BrokerCheck Report

J K R & COMPANY, INC.

CRD# 8040

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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.

J K R & COMPANY, INC.

CRD# 8040

SEC# 8-24191

Main Office Location

7145 WOODLEY AVE
VAN NUYS, CA 91406
Regulated by FINRA Los Angeles Office

Mailing Address

7145 WOODLEY AVE
VAN NUYS, CA 91406

Business Telephone Number

818-781-7721

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 California on 07/30/1979.

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
- 10 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	1
Arbitration	1

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Firm Profile

This firm is classified as a corporation.

This firm was formed in California on 07/30/1979.

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.

J K R & COMPANY, INC.

Doing business as J K R & COMPANY, INC.

CRD# 8040

SEC# 8-24191

Main Office Location

7145 WOODLEY AVE
VAN NUYS, CA 91406

Regulated by FINRA Los Angeles Office

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Business Telephone Number

818-781-7721

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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):	ELLIS, JAMES ANDREW 2395774
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT / FINOP / CCO
Position Start Date	08/2019
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):	RICHARDSON, JAMES KEMP 375759
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT
Position Start Date	08/2019
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 10 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	10/18/1979

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

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

A government securities broker or dealer only: No

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

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	11/09/1979

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	10/30/2023
Arkansas	Approved	07/28/2017
California	Approved	02/22/1984
Idaho	Approved	10/31/2022
Massachusetts	Approved	03/12/2024
Nevada	Approved	03/23/1999
New York	Approved	05/10/1999
Oklahoma	Approved	10/15/2018
Texas	Approved	02/27/2007
Washington	Approved	03/22/1999

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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
Mutual fund retailer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account

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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:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	01/01/1980
Description:	PERSHING IS OUR CLEARING FIRM. THE FIRM INTRODUCES CUSTOMERS ON A FULLY DISCLOSED BASIS TO PERSHING.

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Firm Operations

Industry Arrangements

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

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

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

Control Persons/Financing

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

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

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Firm Operations

Organization Affiliates

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

This firm is 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	1	0
Arbitration	N/A	1	N/A

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Disclosure Event Details

What you should know about reported disclosure events:

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

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

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Allegations:

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT DESPITE THE EXISTENCE OF NUMEROUS AML RED FLAGS THAT MAY HAVE BEEN INDICATIVE OF EITHER MONEY LAUNDERING OR PRICE MANIPULATION IN THE CASE OF A TRADED PENNY STOCK, IT FAILED TO DETECT THOSE RED FLAGS, TO REASONABLY INVESTIGATE THEM, AND/OR FAILED TO REPORT SUSPICIOUS ACTIVITY IN A TIMELY MANNER. THE FINDINGS STATED THAT THE FIRM OPENED ACCOUNTS THAT SHOULD HAVE TRIGGERED AML RED FLAGS REQUIRING FURTHER INVESTIGATION. THESE ACCOUNTS ENGAGED IN ACTIVITY THAT WAS INCONSISTENT WITH ITS EXPECTED ACTIVITY. ALTHOUGH THE ACCOUNTS HAD BENEFICIAL OWNERS AND CONTROL PERSONS IN COMMON, THE FIRM FAILED TO DETECT AND/OR INVESTIGATE SEVERAL RED FLAGS RELATING TO THE OWNERSHIP AND CONTROL OF THE ACCOUNTS. THE FIRM ALSO FAILED TO IDENTIFY THAT THE LEGAL ADDRESS FOR ONE OF THE ACCOUNTS WAS NOT A PHYSICAL ADDRESS, BUT INSTEAD, WAS A PERSONAL MAILBOX AT A RETAIL STORE. ADDITIONALLY, THE FIRM FAILED TO RECOGNIZE THAT THE ACCOUNT-OPENING DOCUMENTS FOR ONE OF THE ACCOUNTS INDICATED THAT A CUSTOMER WAS SELF-EMPLOYED AS AN INVESTMENT BANKER FOR THE CORPORATE ENTITY LISTED FOR ONE OF THE OTHER ACCOUNTS. THE FIRM ALSO DID NOT RECOGNIZE THAT A COPY OF THE PASSPORT IT COLLECTED FOR THAT CUSTOMER WAS NOT PROPERLY CERTIFIED, REFLECTING ONLY A STAMP FROM A NOTARY PUBLIC, INSTEAD OF AN AFFIDAVIT SWORN TO BY THE CUSTOMER AS THE CUSTODIAN OF THE PASSPORT, AS REQUIRED BY THE AMERICAN ASSOCIATION OF NOTARIES' RULES GOVERNING COPY CERTIFICATION BY A DOCUMENT CUSTODIAN. SIMILARLY, THE FIRM DID NOT IDENTIFY AS A RED FLAG THE FACT THAT THE CORPORATE ENTITIES FOR TWO OF THE ACCOUNTS HAD BEEN CREATED A WEEK PRIOR TO ACCOUNT-OPENING UNDER THE LAWS OF A COUNTRY KNOWN FOR HEIGHTENED MONEY-LAUNDERING RISK. THE FINDINGS ALSO STATED THAT THE FIRM FAILED TO IDENTIFY AND INVESTIGATE SUSPICIOUS TRADING ACTIVITY IN THE ACCOUNTS. THE CUSTOMER HAD PREVIOUSLY ASSISTED IN THE PENNY STOCK'S INITIAL OFFERING, AND GIVEN THE CLOSE RELATIONSHIP WITH THE PENNY STOCK, THE FIRM SHOULD HAVE IDENTIFIED THE FACT THAT ONE OF THE ACCOUNTS TRADED ALMOST EXCLUSIVELY IN THAT PENNY STOCK. INDEED, FOR THE MAJORITY OF THE TIME, THE PENNY STOCK WAS THE ONLY EQUITY TRADED IN ONE OF THE CUSTOMER'S ACCOUNTS THAT NOT ONLY LIQUIDATED SHARES OF THE TRADED PENNY STOCK BUT PURCHASED THEM AS WELL. THIS WAS CONTRARY TO THE EXPECTED ACTIVITY IN THE ACCOUNT BECAUSE THE FIRM UNDERSTOOD THAT THE CUSTOMER INTENDED TO LIQUIDATE THE PENNY STOCK AND USE THE PROCEEDS TO DIVERSIFY HOLDINGS IN THE ACCOUNT. IN ADDITION, THE FIRM FAILED TO INVESTIGATE POTENTIALLY SUSPICIOUS WIRE ACTIVITY THAT WAS UNEXPLAINED, REPETITIVE AND SHOWED UNUSUAL PATTERNS

