

BrokerCheck Report

JOHN STEPHEN KOSTUKOVICH

CRD# 4000752

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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.

**JOHN S. KOSTUKOVICH**

CRD# 4000752

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

- IA VICUS CAPITAL, INC.**
 210 Grandview Ave, Suite 101
 Camp Hill, PA 17011
 CRD# 116021
 Registered with this firm since: 10/03/2018
- B CETERA WEALTH SERVICES, LLC**
 210 GRANDVIEW AVE STE 101
 CAMP HILL, PA 17011
 CRD# 13572
 Registered with this firm since: 09/28/2018

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
- 2 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):**

- B LPL FINANCIAL LLC**
 CRD# 6413
 HARRISBURG, PA
 11/2016 - 09/2018
- IA INTEGRATED WEALTH CONCEPTS LLC**
 CRD# 284656
 WALTHAM, MA
 12/2016 - 09/2018
- IA LINCOLN FINANCIAL ADVISORS CORPORATION**
 CRD# 3978
 FORT WAYNE, IN
 11/2013 - 11/2016

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 2 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Office Address: **2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245**

Firm CRD#: **13572**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	09/28/2018

U.S. State/ Territory	Category	Status	Date
B Pennsylvania	Agent	Approved	10/01/2018
B South Carolina	Agent	Approved	12/09/2022

Branch Office Locations

CETERA WEALTH SERVICES, LLC

210 GRANDVIEW AVE STE 101
CAMP HILL, PA 17011

Employment 2 of 2

Firm Name: **VICUS CAPITAL, INC.**

Main Office Address: **476 ROLLING RIDGE DRIVE
SUITE 315
STATE COLLEGE, PA 16801**

Firm CRD#: **116021**



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	10/03/2018
IA	South Carolina	Investment Adviser Representative	Approved	12/12/2022

Branch Office Locations

210 Grandview Ave, Suite 101
Camp Hill, PA 17011

John's Island, SC



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	09/21/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/13/2005
B Uniform Securities Agent State Law Examination	Series 63	09/27/1999

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
B 11/2016 - 09/2018	LPL FINANCIAL LLC	6413	HARRISBURG, PA
IA 12/2016 - 09/2018	INTEGRATED WEALTH CONCEPTS LLC	284656	Camp Hill, PA
B 11/2013 - 11/2016	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	CAMP HILL, PA
IA 11/2013 - 11/2016	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	CAMP HILL, PA
IA 01/2013 - 11/2013	1ST GLOBAL ADVISORS INC	111133	CAMP HILL, PA
B 01/2013 - 11/2013	1ST GLOBAL CAPITAL CORP.	30349	CAMP HILL, PA
B 07/2010 - 01/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	CAMP HILL, PA
IA 07/2010 - 01/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	CAMP HILL, PA
IA 08/2005 - 07/2010	ESI FINANCIAL ADVISORS	265	CAMP HILL, PA
B 02/2005 - 07/2010	EQUITY SERVICES, INC.	265	CAMP HILL, PA
B 08/2004 - 02/2005	NATIONAL PLANNING CORPORATION	29604	LOS ANGELES, CA
B 08/2003 - 08/2004	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA
B 07/2000 - 08/2003	NATHAN & LEWIS SECURITIES, INC.	8503	NEW YORK, NY
B 09/1999 - 07/2000	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	FAIRFIELD, IA

Employment History



Registration and Employment History

Employment History, continued

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
09/2018 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REP	Y	EL SEGUNDO, CA, United States
09/2018 - Present	Vicus Capital, Inc.	Investment Advisor Representative	Y	State College, PA, United States
06/2018 - Present	BLUE GRAYHUNT CLUB, LLC	MEMBER/OWNER	N	JOHNS ISLAND, SC, United States
02/2007 - Present	THE KOSTUKOVICH FAMILY TRUST	TRUSTEE OF THE FAMILY TRUST	N	CAMP HILL, PA, United States
12/2006 - Present	RENTAL REAL ESTATE	OWNER	N	CAMP HILL, PA, United States
02/1992 - Present	KOSTUKOVICH FINANCIAL GROUP, LLC	ACCOUNTING AND TAX SERVICES	N	CAMP HILL, PA, United States
11/2016 - 09/2018	INTEGRATED WEALTH CONCEPTS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	HARRISBURG, PA, United States
11/2016 - 09/2018	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	HARRISBURG, PA, United States
11/2013 - 11/2016	LINCOLN FINANCIAL ADVISORS	REGISTERED REPRESENTATIVE	Y	CAMP HILL, PA, 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. NAME OF OTHER BUSINESS: VICUS CAPITAL
 INVESTMENT RELATED: YES
 ADDRESS: SAME AS REGISTERED LOCATION
 NATURE OF BUSINESS: ADVISORY BUSINESS
 POSITION/TITLE/RELATIONSHIP: ADVISORY REPRESENTATIVE
 START DATE: 8/2018



