

BrokerCheck Report

STANLEY JASON RAPERT

CRD# 3097983

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4 - 6

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 <http://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.](http://www.finra.org)

STANLEY J. RAPERT

CRD# 3097983

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:

- 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):

PROEQUITIES, INC.

CRD# 15708
CONWAY, AR
03/2010 - 08/2016

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**

CRD# 7691
CONWAY, AR
02/2005 - 03/2010

EDWARD JONES

CRD# 250
ST. LOUIS, MO
09/1998 - 03/2005

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.

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
General Securities Representative Examination	Series 7	08/31/1998
Futures Managed Funds Examination	Series 31	05/18/2006

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	09/02/1998
Uniform Combined State Law Examination	Series 66	06/21/2005

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
03/2010 - 08/2016	PROEQUITIES, INC.	15708	CONWAY, AR
02/2005 - 03/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CONWAY, AR
09/1998 - 03/2005	EDWARD JONES	250	ST. LOUIS, MO

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 Dates	Employer Name	Employer Location
03/2010 - 07/2016	PROEQUITIES, INC	CONWAY, AR
02/2005 - 03/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORA	CONWAY, AR

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.

DBA: RAPERT FINANCIAL & ASSOCIATES, INC.; NOT INVESTMENT RELATED; 707 PKWY ST, STE 104 CONWAY AR 72034; THIS IS AN S-CORP TO HANDLE BUSINESS RELATED MATTERS ASSOCIATED WITH OUR COMMISSIONS AND PAYMENTS FROM INSURANCE VENDORS AND OTHER RELATED ACTIVITIES; PRESIDENT; STARTED 03/2010; 20 HRS/MO; 20 HRS/MO.

ARKANSAS SENATE

POSITION: SENATOR NATURE: MEMBER OF THE ARKANSAS LEGISLATURE INVESTMENT RELATED: NO

NUMBER OF HOURS: 30 INVESTMENT RELATED HOURS: 1 START DATE: 01/03/2011

ADDRESS: STATE CAPITOL, LITTLE ROCK AR 72201

DESCRIPTION: I AM A STATE SENATOR. I SERVE IN THE ARKANSAS SENATE.

HOLY GHOST MINISTRIES INC



Registration and Employment History

Other Business Activities, continued

POSITION: FOUNDER & PRESIDENT NATURE: FAITH BASED MISSIONS ORGANIZATION INVESTMENT RELATED: NO NUMBER OF HOURS: 10 INVESTMENT RELATED HOURS: 0 START DATE: 01/01/2002
 ADDRESS: P.O. BOX 10388, CONWAY AR 72034
 DESCRIPTION: PRESIDENT OF BOARD, OVERSIGHT, ACCOUNTABILITY,

NATIONAL CONFERENCE OF INSURANCE LEGISLATORS
 POSITION: EXECUTIVE COMMITTEE NATURE: PUBLIC POLICY. INVESTMENT RELATED: YES NUMBER OF HOURS: 2 INVESTMENT RELATED HOURS: 0 START DATE: 03/01/2013
 ADDRESS: 385 JORDAN ROAD, TROY NY 12180
 DESCRIPTION: I SERVE ON THE EXECUTIVE COMMITTEE

JOHNNY MINICK MINISTRIES, INC.
 POSITION: BOARD OF ADVISORS NATURE: RELIGIOUS MINISTRY INVESTMENT RELATED: NO NUMBER OF HOURS: 1 INVESTMENT RELATED HOURS: 0 START DATE: 01/01/2014
 ADDRESS: P.O. BOX 767, SMYRNA TN 37167
 DESCRIPTION: BOARD OF ADVISORS POSITION. THIS IS A RELIGIOUS MINISTRY BOARD OF ADVISORS GIVING COUNSEL AND GUIDANCE IN AN ADVISORY CAPACITY TO THE MINISTRY ORGANIZATION.

ARKANSAS WORLD TRADE CENTER
 POSITION: BOARD OF ADVISORS NATURE: TO ASSIST ARKANSAS COMPANIES IN INTERNATIONAL TRADE AND TO EDUCATE ARKANSAS STUDENTS IN GLOBAL COMMERCE. INVESTMENT RELATED: NO NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 09/03/2014
 ADDRESS: 3300 MARKET STREET, SUITE 400, ROGERS AR 72758
 DESCRIPTION: ESTABLISHED IN 2007, THE WORLD TRADE CENTER ARKANSAS; DEVELOPMENT FOR THE STATE THROUGH TRADE MISSIONS, TRAINING SEMINARS, GLOBAL CONFERENCES, NETWORKING OPPORTUNITIES AND MARKET-SPECIFIC TRADE DEVELOPMENT OFFICERS.

INTERSTATE INSURANCE PRODUCT REGULATION COMMISSION
 POSITION: LEGISLATIVE COMMITTEE NATURE: INSURANCE REGULATION INVESTMENT RELATED: NO NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 08/15/2014
 ADDRESS: 444 NORTH CAPITOL STREET, NW, HALL OF THE STATES, SUITE 700, WASHINGTON DC 20001-1509
 DESCRIPTION: THE INTERSTATE INSURANCE COMPACT ("COMPACT") IS AN IMPORTANT MODERNIZATION INITIATIVE THAT BENEFITS STATE INSURANCE REGULATORS, CONSUMERS, AND THE INSURANCE INDUSTRY.

ULOCKIT SECURITY DEVICES LLC
 POSITION: Treasurer NATURE: Invent, produce, manufacture and market security devices. INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 07/29/2014
 ADDRESS: 4150 Tyler Street, Ste. 3, Conway AR 72034
 DESCRIPTION: This is a new business venture that may or may not be successful. I am one of 6 equal partners, and 16.6% owner of uLockit Security Devices LLC which owns the patent on a security locking device which was invented as a solution for people in schools, churches, universities, homes and others to quickly and efficiently prevent a door from being forced open by an intruder, aggressor and specifically in an active shooter situation such as happened at Sandy Hook Elementary. We own all rights to the device and the company will be manufacturing and marketing the

Registration and Employment History



Other Business Activities, continued

product. The LLC agreement was executed on July 29, 2014. My specific duties at this time is to operate as Treasurer

RAPERT FINANCIAL & ASSOCIATES, INC.

POSITION: General Agent NATURE: Prepaid Legal & Identity Theft Services INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 09/24/2015

ADDRESS: 707 PKWY ST, STE 104, Conway AR 72034

DESCRIPTION: I have a General Agency agreement from LegalShield to offer the products and services. I plan to offer the products and also enroll other agents to offer the products

End of Report



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