BrokerCheck Report

CASCADE INVESTMENT GROUP, INC.

CRD# 35844

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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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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.

CASCADE INVESTMENT GROUP, INC.

CRD# 35844

SEC# 8-46943

Main Office Location

444 E. PIKES PEAK AVENUE
SUITE 200
COLORADO SPRINGS, CO 80903
Regulated by FINRA Denver Office

Mailing Address

444 E. PIKES PEAK AVENUE
SUITE 200
COLORADO SPRINGS, CO 80903

Business Telephone Number

719-632-0818

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 Colorado on 09/16/1993.

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
- 32 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 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	2

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Colorado on 09/16/1993.

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.

CASCADE INVESTMENT GROUP, INC.

Doing business as CASCADE INVESTMENT GROUP, INC.

CRD# 35844

SEC# 8-46943

Main Office Location

444 E. PIKES PEAK AVENUE
SUITE 200
COLORADO SPRINGS, CO 80903

Regulated by FINRA Denver Office

Mailing Address

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SUITE 200
COLORADO SPRINGS, CO 80903

Business Telephone Number

719-632-0818

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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):	THE EASTERN COLORADO BANK
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	03/2020
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):	WRUBEL, ROBERT GOLD 4487197
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT/MANAGING DIRECTOR
Position Start Date	01/2021
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	RETHI, SCOTT ALEXANDER 6524212
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	05/2025

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Firm Profile

Direct Owners and Executive Officers (continued)

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

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Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	WEED INVESTMENT GROUP INC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	THE EASTERN COLORADO BANK
Relationship to Direct Owner	OWNER
Relationship Established	04/2003
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):	WEED, GREGORY JUSTIN
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	WEED INSTMENT GROUP, INC.
Relationship to Direct Owner	MAJORITY TRUSTEE
Relationship Established	06/2016
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

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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 32 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/24/1994

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	03/24/1994

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/14/2025
Alaska	Approved	11/18/2014
Arizona	Approved	05/02/1995
California	Approved	06/02/1994
Colorado	Approved	03/29/1994
District of Columbia	Approved	08/16/2007
Florida	Approved	07/01/1996
Idaho	Approved	04/11/1996
Illinois	Approved	05/07/1996
Indiana	Approved	06/11/1996
Iowa	Approved	04/03/1996
Kansas	Approved	10/06/2017
Massachusetts	Approved	09/26/2017
Minnesota	Approved	08/13/1998
Missouri	Approved	03/12/2015
Nebraska	Approved	07/18/1996
New Hampshire	Approved	08/30/2011
New Jersey	Approved	05/20/1998
New Mexico	Approved	07/08/1996
New York	Approved	01/29/2023
North Carolina	Approved	04/10/1996
Ohio	Approved	08/02/1994
Pennsylvania	Approved	08/03/2026
South Carolina	Approved	09/07/2023
South Dakota	Approved	01/13/2025
Tennessee	Approved	03/10/2022
Texas	Approved	07/11/1996
Virginia	Approved	06/24/1996
Washington	Approved	04/15/1996
West Virginia	Approved	07/14/2010
Wisconsin	Approved	05/13/2024
Wyoming	Approved	04/22/1996

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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
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Investment advisory services

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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:	510 MARQUETTE AVE. MINNEAPOLIS, MN 55402-1106
Effective Date:	12/13/1993
Description:	RBC CAPITAL MARKETS, LLC SERVES AS THE CLEARING FIRM FOR CASCADE INVESTMENT GROUP, INC. IT IS THE CUSTODIAN FOR ALL ACCOUNTS AND RECEIVES ALL SECURITIES AND FUNDS ON BEHALF OF CASCADE'S CUSTOMERS SINCE CASCADE IS AN INTRODUCING LEVEL BD. CASCADE WILL OPERATE PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES.

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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: 510 MARQUETTE AVE
RBC OPERATIONS, ATTN: M12-RBC CS PROCESSING
MINNEAPOLIS, MN 55402-1106

Effective Date: 12/13/1993

Description: THE APPLICANT WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH RBC CAPITAL MARKETS, LLC.

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

Name: RBC CAPITAL MARKETS, LLC

CRD #: 31194

Business Address: 510 MARQUETTE AVE.
RBC OPERATIONS, ATTN: M12-RBC CS PROCESSING
MINNEAPOLIS, MN 55402-1106

Effective Date: 12/13/1993

Description: THE APPLICANT WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH RBC CAPITAL MARKETS, LLC.

