BrokerCheck Report

JOSEPH Michael PRISCO JR.

CRD# 4886860

Section Title / Page(s)

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 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:
    - 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.
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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.

JOSEPH M. PRISCO JR.

CRD# 4886860

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

IA **ADVOCACY FINANCIAL LLC**
212 PARK PLACE
COVINGTON, LA 70433
CRD# 305954
Registered with this firm since: 01/02/2020

B **PURSHE KAPLAN STERLING INVESTMENTS**
212 Park Place
Covington, LA 70433
CRD# 35747
Registered with this firm since: 01/02/2020

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
- 5 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

B **SECURITIES AMERICA, INC.**
CRD# 10205
Covington, LA
07/2015 - 12/2019

IA **BEAM ASSET MANAGEMENT, LLC**
CRD# 109867
COVINGTON, LA
02/2010 - 12/2019

B **LPL FINANCIAL LLC**
CRD# 6413
COVINGTON, LA
02/2010 - 07/2015

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

Employment 1 of 2

Firm Name: **ADVOCACY FINANCIAL LLC**

Main Office Address: **212 PARK PLACE**
COVINGTON, LA 70433

Firm CRD#: **305954**

	U.S. State/ Territory	Category	Status	Date
IA	Louisiana	Investment Adviser Representative	Approved	01/02/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	04/02/2021

Branch Office Locations

212 PARK PLACE
COVINGTON, LA 70433

Employment 2 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Office Address: **80 STATE STREET**
ALBANY, NY 12207

Firm CRD#: **35747**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/02/2020
B	FINRA	Operations Professional	Approved	01/02/2020

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	09/13/2023
B	Louisiana	Agent	Approved	01/02/2020
B	Mississippi	Agent	Approved	09/13/2023
B	New York	Agent	Approved	01/02/2020

Branch Office Locations

PURSHE KAPLAN STERLING INVESTMENTS
212 Park Place
Covington, LA 70433

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, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	10/05/2005
B	General Securities Representative Examination	Series 7	08/30/2005

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	09/27/2005

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	07/2015 - 12/2019	SECURITIES AMERICA, INC.	10205	Covington, LA
IA	02/2010 - 12/2019	BEAM ASSET MANAGEMENT, LLC	109867	Covington, LA
B	02/2010 - 07/2015	LPL FINANCIAL LLC	6413	COVINGTON, LA
B	08/2007 - 02/2010	MORGAN KEEGAN & COMPANY, INC.	4161	MANDEVILLE, LA
IA	08/2007 - 02/2010	MORGAN KEEGAN & COMPANY, INC.	4161	MANDEVILLE, LA
IA	09/2005 - 02/2007	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	WASHINGTON, DC
B	09/2005 - 02/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	WASHINGTON, DC

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
01/2020 - Present	Purshe Kaplan Sterling Investments	Registered representative	Y	Albany, NY, United States
10/2019 - Present	ADVOCACY FINANCIAL LLC	INVESTMENT ADVISOR REPRESENTATIVE/CCO	Y	COVINGTON, LA, United States
05/2015 - Present	EQUITABLE ADVOCACY LLC	MANAGER/ MEMBER	N	COVINGTON, LA, United States
07/2015 - 12/2019	SECURITIES AMERICA, INC.	REGISTERED REP	Y	COVINGTON, LA, United States
02/2010 - 12/2019	BEAM ASSET MANAGEMENT	INVESTMENT ADVISER	Y	COVINGTON, LA, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
		REPRESENTATIVE		
02/2010 - 10/2019	ADVOCACY FINANCIAL LLC	MANAGER/ MEMBER	Y	COVINGTON, LA, 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) ADVOCACY FINANCIAL. Investment related; At Registered Branch Office Location; Financial planning and asset management; CEO/CCO; Start 10/2019; 160 hours a month; 115 trading hours; serve clients, management and operations.

2) FINRA ARBITRATOR. Investment Related. 5200 Town Center Circle, Boca Raton FL 3346. Start 8/2012. 0 hours during trading hours.

3) LICENSED INSURANCE PRODUCER - Not Investment Related. At Registered Branch Office Location. Non-Variable insurance, including life, disability, fixed annuities and LTC; Agent. Start 1/1/2017. 20 hours/ month, 5 trading hours/ month. Help clients manage and transfer risks.

4) PKS FINANCIAL. Investment Related. 80 State St, Albany, NY 12207. Insurance. Agent. Start 1/2020. 5 hours per month during trading. Maintain the ability to provide insurance solutions to clientele.

5) RECREATIONAL DISTRICT 14. Not Investment Related. 13505 Hwy LA 1085, Covington LA 70433. Board Member. Coquille Parks and Recreation, St. Tammany Parish, LA. Start 5/6/2016. 2 hours/month during trading. Attend monthly board meetings. Help with issues of recreational district.

6) EQUITABLE ADVOCACY LLC. Not Investment Related. At Registered Branch Office Location. Manager/Member. Practice of Law. Start 5/7/2015. 50 hours/month, 5 during trading hours. Attorney and notary public licensed in the state of Louisiana. We work with clients with document preparation and counsel regarding estate planning, trusts, successions and some controversies.

7) LEGACY LOUISIANA, LLC. Not Investment Related. At Registered Branch Office Location. Manager/Member. Marketing for legal services. Start 2/19/2021. 10 hours/month, 2 during trading hours. Operations, marketing and branding for particular legal services, namely estate planning, successions and trust work.

8) 212 Park, LLC. Not Investment Related. At Registered Branch Office Location. Commercial Real Estate. Member/Manager. 8/1/2024. 0. 0. Managing books, maintaining bank accounts etc.

End of Report

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