BrokerCheck Report

CONTINENTAL INVESTORS SERVICES, INC.

CRD# 29775

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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:
    - 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.

CONTINENTAL INVESTORS SERVICES, INC.

CRD# 29775

SEC# 8-44523

Main Office Location

1330 BROADWAY STREET
LONGVIEW, WA 98632-7552
Regulated by FINRA Denver Office

Mailing Address

P.O. BOX 888
LONGVIEW, WA 98632-7552

Business Telephone Number

360-423-5110

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

https://www.adviserinfo.sec.gov

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 Washington on 12/16/1991.

Its fiscal year ends in June.

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
- 43 U.S. states and territories

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

This firm conducts 9 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm has 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
Regulatory Event	3

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Washington on 12/16/1991.

Its fiscal year ends in June.

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.

CONTINENTAL INVESTORS SERVICES, INC.

Doing business as CONTINENTAL INVESTORS SERVICES, INC.

CRD# 29775

SEC# 8-44523

Main Office Location

1330 BROADWAY STREET
LONGVIEW, WA 98632-7552

Regulated by FINRA Denver Office

Mailing Address

P.O. BOX 888
LONGVIEW, WA 98632-7552

Business Telephone Number

360-423-5110

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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):	KAMP, MAX BRYAN 838249
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT, CEO/DIRECTOR,CCO
Position Start Date	06/2013
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TREMBLEY, BETTY JANE 736205
Is this a domestic or foreign entity or an individual?	Individual
Position	SHAREHOLDER
Position Start Date	12/1993
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ELO, MICHELLE FRANCIS 2651623
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF FINANCIAL OFFICER

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Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date	01/2023
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 43 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	02/04/1992

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	04/21/1992

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	03/10/1997
Alaska	Approved	08/27/1992
Arizona	Approved	10/01/1992
Arkansas	Approved	09/19/2024
California	Approved	07/14/1992
Colorado	Approved	06/08/1992
District of Columbia	Approved	05/10/2012
Florida	Approved	09/18/1992
Georgia	Approved	06/01/1992
Hawaii	Approved	09/11/1992
Idaho	Approved	05/01/1992
Illinois	Approved	08/10/1992
Indiana	Approved	11/26/2019
Kentucky	Approved	04/13/2026
Louisiana	Approved	03/25/2008
Maine	Approved	06/27/2023
Maryland	Approved	04/15/2002
Michigan	Approved	02/25/1999
Minnesota	Approved	05/12/1993
Mississippi	Approved	11/01/2010
Missouri	Approved	03/22/2001
Montana	Approved	07/20/1992
Nebraska	Approved	02/09/2001
Nevada	Approved	06/24/1992
New Jersey	Approved	08/25/2004
New Mexico	Approved	10/17/2000
New York	Approved	08/19/2004
North Carolina	Approved	02/09/1999
North Dakota	Approved	01/10/2011
Ohio	Approved	05/21/1993
Oklahoma	Approved	03/25/2020
Oregon	Approved	05/14/1992
Pennsylvania	Approved	08/31/2016

U.S. States & Territories	Status	Date Effective
South Carolina	Approved	07/14/1992
South Dakota	Approved	10/10/2006
Tennessee	Approved	03/26/2024
Texas	Approved	03/16/1993
Utah	Approved	05/11/1992
Virgin Islands	Approved	10/19/2009
Virginia	Approved	03/18/2011
Washington	Approved	04/22/1992
Wisconsin	Approved	02/11/2011
Wyoming	Approved	06/26/1992

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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 9 types of businesses.

Types of Business

Broker or dealer making inter-dealer markets in corporation securities over-the-counter
Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Investment advisory services
Broker or dealer selling interests in mortgages or other receivables

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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 refer or introduce customers to other brokers and dealers.

Name:	RBC CAPITAL MARKETS, LLC
CRD #:	31194
Business Address:	3 WORLD FINANCIAL CENTER 200 VESEY STREET NEW YORK, NY 10281
Effective Date:	11/19/2021
Description:	RBC CAPITAL MARKETS LLC PROVIDES FULLY DISCLOSED CLEARING SERVICES FOR THE FIRM.

