BrokerCheck Report

STANTON INVESTMENT SERVICES, INC.

CRD# 29462

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.

Thank you for using FINRA BrokerCheck.

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.

STANTON INVESTMENT SERVICES, INC.

CRD# 29462

SEC# 8-44348

Main Office Location

3405 ANNAPOLIS LANE N
PLYMOUTH, MN 55447

Mailing Address

3405 ANNAPOLIS LANE NORTH
PLYMOUTH, MN 55447

Business Telephone Number

763-278-4706

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 Iowa on 08/05/1991.

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 brokerage firm is no longer registered with FINRA or a national securities exchange.

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
Regulatory Event	1

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.

Date firm ceased business:	11/17/2005
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	No

Firm Profile

This firm is classified as a corporation.

This firm was formed in Iowa on 08/05/1991.

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.

STANTON INVESTMENT SERVICES, INC.

Doing business as STANTON INVESTMENT SERVICES, INC.

CRD# 29462

SEC# 8-44348

Main Office Location

3405 ANNAPOLIS LANE N
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Mailing Address

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Business Telephone Number

763-278-4706

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):	STANTON GROUP HOLDINGS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	03/2002
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):	DYKEMA, WADE ALLEN 4836931
Is this a domestic or foreign entity or an individual?	Individual
Position	CFO
Position Start Date	05/2005
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

Legal Name & CRD# (if any):	FITZPATRICK, THOMAS MICHAEL 1340760
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT
Position Start Date	05/2005

Direct Owners and Executive Officers (continued)

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

Legal Name & CRD# (if any):	NEVIN, ANNE EKMANN 3028687
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT/DIRECTOR
Position Start Date	05/2005
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

Legal Name & CRD# (if any):	PLUIMER, JAY EDWARD 2272144
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO/CCO/DIRECTOR
Position Start Date	05/2005
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

Legal Name & CRD# (if any):	SINGSANK, THOMAS RAY

Direct Owners and Executive Officers (continued)

	4594200
Is this a domestic or foreign entity or an individual?	Individual
Position	SECRETARY
Position Start Date	08/2004
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

Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	POHLAD, JAMES OROURKE
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	STANTON GROUP HOLDINGS, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/1995
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	POHLAD, ROBERT CARL
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	STANTON GROUP HOLDINGS, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/1995
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	POHLAD, WILLIAM MICHAEL
Is this a domestic or foreign entity or an individual?	Individual

Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established	STANTON GROUP HOLDINGS, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/1995
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

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

No information reported.

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 no longer registered.

The firm's registration was from 04/27/1992 to 01/17/2006.

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 5 types of businesses.

Types of Business

Mutual fund retailer
Broker or dealer selling variable life insurance or annuities
Investment advisory services
Broker or dealer involved in a networking, kiosk or similar arrangment with a: bank, savings bank or association, or credit union
Broker or dealer involved in a networking, kiosk or similar arrangment with a: insurance company or agency

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.

Firm Operations

Industry Arrangements

This firm does have books or records maintained by a third party.

Name:	STANTON GROUP, INC.
Business Address:	3405 ANNAPOLIS LANE NORTH PLYMOUTH, MN 55447
Effective Date:	03/15/2002
Description:	STANTON GROUP MAINTAINS INDIVIDUAL ACCOUNT RECORDS FOR 401(K) PARTICIPANTS.

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.

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.

MARQUETTE INVESTMENT SERVICES, INC. is under common control with the firm.

CRD #:	12667
Business Address:	3900 DAIN RAUSCHER PLAZA 60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402
Effective Date:	03/01/2004
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	POHLAD FAMILY MEMBERS WHO ARE INDIRECT OWNERS OF STANTON INVESTMENT SERVICES, INC. ARE ALSO MAJORITY SHAREHOLDERS OF THE HOLDING COMPANY THAT OWNS 100% OF MARQUETTE INVESTMENT SERVICES, INC.

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**

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
Regulatory Event	0	1	0

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.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Current Status:	Final

Allegations:	TRANSACTING BUSINESS IN MINNESOTA AS A BROKER-DEALER WITHOUT BEING LICENSED IN VIOLATION OF MINN. STAT. CH. 80A.04 (1992).
Initiated By:	MINN. DEPT. OF COMMERCE
Date Initiated:	04/05/1993
Docket/Case Number:	SE9300816/AMS
URL for Regulatory Action:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Consent
Resolution Date:	06/02/1993
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	WHILE NEITHER ADMITTING OR DENYING ALLEGATIONS, RESPONDENT AGREES TO CEASE AND DESIST FROM OFFERING OR SELLING ANY SECURITIES IN MINNESOTA UNTIL COMPLIANCE WITH MINN. STAT. CH. 80A HAS BEEN ACHIEVED. RESPONDENT ALSO PAID A CIVIL PENALTY OF $1,000 AND INVESTIGATIVE COSTS OF $250, AND WAS ORDERED TO OFFER RESCISSION TO THOSE CLIENTS FOR WHOM TRANSACTIONS WERE EXECUTED PRIOR TO LICENSURE.
Regulator Statement	Not Provided

Reporting Source:	Firm
Current Status:	Final
Appealed To and Date Appeal Filed:	THERE HAVE BEEN NO FINDINGS OF FACT NOR COCLUSIN OF LAW AS TO ANY VIOLATION. THE PREVIOUS SCHEDULED CEASE AND DESIST ORDER HAS BEEN DISMISSED.
Allegations:	THE STATE OF MINNESOTA ENTERED A CEASE AND DESIST ORDER SALES MADE BY AN UN-REGISTERED BROKER / DEALER.

Initiated By:	STATE OF MINNESOTA
Date Initiated:	01/01/1993
Docket/Case Number:	SE9300816/AMS
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	
Resolution:	Dismissed
Resolution Date:	01/01/1993
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	IN 1993, THE FIRM FAILED TO PROPERLY NOTIFY THE STATE OF MINNESOTA AS A BROKER / DEALER DOING BUSINESS IN THIER STATE. THE STATE ISSUED A CEASE AND DESIST ORDER TO THE FIRM UNTIL THEY REGISTERED WITH THEM. ONCE REGISTERED, LATER THAT YEAR, THE ORDER WAS DISMISSED.

End of Report

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