BrokerCheck Report

KILEY PARTNERS, INC.

CRD# 37814

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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.
-

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.

KILEY PARTNERS, INC.

CRD# 37814

SEC# 8-48050

Main Office Location

16 BEL GIORNO COURT
HENDERSON, NV 89011
Regulated by FINRA Los Angeles Office

Mailing Address

35 E HORIZON RIDGE PKWY
STE 110, BOX 3039
HENDERSON, NV 89002

Business Telephone Number

561-758-3039

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 Illinois on 12/09/1994.

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
- 4 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	4

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Illinois on 12/09/1994.

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.

KILEY PARTNERS, INC.

Doing business as KILEY PARTNERS, INC.

CRD# 37814

SEC# 8-48050

Main Office Location

16 BEL GIORNO COURT
HENDERSON, NV 89011

Regulated by FINRA Los Angeles Office

Mailing Address

35 E HORIZON RIDGE PKWY
STE 110, BOX 3039
HENDERSON, NV 89002

Business Telephone Number

561-758-3039

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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):	KILEY, MICHAEL DOUGLAS 1550462
Is this a domestic or foreign entity or an individual?	Individual
Position	C.E.O., FINOP, CCO, COO
Position Start Date	05/1995
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

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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 4 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/19/1995

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	05/19/1995

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Florida	Approved	05/19/1995
Nevada	Approved	01/11/2012
New York	Approved	06/09/2023
Tennessee	Approved	03/05/1998

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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 retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Trading securities for own account
Private placements of securities
Other - ENGAGE IN THE SOLICITATION AND/OR REFERRAL OF INSTITUTIONAL CLIENTS TO OUTSIDE MONEY MANAGERS

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 refer or introduce customers to other brokers and dealers.

Name:	HILLTOP SECURITIES INC.
CRD #:	6220
Business Address:	1201 ELM ST. SUITE 3500 DALLAS, TX 75270-2180
Effective Date:	09/23/2010
Description:	KILEY PARTNERS, INC. OPERATES UNDER A FULLY-DISCLOSED AGREEMENT WITH HILLTOP SECURITIES INC. 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: HILLTOP SECURITIES INC.

CRD #: 6220

Business Address: 1201 ELM ST.
SUITE 3500
DALLAS, TX 75270-2180

Effective Date: 01/20/2016

Description: KILEY PARTNERS, INC. OPERATES UNDER A FULLY-DISCLOSED AGREEMENT WITH HILLTOP SECURITIES INC. PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES.

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

Name: HILLTOP SECURITIES INC.

CRD #: 6220

Business Address: 1201 ELM ST.
SUITE 3500
DALLAS, TX 75270-21/0

Effective Date: 01/20/2016

Description: KILEY PARTNERS, INC. OPERATES UNDER A FULLY-DISCLOSED AGREEMENT WITH HILLTOP SECURITIES INC. PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES.

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

Name: HILLTOP SECURITIES INC.

CRD #: 6220

Business Address: 1201 ELM ST.
SUITE 3500
DALLAS, TX 75270-2180

Effective Date: 01/20/2016

Description: KILEY PARTNERS, INC. OPERATES UNDER A FULLY-DISCLOSED AGREEMENT WITH HILLTOP SECURITIES INC. 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 (continued)

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	4	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 4

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	N/A
Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Date Initiated:	05/13/2014
Docket/Case Number:	0758-S-01/14
URL for Regulatory Action:	
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	05/13/2014
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 $7,500.00 Cease and Desist/Injunction
Other Sanctions Ordered:	N/A
Sanction Details:	5/13/2014 - $7,500 ADMINISTRATIVE FINE PAID IN FULL.
Regulator Statement	ON MAY 13, 2014, THE OFFICE OF REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF KILEY PARTNERS, INC. KILEY PARTNERS, INC. ADMITS, ACCEPTS, AND CONSENTS TO THE FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT KILEY PARTNERS, INC., FAILED TO: INSPECT BRANCH OFFICES AS REQUIRED, ENFORCE WRITTEN PROCEDURES, AND MAINTAIN THE FIRM'S WEBSITE. KILEY PARTNERS, INC. KILEY PARTNERS, INC., AGREED TO PAY AN ADMINISTRATIVE FINE OF $7,500.