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Firm Operations

Industry Arrangements

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

Name: RBC CAPITAL MARKETS, LLC

CRD #: 31194

Business Address: 3 WORLD FINANCIAL CENTER
200 VESEY STREET
NEW YORK, NY 10281

Effective Date: 11/19/2021

Description: RBC CAPITAL MARKETS LLC PROVIDES CLEARING SERVICES TO THE FIRM ON A FULLY DISCLOSED BASIS.

This firm does have accounts, funds, or securities maintained by a third party.

Name: RBC CAPITAL MARKETS, LLC

CRD #: 31194

Business Address: 3 WORLD FINANCIAL CENTER
200 VESEY STREET
NEW YORK, NY 10281

Effective Date: 11/19/2021

Description: RBC CAPITAL MARKETS LLC PROVIDES CLEARING SERVICES TO THE FIRM ON A FULLY DISCLOSED BASIS

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: RBC CAPITAL MARKETS, LLC

CRD #: 31194

Business Address: 3 WORLD FINANCIAL CENTER
200 VESEY STREET
NEW YORK, NY 94044

Effective Date: 11/19/2021

Description: RBC CAPITAL MARKETS LLC PROVIDES CLEARING SERVICES TO THE FIRM ON A FULLY DISCLOSED BASIS.

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 not, 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.

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
Regulatory Event	0	3	0

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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.**

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 3

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	MSRB RULES G-17, G-27, G-30(A) - CONTINENTAL INVESTORS SERVICES, INC. SOLD MUNICIPAL SECURITIES FOR ITS OWN ACCOUNT TO A CUSTOMER AT AN AGGREGATE PRICE (INCLUDING ANY MARKDOWN OR MARKUP) THAT WAS NOT FAIR AND REASONABLE, TAKING INTO CONSIDERATION ALL RELEVANT FACTORS, INCLUDING THE BEST JUDGMENT OF THE BROKER, DEALER OR MUNICIPAL SECURITIES DEALER AS TO THE FAIR MARKET VALUE OF THE SECURITIES AT THE TIME OF THE TRANSACTION AND OF ANY SECURITIES EXCHANGED OR TRADED IN CONNECTION WITH THE TRANSACTION, THE EXPENSE INVOLVED IN EFFECTING THE TRANSACTION, THE FACT THAT THE BROKER, DEALER OR MUNICIPAL SECURITIES DEALER IS ENTITLED TO A PROFIT AND THE TOTAL DOLLAR AMOUNT OF THE TRANSACTION. THE FIRM'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS, REGULATIONS AND MSRB RULES CONCERNING FAIR PRICING FOR MUNICIPAL SECURITIES TRANSACTIONS.
Initiated By:	FINRA
Date Initiated:	08/14/2011
Docket/Case Number:	2009018104501
Principal Product Type:	Debt - Municipal
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/14/2011
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine $35,000.00
Other Sanctions Ordered:	UNDERTAKING
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS;

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THEREFORE, THE FIRM IS CENSURED, FINED $35,000 AND REQUIRED TO REVISE ITS WRITTEN SUPERVISORY PROCEDURES REGARDING FAIR PRICING FOR MUNICIPAL SECURITIES TRANSACTIONS WITHIN 30 BUSINESS DAYS OF ACCEPTANCE OF THIS AWC BY THE NAC FOR VIOLATION OF MSRB RULES G-17, G-27, AND G-30(A).

Reporting Source:	Firm
Current Status:	Final
Allegations:	VIOLATION OF MSRB RULE G-17,G-30(A)AND G-27.FIRM SOLD MUNICIPAL SECURITIES FOR ITS OWN ACCOUNT TO A CUSTOMER AT AN AGGREGATE PRICE (INCLUDING ANY MARKDOWN OR MARKUP) THAT WAS NOT FAIR AND REASONABLE. TAKING INTO CONSIDERATION ALL RELEVANT FACTORS, INCLUDING THE BEST JUDGMENT OF THE FIRM AS TO THE FAIR MARKET VALUE OF THE SECURITIES AT THE TIME OF THE TRANSACTION AND OF ANY SECURITIES EXCHANGED OR TRADED IN CONNECTION WITH THE TRANSACTION, THE EXPENSE INVOLVED IN EFFECTING THE TRANSACTION, THE FACT THAT THE FIRM IS ENTITLED TO A PROFIT AND THE TOTAL DOLLAR AMOUNT OF THE TRANSACTION. THE FIRM'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLE DESIGNED TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITES LAWS, REGULATIONS AND MSRB RULES CONCERNING FAIR PRICING FOR MUNCIPAL SECURITIES TRANSACTIONS.
Initiated By:	FINRA MARKET REGULATION
Date Initiated:	08/14/2011
Docket/Case Number:	2009018104501
Principal Product Type:	Debt - Municipal
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/14/2011
Sanctions Ordered:	Censure Monetary/Fine $35,000.00
Other Sanctions Ordered:	UNDERTAKING