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

Name: RBC CAPITAL MARKETS, LLC

CRD #: 31194

Business Address: 510 MARQUETTE AVE.
RBC OPERATIONS, ATTN: M12-RBC CS PROCESSING
MINNEAPOLIS, MN 55402-1106

Effective Date: 12/13/1993

Description: THE APPLICANT WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH RBC CAPITAL MARKETS, LLC.

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 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**

THE EASTERN COLORADO BANK is a State Non Member Bank and controls the firm.

Business Address:	10 SOUTH FIRST STREET CHEYENNE WELLS, CO 80810
Effective Date:	03/05/2020
Description:	THE EASTERN COLORADO BANK PROVIDES 66.67% OWNERSHIP AND 2 MEMBERS TO THE CASCADE 5 PERSON BOARD OF DIRECTORS. IT WILL NOT PERFORM FINANCIAL, OPERATIONAL, MANAGERIAL, OR SUPERVISORY DUTIES.

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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	2	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 2

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED PURSUANT TO SECTION 15(B) OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AND SECTIONS 203(E) AND 203(K) OF THE INVESTMENT ADVISERS ACT OF 1940 ("ADVISERS ACT") AGAINST CASCADE INVESTMENT GROUP, INC. ("CASCADE" OR "RESPONDENT"). THE COMMISSION FINDS THAT THESE PROCEEDINGS ARISE OUT OF BREACHES OF FIDUCIARY DUTY BY CASCADE, A DUALLY REGISTERED INVESTMENT ADVISER AND BROKER-DEALER, IN CONNECTION WITH ITS MUTUAL FUND SHARE CLASS SELECTION PRACTICES. FROM OCTOBER 2014 THROUGH SEPTEMBER 2019 (THE "RELEVANT PERIOD"), CASCADE PURCHASED, RECOMMENDED, OR HELD FOR ADVISORY CLIENTS MUTUAL FUND SHARE CLASSES THAT CHARGED 12B-1 FEES PURSUANT TO RULE 12B-1 UNDER THE INVESTMENT COMPANY ACT OF 1940 ("12B-1 FEES") INSTEAD OF LOWER-COST SHARE CLASSES OF THE SAME FUNDS THAT WERE AVAILABLE TO THE CLIENTS. CASCADE AND ITS INVESTMENT ADVISER REPRESENTATIVES ("IARS"), IN THEIR CAPACITY AS REGISTERED REPRESENTATIVES OF CASCADE, RECEIVED 12B-1 FEES IN CONNECTION WITH THESE INVESTMENTS, BUT CASCADE DID NOT ADEQUATELY DISCLOSE THIS CONFLICT OF INTEREST IN ITS FORMS ADV OR OTHERWISE. FURTHER, BY CAUSING CERTAIN ADVISORY CLIENTS TO INVEST IN MUTUAL FUND SHARE CLASSES THAT CHARGED 12B-1 FEES WHEN OTHER SHARE CLASSES OF THE SAME FUNDS THAT PRESENTED A MORE FAVORABLE VALUE FOR THESE CLIENTS UNDER THE PARTICULAR CIRCUMSTANCES IN PLACE AT THE TIME OF THE TRANSACTIONS WERE AVAILABLE TO THE CLIENTS, CASCADE BREACHED ITS DUTY TO SEEK BEST EXECUTION FOR THOSE TRANSACTIONS. CASCADE ALSO FAILED TO ADOPT AND IMPLEMENT WRITTEN COMPLIANCE POLICIES AND PROCEDURES REASONABLY DESIGNED TO PREVENT VIOLATIONS OF THE ADVISERS ACT AND THE RULES THEREUNDER IN CONNECTION WITH ITS MUTUAL FUND SHARE CLASS SELECTION PRACTICES. CASCADE, ALTHOUGH ELIGIBLE TO DO SO, DID NOT SELF-REPORT TO THE COMMISSION PURSUANT TO THE DIVISION OF ENFORCEMENT'S SHARE CLASS SELECTION DISCLOSURE INITIATIVE ("SCSD INITIATIVE").
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	07/14/2021
Docket/Case Number:	3-20396

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Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	07/14/2021
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Sanctions Ordered:	Censure Monetary/Fine $125,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	UNDERTAKINGS
Sanction Details:	RESPONDENT SHALL CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 206(2) AND 206(4) OF THE ADVISERS ACT AND RULE 206(4)-7 THEREUNDER; IS CENSURED; SHALL PAY A CIVIL MONEY PENALTY OF $125,000 TO THE COMMISSION; AND SHALL COMPLY WITH THE UNDERTAKINGS ENUMERATED IN THE ORDER.
Regulator Statement	RESPONDENT HAS SUBMITTED AN OFFER OF SETTLEMENT, WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. RESPONDENT WILLFULLY VIOLATED SECTIONS 206(2) AND 206(4) OF THE ADVISERS ACT AND RULE 206(4)-7 THEREUNDER. ACCORDINGLY, IT IS HEREBY ORDERED THAT THE RESPONDENT CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 206(2) AND 206(4) OF THE ADVISERS ACT AND RULE 206(4)-7 THEREUNDER; IS CENSURED; SHALL PAY A CIVIL MONEY PENALTY OF $125,000 TO THE COMMISSION; AND SHALL COMPLY WITH THE UNDERTAKINGS ENUMERATED IN THE ORDER.