Reporting Source:	Firm
Current Status:	Final
Allegations:	THE OFFICE OF FINANCIAL REGULATION DETERMINED THAT THE FIRM

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	FAILED TO INSPECT ITS OSJ AND NON REGISTERED BRANCH LOCATIONS AND FAILING TO PREPARE A REPORT OF THE FINDINGS AS REQUIRED BY FINRA RULES. THE OFFICE OF FINANCIAL REGULATION ALSO DETERMINED THAT THE FIRM DID NOT PROVIDE A HYPERLINK TO FINRA'S WEBSITE ON THE FIRM'S WEBSITE. THE STATE ALSO FOUND THAT THE FIRM FAILED TO ENFORCE ITS WRITTEN SUPERVISORY PROCEDURES AS A RESULT OF THE ABOVE.
Initiated By:	STATE OF FLORIDA, OFFICE OF FINANCIAL REGULATION
Date Initiated:	05/13/2014
Docket/Case Number:	0758-S-01/14
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	05/13/2014
Sanctions Ordered:	Monetary/Fine $7,500.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	ENTIRE $7,500 FINE WAS PAID BY KILEY PARTNERS, INC. THE FINE WAS PAID ON MAY 2, 2014.
Firm Statement	THE STATE OF FLORIDA FINED US FOR NOT HAVING A LINK TO FINRA ON OUR WEBSITE DESPITE THE FACT THAT FINRA HAD PREVIOUSLY APPROVED OUR WEBSITE. THE LEGAL EXPENSES OF CONTESTING THIS WOULD HAVE BEEN MUCH HIGHER SO WE CHOSE TO PAY THE FINE. THE STATE OF FLORIDA FINED US FOR NOT HAVING A LINK TO FINRA-A REGULATOR- ON OUR WEBSITE, AND FOR NOT DOING AN ONISIGHT INSPECTION OF THE PERSONAL RESIDENCE OFFICE OF ONE OF OUR EMPLOYEES. WE HAVE CORRECTED THESE ISSUES AND UPDATED OUR SUPERVISORY PROCEDURES.

Disclosure 2 of 4

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	FINRA RULES 2010, 6730, MSRB RULE G-14: THE FIRM REPORTED 63 OUT OF 282 MUNICIPAL SECURITIES TRANSACTIONS (22%) LATE TO THE MSRB. IN ADDITION, THE FIRM REPORTED 14 MUNICIPAL TRANSACTIONS ERRONEOUSLY TO THE MSRB. THE ERRONEOUSLY REPORTED TRADES CONSIST OF, AMONG OTHER THINGS, PURCHASES REPORTED AS SALES, SALES REPORTED AS PURCHASES, INCORRECT TRADE VOLUME REPORTED AND CORRECTED TRADES AFTER CANCELLATIONS NOT REPORTED TO THE MSRB. IN ADDITION, THE FIRM REPORTED 32 OUT OF 146 CORPORATE BOND TRANSACTIONS (22%) LATE TO THE TRADE REPORTING AND COMPLIANCE ENGINE (TRACE).
Initiated By:	FINRA
Date Initiated:	05/19/2011
Docket/Case Number:	2010021125601
Principal Product Type:	Debt - Corporate
Other Product Type(s):	MUNICIPAL SECURITIES
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/19/2011
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 $17,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE IT IS CENSURED AND FINED $17,500 ($12,500 OF WHICH PERTAINS TO THE VIOLATION OF MSRB RULE G-14).

Reporting Source:	Firm

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Current Status:	Final
Allegations:	FINRA RULES 2010,6730,MSRB RULE G-14: THE FIRM REPORTED 63 OUT OF 282 MUNICIPAL SECURITIES TRANSACTIONS (22%) LATE TO THE MSRB. IN ADDITION, THE FIRM REPORTED 14 MUNICIPAL TRANSACTIONS ERRONEOUSLY TO THE MSRB AND 32 OUT OF 146 CORPORATE BOND TRANSACTIONS (22%) LATE TO THE TRADE REPORTING AND COMPLIANCE ENGINE (TRACE).
Initiated By:	FINRA
Date Initiated:	05/19/2011
Docket/Case Number:	2010021125601
Principal Product Type:	Debt - Corporate
Other Product Type(s):	MUNICIPAL SECURITIES
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/19/2011
Sanctions Ordered:	Censure Monetary/Fine $17,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS;THEREFORE IT IS CENSURED AND FINED $17,500($12,500 OF WHICH PERTAINS TO THE VIOLATION OF MSRB RULE G-14).