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Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED, FINED $35,000 AND REQUIRED TO REVISE ITS WRITTEN SUPERVISORY PROCEDURES REGARDING FAIR PRICING FOR MUNICIPAL SECURITIES TRANSACTIONS WITHIN 30 BUSINESS DAYS OF ACCEPTANCE OF THIS AWC BY THE NAC FOR VIOLATION OF MSRB RULES G-17,G-27 AND G-30(A).
Firm Statement	RESTITUTION AND INTEREST WAS PAID ON 4-21-2011 TO NINE CUSTOMERS WHO WERE INCORRECTLY CHARGED. FINE OF $35,000 WAS PAID ON 8-23-2011.

Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	NASD CONDUCT RULE 2110 AND NASD MARKETPLACE RULE 6230(A) - RESPONDENT MEMBER FAILED TO REPORT TO TRADE REPORTING AND COMPLIANCE ENGINE ("TRACE") TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES WITHIN 75 MINUTES AFTER EXECUTION.
Initiated By:	NASD
Date Initiated:	12/23/2003
Docket/Case Number:	CMS030299
Principal Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/23/2003
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Monetary/Fine $5,000.00

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Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, FIRM IS FINED $5,000.

Reporting Source:	Firm
Current Status:	Final
Allegations:	CIS WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OR FINDINGS FAILED TO REPORT TRACE ELIGIBLE SECURITIES WITHIN 75 MINUTES AFTER EXECUTION.
Initiated By:	NASD
Date Initiated:	11/20/2003
Docket/Case Number:	MRD200238481
Principal Product Type:	Debt - Corporate
Other Product Type(s):	MUNCIPAL BONDS, MUTUAL FUNDS AND EQUITIES
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	LETTER OF ACCEPTANCE,WAIVER AND CONSENT ISSUED BY DEPARTMENT OF MARKET REGULATION AND A $5,000.00 FINE.
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/23/2003
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	FINE IN THE AMOUNT OF $5,000 TO BE PAID BY CREDIT CARD FOR THE FULL AMOUNT.
Firm Statement	FIRM DID REPORT TRACE ELIGIBLE SECURITIES TRADES, HOWEVER, DURING THE PERIOD OF AUGUST 1, 2002 THROUGH SEPTEMBER 30, 2002 734 TRANSACTIONS WERE REPORTED AFTER THE 75 MINUTE REPORTING REQUIREMENT.

Disclosure 3 of 3

Reporting Source:	Firm

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Current Status:	Final
Allegations:	THE FIRM EXECUTING A TRADE IN THE ACCOUNT OF NEW MEXICO RESIDENT, DAVID LUND, PRIOR TO BEING LICENSE IN NEW MEXICO.
Initiated By:	STATE OF NEW MEXICO
Date Initiated:	09/13/2000
Docket/Case Number:	2000-2000-998 (UN)
Principal Product Type:	Debt - Municipal
Other Product Type(s):	DEBT-CORPORATE, MUTUAL FUNDS, EQUITIES
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Other
Resolution Date:	10/17/2000
Sanctions Ordered:	Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM PAID A $500.00 CIVIL PENALTY ON 10/03/2000. NONE OF THE PENALTY WAS WAIVED. THE FIRM SIGNED A "UNDERTAKING" WITH THE STATE OF NEW MEXICO AND COMPLETED A RESCISSION OFFER FOR DAVID LUND.
Firm Statement	UNDERTAKING SIGNED AND APPROVED ON 10-17-2000. CHECK NO. 9744 IN THE AMOUNT OF $500.00 DATED 10-03-2000. PROOF OF RESCISSION OFFER, DATED 10-3-2000.

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End of Report

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