

BrokerCheck Report

JOHN HOWARD DECKER

CRD# 808126

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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:
 - 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.

JOHN H. DECKER

CRD# 808126

This broker is not currently registered.

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 not currently registered.

This broker has passed:

- 7 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):

- B UBS FINANCIAL SERVICES INC.**
CRD# 8174
NEW YORK, NY
03/1986 - 07/2026
- B SUSSEX SECURITIES INCORPORATED**
CRD# 13596
05/1983 - 02/1986
- B PRUDENTIAL-BACHE SECURITIES INC.**
CRD# 7471
09/1977 - 05/1983

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**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/02/2023
B Municipal Securities Principal Examination	Series 53	01/02/2023
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B Registered Options Principal Examination	Series 4	11/11/1978
B Registered Principal Examination	Series 40	12/15/1977
B NYSE Branch Manager Examination	Series 12	12/12/1977

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	09/25/2025
B Securities Industry Essentials Examination	SIE	10/01/2018
B Foreign Currency Options Examination	Series 15	04/03/1984
B Interest Rate Options Examination	Series 5	09/14/1983
B General Securities Representative Examination	Series 7	05/17/1975

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/09/1993

Broker Qualifications



Industry Exams this Broker has Passed, continued State Securities Law Exams Continued

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/05/1979

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.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/1986 - 07/2026	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY
B 05/1983 - 02/1986	SUSSEX SECURITIES INCORPORATED	13596	
B 09/1977 - 05/1983	PRUDENTIAL-BACHE SECURITIES INC.	7471	
B 08/1976 - 09/1977	BACHE HALSEY STUART INC.	7238	
B 02/1976 - 08/1976	BACHE & CO INCORPORATED	7058	
B 05/1975 - 02/1976	BACHE & CO., INCORPORATED	66	

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
03/1986 - Present	UBS FINANCIAL SERVICES INC.	BRANCH MANAGER SALARIED	Y	NEW YORK, NY, 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) DECKER CAPITAL HOLDINGS LLC / HOPATCONG, NJ 07843 / COMPANY / FINANCIAL (CONSUMER & INVESTMENT SERVICES) / BUYING, SELLING, TRADING, INVESTING IN ALL TYPES OF BUSINESSES FROM REAL ESTATE, FARMS, PRECIOUS METALS, GEMS AND DIAMONDS, COMMODITIES & FUTURES, AND POTENTIALLY ANY AND ALL DIFFERENT FINANCIAL INSTRUMENTS / OFFICER / I OWN 99% OF THE CORPORATION AND I MAKE THE DECISIONS ON THE PARTNERSHIP. MY WIFE OWNS THE OTHER 1%. / START DATE 08/12/2005. ///

2) MENDENHALL TF PARTNERS / HOUSTON, TEXAS 77056 / PARTNERSHIP / FINANCIAL (CONSUMER & INVESTMENT SERVICES) / THIS IS A SINGLE PURPOSE LLC TO HOLD PRIVATELY ISSUED SHARES OF THERANOS, A NON-PUBLIC COMPANY / PARTNER / I AM AN INVESTOR IN PRIVATELY HELD SHARES OF THERANOS THAT WILL BE HELD IN MENDENHALL TF PARTNERS / START DATE



Registration and Employment History

Other Business Activities, continued

1/14/2014 ///

3) DECKER INVESTMENTS LLC / NEW JERSEY 07843 / FINANCIAL (CONSUMER & INVESTMENT SERVICES) / I AM THE MANAGING PARTNER / START DATE 9/12/2014 ///

4) DECKER EQUITY PROPERTIES, LLC / NEW JERSEY 07843 / PARTNERSHIP/ FINANCIAL (CONSUMER & INVESTMENT SERVICES) / LLC FOR ESTATE PLANNING HOLDING REAL ESTATE AND MULTIPLE SECURITIES INVESTMENTS / PARTNER / I AM MANAGING PARTNER AND 99% OWNER / START DATE 11/24/2014 ///

5) NAME OF OTHER BUSINESS: Decker Capital Holdings LLC / INVESTMENT RELATED?: Yes / ADDRESS: Hopatcong, New Jersey 07843,US/ NATURE OF THE BUSINESS: LLC holding investments / POSITION: Partner / DUTIES: Investing in multiple forms of Cryptocurrency/ START DATE: 1/21/2021/ HOURS DEVOTED TO BUSINESS: N/A ///

6) NAME OF OTHER BUSINESS: Blackbelt Holdings LLC / INVESTMENT RELATED?: Yes // NATURE OF THE BUSINESS: Real Estate - Partnership / POSITION: Partner / DUTIES:As managing partner of Decker Investments LLC I will be making joint decisions with the managing partner of WMDR Holdings LLC/ START DATE:12/12/22/ HOURS DEVOTED TO BUSINESS: NA ///

7) The J. M. D. Revocable Trust Agreement Amended and Restated on August 6, 2009 & Amended Dated May 4, 1990; Disposition of the Estate of J. M. D.; North Street, Michigan 48049; I along with one brother and sister are trustees to distribute estate per trust agreement; Start date: 5/10/2024; Investment-related: Yes

8) Book - title "Success is Not a Secret" - "Creating a World Class Wealth Management Office", ,Writing a book - Funded by Decker Capital Holdings LLC, Author, start date-8/17/2011, New JerseyUnited States-07843.

9) J.H.D, M.C.D., Decker Investments LLC, Personal Investment in Gold Bullion, gold, silver, platinum, Palladium Coins and "junk" gold jewelry purchased for the weight of gold, Proprietor / owner, start date-2/20/2020, Hopatcong New Jersey United States07843.

10) DECKER INVESTMENTS LLC AND WMDR HOLODINGS LLC, We are purchasing a single family home with intention of renovating it, Partner, Making decisions on renovations, etc, start date-11/30/2022, West Palm BeachFloridaUnited States-33403

End of Report



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