

BrokerCheck Report

KEVIN PAUL OBRIEN

CRD# 1782288

Report #78806-40181, data current as of Friday, January 15, 2010.

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Dear Investor:

FINRA has generated the following BrokerCheck report for **KEVIN P. OBRIEN**. The information contained within this report has been provided by a FINRA member firm(s) and securities regulators as part of the securities industry's registration and licensing process and represents the most current information reported to the Central Registration Depository (CRD₂) system.

FINRA regulates the securities markets for the ultimate benefit and protection of the investor. FINRA believes the general public should have access to information that will help them determine whether to conduct, or continue to conduct, business with a FINRA member firm or any of the member's associated persons. To that end, FINRA has adopted a public disclosure policy to make certain types of information available to you. Examples of information FINRA provides on currently registered individuals and individuals who were registered during the past two years include: actions by regulators, investment-related civil suits, customer disputes that contain allegations of sales practice violations against brokers, all felony charges and convictions, misdemeanor charges and convictions relating to securities violations, and financial events such as bankruptcies, compromises with creditors, judgments, and liens. FINRA also provides certain information on individuals whose registrations terminated more than two years ago.

When evaluating this report, please keep in mind that it may include items that involve pending actions or allegations that may be contested and have not been resolved or proven. Such items may, in the end, be withdrawn or dismissed, or resolved in favor of the firm or broker, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

The information in this report is not the only resource

you should consult. FINRA recommends that you learn as much as possible about the individual broker or brokerage firm from other sources, such as professional references, local consumer and investment groups, or friends and family members who already have established investment business relationships.

FINRA BrokerCheck is governed by federal law, Securities and Exchange Commission (SEC) regulations and FINRA rules approved by the SEC. State disclosure programs are governed by state law, and may provide additional information on brokers and firms licensed by the state. Therefore, you should also consider requesting information from your state securities regulator. Refer to www.nasaa.org for a complete list of state securities regulators.

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)

KEVIN P. OBRIEN

CRD# 1782288

This broker is not currently registered with a FINRA firm.

Report Summary for this Broker



The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process. The information contained in this report was last updated by the broker, a previous employing brokerage firm, or a securities regulator on 09/15/2009.

Broker Qualifications

This broker is not currently registered with a FINRA firm.

This broker has passed:

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

Registration and Employment History

This broker was previously registered with the following FINRA member firms:

ROBERT W. BAIRD & CO. INCORPORATED

CRD# 8158
CINCINNATI, OH
10/1998 - 09/2008

FIFTH THIRD/THE OHIO COMPANY

CRD# 628
CINCINNATI, OH
01/1988 - 10/1998

For additional registration and employment history details as reported by the individual broker, refer to the Registration and Employment History section of this report.

Disclosure of Customer Disputes, Disciplinary, and Regulatory Events

This section includes details regarding disclosure events reported by or about this broker to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events include formal investigations and disciplinary actions initiated by regulators, customer disputes, certain criminal charges and/or convictions, as well as financial disclosures, such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this broker? **Yes**

The following types of disclosures were reported:

Regulatory Event

Customer Dispute

Termination

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides the physical location of each branch that the individual broker is associated with for each listed employment.

This broker is not currently registered with a FINRA firm.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all current principal/supervisory, general product/industry, and/or state securities law exams that the broker has passed. Under certain, limited circumstances, a broker may receive a waiver of an exam requirement based on a combination of previous exams passed and qualifying work experience. Likewise, a new exam requirement may be grandfathered based on a broker's specific qualifying work experience. Information regarding instances of exam waivers or the grandfathering of an exam requirement are not included as part of the BrokerCheck report.

This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	01/16/1988

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	03/09/1988

Additional information about the securities industry's qualifications and continuing education requirements, as well as the examinations administered by FINRA to brokers and other securities professionals can be found at <http://www.finra.org/Industry/Compliance/Registration/QualificationsExams/index.htm>.



Registration and Employment History

Previously Registered with the Following FINRA Firms

FINRA records show this broker previously held FINRA registrations with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
10/1998 - 09/2008	ROBERT W. BAIRD & CO. INCORPORATED	8158	CINCINNATI, OH
01/1988 - 10/1998	FIFTH THIRD/THE OHIO COMPANY	628	CINCINNATI, OH

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 a FINRA firm 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
09/2008 - Present	OBRIEN PWM, LLC	CINCINNATI, OH
09/1998 - 09/2008	ROBERT W. BAIRD & CO. INCORPORATED	CINCINNATI, OH

Affiliations

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.