Registration and Employment History

Other Business Activities, continued

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: IAR - PROVIDES ADVISORY SERVICES AND WEALTH MANAGEMENT THROUGH VICUS CAPITAL

2. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FIXED INSURANCE

START DATE: 8/2018

APX NUMBER OF HOURS PER WEEK: MINIMAL

APX NUMBER OF HOURS DURING TRADING HOURS: MINIMAL

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT

BRIEF DESCRIPTION OF DUTIES: SELLS LIFE, DISABILITY, ANNUITIES, AND LONG TERM CARE

3. NAME OF OTHER BUSINESS: KOSTUKOVICH FINANCIAL GROUP, LLC

INVESTMENT RELATED: NO

ADDRESS: 3900 TRINDLE ROAD, CAMP HILL, PA 17011

NATURE OF BUSINESS: CPA FIRM

START DATE: 2/1992

APX NUMBER OF HOURS PER WEEK: 37

APX NUMBER OF HOURS DURING TRADING HOURS: 37

BRIEF DESCRIPTION OF DUTIES: ACCOUNTING AND TAX SERVICES

4. NAME OF OTHER BUSINESS: RENTAL REAL ESTATE

INVESTMENT RELATED: NO

ADDRESS: 3900 TRINDLE ROAD, CAMP HILL, PA 17011

NATURE OF BUSINESS: RENTAL REAL ESTATE

START DATE: 12/2006

APX NUMBER OF HOURS PER WEEK: MINIMAL

APX NUMBER OF HOURS DURING TRADING HOURS: MINIMAL

BRIEF DESCRIPTION OF DUTIES: OWNER OF ENTITY THAT OWNS BUILDING THAT CPA FIRM OPERATES IN

5. NAME OF OTHER BUSINESS: BLUE GRAYHUNT CLUB, LLC

INVESTMENT RELATED: NO

ADDRESS: 4513 HOPE PLANTATION DRIVE, JOHNS ISLAND, SC 29455

NATURE OF BUSINESS: TIMBERLAND, THE LAND WILL BE USED FOR RECREATIONAL PURPOSES AS WELL. HUNTING AND FISHING

START DATE: 6/2018

APX NUMBER OF HOURS PER WEEK: MINIMAL

APX NUMBER OF HOURS DURING TRADING HOURS: MINIMAL

BRIEF DESCRIPTION OF DUTIES: MEMBER/OWNER

6. NAME OF OTHER BUSINESS: CLELAN AND COMPANY

INVESTMENT RELATED: YES

Registration and Employment History



Other Business Activities, continued

ADDRESS: 210 GRADVIEW AVENUE, SUITE 101, CAMP HILL, PA 17011

NATURE OF BUSINESS: OFFERING ADVISORY SERVICES THROUGH VICUS CAPITAL

START DATE: 9/2018

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 40

BRIEF DESCRIPTION OF DUTIES: IAR - PROVIDES ADVISORY SERVICES AND WEALTH MANAGEMENT THROUGH VICUS CAPITAL

7. NAME OF OTHER BUSINESS: THE KOSTUKOVICH FAMILY TRUST

INVESTMENT RELATED: NO

ADDRESS: 3900 TRINDLE ROAD, CAMP HILL, PA 17011

NATURE OF BUSINESS: TRUSTEE OF THE FAMILY TRUST

START DATE: 2/2007

APX NUMBER OF HOURS PER WEEK: LESS THAN 1

APX NUMBER OF HOURS DURING TRADING HOURS: MINIMAL

BRIEF DESCRIPTION OF DUTIES: TRUSTEE OF THE FAMILY TRUST

End of Report



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