Reporting Source:	Firm
Current Status:	Final

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Allegations:	BREACH OF FIDUCIARY DUTY AND DUTY TO SEEK BEST EXECUTION IN CONNECTION WITH SHARE CLASS SELECTION PRACTICES. CASCADE RECOMMENDED POSITIONS CHARGING 12B-1 FEES INSTEAD OF THE LOWER COST SHARE CLASSES OF THE SAME FUNDS THAT WERE AVAILABLE TO CLIENTS. THE FIRM AND ITS REPRESENTATIVES RECEIVED THESE 12B-1 FEES AND FAILED TO DISCLOSE THE CONFLICT THIS CREATED TO FIRM CLIENTS.
Initiated By:	UNITED STATES SECURITIES & EXCHANGE COMMISSION
Date Initiated:	07/14/2021
Docket/Case Number:	3-20396
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	CENSURE
Resolution:	Order
Resolution Date:	07/14/2021
Sanctions Ordered:	Monetary/Fine $125,000.00
Other Sanctions Ordered:	
Sanction Details:	FINE OF $125,000 WAS PAID ON 07/16/2021.
Firm Statement	THE FINE WAS PAID WITHIN 10 DAYS OF THE ISSUE DATE OF THE SANCTION. CASCADE NO LONGER RECOMMENDS PURCHASES OF POSITIONS CHARGING 12B-1 FEES IN CLIENT ADVISORY ACCOUNTS. ANY REMAINING POSITIONS CHARGING 12B-1 FEES WILL HAVE THOSE FEES REBATED BACK TO THE CLIENT ACCOUNTS.

Disclosure 2 of 2

Reporting Source:	Regulator
Current Status:	Final
Allegations:	
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	07/21/1997
Docket/Case Number:	C3A970049

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Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/21/1997

Sanctions Ordered: Censure
Monetary/Fine $2,500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ON JULY 21, 1997, DISTRICT NO. 3 NOTIFIED RESPONDENTS BJR & ASSOCIATES, INC. AND MYRON T. BAGLEY THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C3A970049 WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED $2,500, JOINTLY AND SEVERALLY - (NASD RULE 2110 - RESPONDENT MEMBER, ACTING THROUGH
RESPONDENT BAGLEY, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS MINIMUM REQUIRED NET CAPITAL).

$2,500.00 PAID J&S ON 8/15/97, INVOICE #97-3A-651

Reporting Source: Firm

Current Status: Final

Allegations: CASCADE INVESTMENT GROUP, INC. (FORMERLY BJR & ASSOCIATES, INC.) VIOLATED THE NET CAPITAL REQUIREMENT.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS (NASD)

Date Initiated: 10/01/1996

Docket/Case Number: C3A970049

Principal Product Type: Other

Other Product Type(s): NET CAP VIOLATION

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

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Other Sanction(s)/Relief Sought:	
Resolution:	Settled
Resolution Date:	08/13/1997
Sanctions Ordered:	Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	CASCADE INVESTMENT GROUP, INC. FORMERLY BJR & ASSOCIATES, INC. WAS FINED $2,500.00.
Firm Statement	DURING THE MONTH OF SEPTEMBER 1996. BJR & ASSOCIATES INCURRED NON-RECURRING EXPENSES ASSOCIATED WITH THE EXPANSION OF BOTH OUR DENVER OFFICE AND COLORADO SPRINGS OFFICE THAT RESULTED IN A NEGATIVE NET CAPITAL POSITION AT THE END OF SEPTEMBER. ON OCTOBER 4, 1996, KEIRA RAWLINGS, THE COMPANY'S FINANCIAL PRINCIPAL, NOTIFIED THE SEC AND NASD OF THIS CONDITION. SHORTLY THEREAFTER, A CAPITAL INFUSION WAS MADE TO BRING THE COMPANY UP TO QUALIFY AS A $50,000 BD AND WE HAVE CONTINUED TO IMPROVE SINCE.

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End of Report

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