NAME AND ADDRESS OF OTHER BUSINESS: CYBER SPACE ADS.COM, 8190 BEECHMONT AVE # 163
ANDERSON, OHIO 45255

TITLE: OWNER

RESPONSIBILITIES: WEBSITE DESIGN FOR SMALL BUSINESSES

HOURS DEVOTED TO BUSINESS: 2-5 HOURS PER WEEK. NONE DURING SECURITIES TRADING HOURS.

NOT INVESTMENT RELATED



Disclosure of Customer Disputes, Disciplinary, and Regulatory Events

What you should know and/or consider regarding any reported disclosure events:

- Before reaching a conclusion regarding any of the information contained in this BrokerCheck report, you should ask the broker to clarify the specific event(s) listed, or to provide a response to any questions you may have.
- "Pending" actions involve unproven and/or unsubstantiated allegations.

Disclosures in BrokerCheck reports come from different sources:

- **Self-disclosure:** Brokers are required to answer a series of questions on their application requesting securities industry registration (Form U4). For example, brokers are asked whether they have been involved in certain regulatory, civil, criminal and financial matters (e.g., bankruptcy), or have been the subject of a customer dispute.
- **Regulator/Employer postings:** In addition, regulators and firms that have employed a broker also may contribute relevant information about such matters. All of this information is maintained in CRD.

Certain thresholds must be met before an event is reported to CRD; for example:

- A **law enforcement agency** must file formal charges before a broker is required to report a particular criminal event.
- Likewise, a **regulatory agency** must meet established standards before initiating a regulatory action and/or issuing sanctions. These standards typically include a reasonable basis for initiating the action after engaging in a fact-finding process.

In order for a *customer* dispute to be reported to CRD, a customer must:

- Allege that their broker engaged in activity that violates certain rules or conduct governing the industry; and
- Claim damages of \$5,000 or more as a result of that activity.

(Note: customer disputes may be more subjective in nature than a criminal or regulatory action)

Certain customer disputes contained in this BrokerCheck report may no longer be required to be reported by the broker.

- Generally, these will be written complaints that were initiated more than two years ago. Once an event is not required to be reported, a broker has no obligation to update the matter.

What you should consider when evaluating the status or disposition of a reported disclosure event:

- **Disclosure events may be *pending*, *on appeal*, or *final*.** *Pending* and *'on appeal'* matters reflect allegations that (1) have not been proven or formally adjudicated, or (2) have been adjudicated but are currently being appealed. *Final* matters generally may be *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 represents a disposition wherein parties involved in a dispute reach an agreement to resolve the matter.



Possible multiple reporting sources -- please note:

Disclosure details may be reported by more than one source (i.e., regulator, firm, or broker). When this occurs, all versions of the event will appear in the BrokerCheck report. The different versions of the same disclosure event are separated by a solid line with the reporting source labeled.



(Note: brokers may choose to settle customer disputes or regulatory matters for business or other reasons)

- Customer disputes also may be **resolved** without any payment to the customer or any finding of wrongdoing on the part of the individual broker.

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Customer Dispute	0	3	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a number of items may involve pending actions or allegations that may be contested and have not been resolved or proven. The items may, in the end, be withdrawn or dismissed, or resolved in favor of the individual 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 by the individual broker, a member firm(s), and/or by securities industry regulators. Some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This section provides information regarding a final, regulatory action that was reported to CRD by the individual broker, a member firm, and/or a securities regulator. The event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the SEC or the Commodities Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This section may also include a revocation or suspension of a broker's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	09/14/2009
Docket/Case Number:	2008015004001
Employing firm when activity occurred which led to the regulatory action:	ROBERT W. BAIRD & CO., INC.
Product Type:	No Product
Allegations:	NASD RULES 2110, 2330, 3030 AND INTERPRETATIVE MATERIAL-2310-2: RESPONDENT KEVIN P. O'BRIEN ENGAGED IN OUTSIDE BUSINESS ACTIVITIES FOR ONE OF HIS CUSTOMERS WITHOUT PROVIDING PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM. WHILE ENGAGING IN THE OUTSIDE ACTIVITIES FOR HIS CUSTOMER, O'BRIEN TRANSFERRED \$378,000 BETWEEN THE CUSTOMER'S ACCOUNTS, USING THE FUNDS TO PAY THE CUSTOMER'S LEGITIMATE EXPENSES AND MISAPPROPRIATING THE REMAINING FUNDS FOR HIS OWN USE AND BENEFIT.



Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 09/14/2009

Sanctions Ordered: Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	ANY CAPACITY
Duration:	PERMANENT
Start Date:	09/14/2009
End Date:	



Summary: WITHOUT ADMITTING OR DENYING THE FINDINGS, O'BRIEN CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS BARRED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/24/2005

Docket/Case Number: E8A2004062301

Employing firm when activity occurred which led to the regulatory action: ROBERT W. BAIRD & CO. INCORPORATED

Product Type: No Product

Other Product Type(s):

Allegations: NASD CONDUCT RULES 2110 AND 3030-RESPONDENT ENGAGED IN OUTSIDE BUSINESS ACTIVITIES WITHOUT GIVING PROMPT WRITTEN NOTICE TO HIS FIRM.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/24/2005

Sanctions Ordered: Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT



CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS SUSPENSION FROM ASSOCIATION WITH ANY NASD MEMBER FIRM IN ANY CAPACITY FOR 10 BUSINESS DAYS AND FINED \$2,500. SUSPENSION WILL BEGIN NOVEMBER 21, 2005 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON DECEMBER 2, 2005.

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 10/24/2005

Docket/Case Number: E8A2004062301

Employing firm when activity occurred which led to the regulatory action: ROBERT W. BAIRD & CO. INCORPORATED

Product Type: No Product

Other Product Type(s):

Allegations: NASD CONDUCT RULES 2110 AND 3030, ENGAGED IN OUTSIDE BUSINESS ACTIVITY WITHOUT GIVING PROMPT WRITTEN NOTICE TO THE FIRM.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/24/2005

Sanctions Ordered: Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MR. O'BRIEN CONSENTED TO THE TO THE ENTRY OF FINDINGS DESCRIBED AND SANCTIONS OF A SUSPENSION FROM ASSOCIATION WITH ANY NASD MEMBER FIRM IN ANY CAPACITY FOR 10 BUSINESS DAYS (11/21/05 - 12/02/05)AND A FINE OF \$2,500.00 WHICH IS TO BE PAID BY 11/25/05.

Summary: AT THE REQUEST OF MR. O'BRIEN'S CLIENT'S ATTORNEY AND ACCOUNTANT, HE ASSISTED HER IN ORGANIZING HER FINANCES FOR A



NOMINAL FEE. THIS CLIENT NEVER COMPLAINED REGARDING THE RELATIONSHIP AND MR. O'BRIEN'S FAILURE TO REPORT THE ARRANGEMENT TO HIS EMPLOYER WAS INADVERTENT.



Customer Dispute - Settled

This section provides information regarding a settled customer dispute that was reported to CRD by the individual broker, a member firm, and/or a securities regulator. The event may include a consumer-initiated complaint, investment-related arbitration proceeding or civil suit that contains allegations of sale practice violations against the individual broker and resulted in a monetary settlement to the customer(s).

Disclosure 1 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ROBERT W. BAIRD & CO. INCORPORATED
Allegations:	CLIENT ALLEGES THAT HIS FINANCIAL ADVISOR MADE UNAUTHORIZED WITHDRAWALS FROM HIS ACCOUNT.
Product Type:	No Product
Alleged Damages:	\$285,256.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/17/2008
Complaint Pending?	No
Status:	Settled
Status Date:	06/18/2009
Settlement Amount:	\$336,175.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ROBERT W. BAIRD & CO. INCORPORATED



Allegations: ALLEGED UNSUITABLE INVESTMENTS.

Product Type: Equity - OTC

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 04/30/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/30/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD DISPUTE RESOLUTION CASE NUMBER 04-02976](#)

Date Notice/Process Served: 04/30/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/25/2005

Monetary Compensation Amount: \$32,500.00

Individual Contribution Amount: \$32,500.00

Summary: THE MATTER WAS SETTLED TO AVOID THE FURTHER TIME AND EXPENSE OF AN ARBITRATION.



Customer Dispute - Final

This section provides information regarding a final, customer dispute that was reported to CRD by the individual broker, a member firm, and/or a securities regulator. The event may include a final, consumer-initiated, investment-related arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual broker and did not result in an award for monetary damages in favor of the customer(s), and was closed without action, withdrawn, or denied. It may also include a final, consumer-initiated, investment-related written complaint, which contains either allegations of sales practice violations against the broker and compensatory damages of \$5,000 or more, or includes allegations of forgery, theft, or misappropriation or conversion of funds or securities that was closed without action, withdrawn or denied.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ROBERT W. BAIRD & CO. INCORPORATED

Allegations: ALLEGED FAILURE TO FOLLOW INSTRUCTIONS AND MISREPRESENTATIONS REGARDING SECURITIES TRANSACTIONS.

