC reparation or civil litigation: 09/01/2011

Customer Complaint Information

Date Complaint Received: 09/06/2011

Complaint Pending? No

Status: Withdrawn

Status Date: 09/26/2012

Settlement Amount:

Individual Contribution Amount:



Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BAKER TILLY CAPITAL, LLC
Allegations:	<p>A FINRA ARBITRATION HAS BEEN FILED AGAINST BAKER TILLY CAPITAL THAT DOES NOT NAME MR. COOK AS A RESPONDENT, BUT BAKER TILLY CAPITAL HAS AMENDED MR. COOK'S U-5 TO FOCUS ON HIS ACTIONS AS THE AGENT OF BAKER TILLY CAPITAL FOR THE CLAIMANT. THE CLAIMANT DESCRIBES IN THE COMPLAINT THAT, DURING JANUARY 2007, MR. COOK SOLICITED THE CLAIMANT TO PURCHASE \$60,000 OF KEYLIME COVE SUBORDINATED NOTES THROUGH BAKER TILLY CAPITAL, LLC.</p> <p>[CUSTOMER] RECEIVED A MEMORANDUM DESCRIBING THE NATURE AND RISKS OF THE INVESTMENT, DISCUSSED THESE RISKS WITH MR. COOK, REPRESENTED IN WRITING THAT HE UNDERSTOOD THE NUMEROUS RISKS, INCLUDING RISK OF LOSS, ASSOCIATED WITH THE INVESTMENT, AND REPRESENTED HE HAD THE FINANCIAL MEANS AND MET OTHER QUALIFICATIONS TO BEAR THE RISKS. [CUSTOMER] ALSO MADE ALL DECISIONS ON HOW MUCH AND WHEN TO INVEST AND REPRESENTED HE UNDERSTOOD THE INVESTMENT WAS A LONG-TERM INVESTMENT WITH NO LIQUIDITY. HE RECEIVED REGULAR REPORTS FROM KEY LIME, AND WAS THEREFORE ABLE TO EVALUATE THE PROGRESS OF THE INVESTMENT AS TIME WENT BY. MR. COOK'S RECOMMENDATION OF THE INVESTMENT WAS SUITABLE, AND NO VIOLATION OF ANY LAW OR FINRA RULES OCCURRED.</p>
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$60,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA-CHICAGO, IL
Docket/Case #:	11-03317
Filing date of arbitration/CFTC reparation or civil litigation:	09/01/2011

Customer Complaint Information



Date Complaint Received: 09/06/2011

Complaint Pending? No

Status: Withdrawn

Status Date: 09/26/2012

Settlement Amount:

Individual Contribution Amount:

Broker Statement AMEND U-4 DISCLOSURE DUE TO ARBITRATION FILE AGAINST BAKER TILLY CAPITAL THAT DOES NOT NAME MR. COOK AS A RESPONDENT. COMPLAINT WAS WITHDRAWN.

End of Report



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