BrokerCheck Report

BURCH & COMPANY, INC

CRD# 102280

Section Title	Page(s)
Report Summary	1
Firm Profile	2 - 5
Firm History	6
Firm Operations	7 - 12
Disclosure Events	13

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.

BURCH & COMPANY, INC

CRD# 102280

SEC# 8-52121

Main Office Location

4151 N. MULBERRY DRIVE
SUITE 235
KANSAS CITY, MO 64116
Regulated by FINRA Kansas City Office

Mailing Address

4151 N. MULBERRY DRIVE
SUITE 235
KANSAS CITY, MO 64116

Business Telephone Number

816-842-4660

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Missouri on 06/08/1999.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 51 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 8 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

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

The following types of disclosures have been reported:

Type	Count
Arbitration	1

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Missouri on 06/08/1999.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

BURCH & COMPANY, INC

Doing business as BURCH & COMPANY, INC

CRD# 102280

SEC# 8-52121

Main Office Location

4151 N. MULBERRY DRIVE
SUITE 235
KANSAS CITY, MO 64116

Regulated by FINRA Kansas City Office

Mailing Address

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SUITE 235
KANSAS CITY, MO 64116

Business Telephone Number

816-842-4660

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Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	BURCH, ANTON RANDAL 720817
Is this a domestic or foreign entity or an individual?	Individual
Position	SHAREHOLDER
Position Start Date	06/1999
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BURCH, JENIFER LOU 5796387
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL AND OPERATIONS PRINCIPAL
Position Start Date	05/2017
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	PASTORINO, JESSICA BROOK 5230374
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT, CCO

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Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date	05/2017
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

No information reported.

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	04/05/2000

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	04/05/2000

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/17/2000
Alaska	Approved	10/02/2000
Arizona	Approved	04/24/2000
Arkansas	Approved	07/17/2000
California	Approved	05/09/2000
Colorado	Approved	09/19/2000
Connecticut	Approved	09/26/2000
Delaware	Approved	09/21/2000
District of Columbia	Approved	10/13/2000
Florida	Approved	05/30/2000
Georgia	Approved	10/04/2000
Hawaii	Approved	01/02/2001
Idaho	Approved	09/19/2000
Illinois	Approved	10/30/2000
Indiana	Approved	10/18/2000
Iowa	Approved	04/13/2000
Kansas	Approved	04/14/2000
Kentucky	Approved	09/25/2000
Louisiana	Approved	10/11/2000
Maine	Approved	11/27/2000
Maryland	Approved	10/02/2000
Massachusetts	Approved	09/19/2000
Michigan	Approved	05/10/2001
Minnesota	Approved	05/10/2000
Mississippi	Approved	09/25/2000
Missouri	Approved	03/09/2000
Montana	Approved	10/02/2000
Nebraska	Approved	10/06/2000
Nevada	Approved	06/23/2000
New Hampshire	Approved	10/11/2000
New Jersey	Approved	09/28/2000
New Mexico	Approved	09/29/2000
New York	Approved	11/17/2000
North Carolina	Approved	09/20/2000
North Dakota	Approved	05/25/2000
Ohio	Approved	05/26/2000
Oklahoma	Approved	09/21/2000
Oregon	Approved	10/13/2000
Pennsylvania	Approved	10/16/2000
Rhode Island	Approved	09/19/2000
South Carolina	Approved	09/19/2000
South Dakota	Approved	09/15/2000
Tennessee	Approved	10/10/2000
Texas	Approved	11/07/2000
Utah	Approved	09/15/2000
Vermont	Approved	10/23/2000
Virginia	Approved	09/22/2000
Washington	Approved	09/15/2000
West Virginia	Approved	09/15/2000
Wisconsin	Approved	05/31/2000
Wyoming	Approved	09/27/2000

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Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 8 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Broker or dealer selling oil and gas interests
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - FINANCIAL ADVISORY SERVICES FOR SELL-SIDE AND BUY-SIDE MERGERS AND ACQUISITIONS; INVESTMENT BANKING SERVICES.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does not engage in other non-securities business.

Non-Securities Business Description:

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Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

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Firm Operations

Industry Arrangements

This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

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Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

M&A SECURITIES GROUP, INC. is under common control with the firm.

CRD #:	39999
Business Address:	4151 N. MULBERRY DR., SUITE 252 KANSAS CITY, MO 64116
Effective Date:	05/01/2017
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	SOLELY FOR THE PURPOSE OF THE FORM BD, THE APPLICANT IS AFFILIATED WITH M&A SECURITIES GROUP, INC. THROUGH COMMON CONTROL OF A CONTROL PERSON, JESSICA PASTORINO.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

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Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Arbitration	N/A	1	N/A

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Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final event generally has a disposition of *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 involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Arbitration Award - Award / Judgment

Brokerage firms are not required to report arbitration claims filed against them by customers; however, BrokerCheck provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and registered securities firms in this section of the report.
The full text of arbitration awards issued by FINRA is available at www.finra.org/awardsonline.

Disclosure 1 of 1

Reporting Source: Regulator

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Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-OMISSION OF FACTS; ACCOUNT ACTIVITY-SUITABILITY
Arbitration Forum:	FINRA
Case Initiated:	06/02/2010
Case Number:	10-02477
Disputed Product Type:	OTHER TYPES OF SECURITIES
Sum of All Relief Requested:	$1,993,422.20
Disposition:	AWARD AGAINST PARTY
Disposition Date:	08/25/2011
Sum of All Relief Awarded:	$350,000.01

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

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End of Report

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