Product Type: Debt - Corporate

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/22/2005

Complaint Pending? No

Status: Denied

Status Date: 01/13/2006

Settlement Amount:

Individual Contribution Amount:



Employment Separation After Allegations

This section provides information regarding a separation of employment, that was reported to CRD by the individual broker, a member firm, and/or a securities regulator. The event may include a separation of employment that resulted in a voluntary resignation, discharge or permission to resign after allegations were made that accused the broker of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Brokerage Firm Name: ROBERT W. BAIRD & CO. INC

Termination Type: Discharged

Termination Date: 09/12/2008

Allegations: THE FIRM RECEIVED A VERBAL COMPLAINT FROM A CUSTOMER CONCERNING THE DISTRIBUTION OF FUNDS FROM THE CUSTOMER'S ACCOUNT, WHICH REVEALED TO THE FIRM THAT THE REGISTERED REPRESENTATIVE HAD RECEIVED COMPENSATION FROM THE CUSTOMER THAT HE FAILED TO DISCLOSE TO THE FIRM AS AN OUTSIDE BUSINESS ACTIVITY IN ACCORDANCE WITH INDUSTRY RULES AND FURTHER, THAT THE REGISTERED REPRESENTATIVE HAD DIRECTED CUSTOMER FUNDS TO HIMSELF THAT HE USED FOR HIS OWN PERSONAL EXPENSES.

Product Type: No Product

Other Product Types:

Reporting Source: Broker

Brokerage Firm Name: ROBERT J BAIRD & CO

Termination Type: Discharged

Termination Date: 09/12/2008

Allegations: OUTSIDE BUSINESS ACTIVITY

Product Type: No Product

Other Product Types:

Summary: PRIVATE TRANSACTION



About this BrokerCheck Report

BrokerCheck reports are part of a FINRA initiative to disclose information about FINRA-registered firms and individual brokers to help investors determine whether to conduct, or continue to conduct, business with these firms and brokers. The information contained within these reports is collected through the securities industry's registration and licensing process.

Who provides the information in BrokerCheck?

Information made available through BrokerCheck is obtained from CRD as reported through the industry registration and licensing process.

The forms used by brokerage firms, to report information as part of the firms registration and licensing process, Forms BD and BDW, are established by the SEC and adopted by all state securities regulators and SROs. FINRA and the North American Securities Administrators Association (NASAA) establish the Forms U4 and U5, the forms that are used for the registration and licensing process for individual brokers. These forms are approved by the SEC. Regulators report disciplinary information for firms and individual brokers via Form U6.

How current is the information contained in BrokerCheck?

Brokerage firms and brokers are required to keep this information accurate and up-to-date (typically not later than 30 days after learning of an event). BrokerCheck data is updated when a firm, broker, or regulator submits new or revised information to CRD. Generally, updated information is available on BrokerCheck Monday through Friday.

What information is NOT disclosed through BrokerCheck?

Information that has not been reported to CRD or that is not required to be reported through the registration and licensing process is not disclosed through BrokerCheck. Examples of events that are not required to be reported or are no longer reportable include: judgments and liens originally reported as outstanding that have been satisfied and bankruptcy proceedings filed more than 10 years ago. Conversely certain customer complaint information that is not required to be reported may be disclosed provided certain criteria are met.

Additional information not disclosed through BrokerCheck includes Social Security Numbers, residential history information, and physical description information. On a case-by-case basis, FINRA reserves the right to exclude information that contains confidential customer information, offensive and potentially defamatory language or information that raises significant identity theft or privacy concerns that are not outweighed by investor protection concerns. FINRA Rule 8312 describes in detail what information is and is not disclosed through BrokerCheck.

Under FINRA's current public disclosure policy, in certain limited circumstances, most often pursuant to a court order, information is expunged from CRD. Further information about expungement from CRD is available in FINRA notices 99-09, 99-54, 01-65, and 04-16 at www.finra.org.

For further information regarding FINRA's BrokerCheck program, please visit FINRA's Web site at www.finra.org/brokercheck or call the FINRA BrokerCheck Hotline at (800) 289-9999. This hotline is open Monday through Friday from 8:00 a.m. to 8:00 p.m., Eastern Time (ET).

For more information about the following, select the associated link:

- About BrokerCheck Reports: http://www.finra.org/brokercheck_reports
- Glossary: http://www.finra.org/brokercheck_glossary
- Questions Frequently Asked about BrokerCheck Reports: http://www.finra.org/brokercheck_faq
- Terms and Conditions: <http://brokercheck.finra.org/terms.aspx>