Disclosure 3 of 4

Reporting Source:	Regulator
Current Status:	Final
Allegations:	MSRB RULE G-14: RESPONDENT MEMBER FIRM FILED TO TIMELY REPORT 188 OUT OF 803 ITS MUNICIPAL SECURITIES TRANSACTIONS.
Initiated By:	FINRA
Date Initiated:	07/25/2008
Docket/Case Number:	2006003703101

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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:	07/25/2008
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 $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT MEMBER FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, FIRM IS CENSURED AND FINED $5,000.

Reporting Source:	Firm
Current Status:	Final
Allegations:	MSRB RULE G-14: RESPONDENT MEMBER FIRM FILED TO TIMELY REPORT 188 OUT OF 803 ITS MUNICIPAL SECURITIES TRANSACTIONS
Initiated By:	FINRA
Date Initiated:	07/25/2008
Docket/Case Number:	2006003703101
Principal Product Type:	Debt - Municipal
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)

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Other Sanction(s)/Relief Sought:	CENSURE
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/25/2008
Sanctions Ordered:	Censure Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT MEMBER FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, FIRM IS CENSURED AND FINED $5,000.

Disclosure 4 of 4

Reporting Source:	Regulator
Current Status:	Final
Allegations:	
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	10/20/1998
Docket/Case Number:	CAF980083
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	11/20/1998
Sanctions Ordered:	Censure Monetary/Fine $3,100.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NO. CAF980083 FILED OCTOBER 20, 1998 BY THE DEPARTMENT OF ENFORCEMENT AGAINST RESPONDENT KILEY,

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BLOEMERS,
INC. ALLEGING VIOLATIONS OF NASD RULE 2110 IN THAT RESPONDENT MEMBER FAILED TO FILE FORM BD-Y2K ON A TIMELY BASIS, IN VIOLATION OF SECTION 17(a) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 17a-5 THEREUNDER.

ON NOVEMBER 20, 1998, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT MEMBER WAS ISSUED;
THEREFORE, RESPONDENT MEMBER IS CENSURED AND FINED $3,100.

04-23-99, $3,100 PAID ON 12/11/98, INVOICE #98-AF-959

Reporting Source:	Firm
Current Status:	Final
Allegations:	RESPONDENT MEMBER FAILED TO FILE FORM BD-Y2K ON A TIMELY BASIS, IN VIOLATION OF SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 17A-5 THEREUNDER.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Date Initiated:	10/20/1998
Docket/Case Number:	CAF980083
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	CENSURED AND FINED
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	11/20/1998
Sanctions Ordered:	Censure Monetary/Fine $3,100.00
Other Sanctions Ordered:	
Sanction Details:	RESPONDENT MEMBER IS CENSURED AND FINED $3,100. 04-23-99, $3,100 PAID ON 12/11/98, INVOICE #98-AF-959.
Firm Statement	COMPLIANT NO. CAF980083 FILED OCTOBER 20, 1998 BY THE DEPARTMENT OF ENFORCEMENT AGAINST RESPONDENT KILEY,

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BLOEMERS, INC. ALLEGING VIOLATIONS OF NASD RULE 2110 IN THAT RESPONDENT MEMBER FAILED TO FILE FORM BD-Y2K ON A TIMELY BASIS, IN VIOLATION OF SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 17A-5 THEREUNDER. ON NOVEMBER 20, 1998, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT MEMBER WAS ISSUED; THEREFORE, RESPONDENT MEMBER IS CENSURED AND FINED $3,100. 04-23-99, $3,100 PAID ON 12/11/98, INVOICE #98-AF-959.

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End of Report

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