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	WITH NO APPARENT BUSINESS PURPOSE. THE FIRM ALSO FAILED TO IDENTIFY OR INVESTIGATE UNUSUAL TRANSFERS OF FUNDS OR JOURNAL ENTRIES AMONG ACCOUNTS AT THE FIRM. THE JOURNALS SERVED NO BUSINESS PURPOSE AND WERE SUSPICIOUS BECAUSE THE WIRE TRANSFERS COULD HAVE BEEN SENT DIRECTLY TO THE THIRD PARTY WITHOUT THE INTERVENING JOURNALS. THE FIRM FURTHER FAILED TO IDENTIFY AND INVESTIGATE A RED FLAG ASSOCIATED WITH TWO OF THE ACCOUNTS WHERE IT WAS APPARENT THAT THE CUSTOMER HAD NO DISCERNABLE REASON FOR USING THE FIRM'S SERVICE.
Initiated By:	FINRA
Date Initiated:	07/27/2020
Docket/Case Number:	2016052500601
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/27/2020
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 $50,000.00
Other Sanctions Ordered:	UNDERTAKING
Sanction Details:	THE FIRM WAS CENSURED, FINED $50,000 AND REQUIRED TO HAVE A PRINCIPAL CERTIFY THAT IT ESTABLISHED SYSTEMS AND PROCEDURES REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH ITS AML OBLIGATIONS, INCLUDING, BUT NOT LIMITED TO, REMEDIATING THE DEFICIENCIES IDENTIFIED IN THE AWC WITHIN 90 DAYS. FINES PAID IN FULL ON AUGUST 5, 2020.

Reporting Source:	Firm

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Current Status:	Final
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND THE ENTRY OF FINDINGS THAT DURING THE PERIOD OF NOVEMBER 2012 AND DECEMBER 2016 IT VIOLATED FINRA RULES 3310(A) AND 2010 IN CONNECTION WITH ITS AML PROGRAM BY FAILING TO DETECT RED FLAGS OF SUSPICIOUS ACTIVITY IN FOUR RELATED ACCOUNTS, INVESTIGATE THEM, AND REPORT THE ACTIVITIES IN A TIMELY MANNER.
Initiated By:	FINRA
Date Initiated:	07/27/2020
Docket/Case Number:	2016052500601
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	MONETARY/FINE $50,000 UNDERTAKING
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/27/2020
Sanctions Ordered:	Censure Monetary/Fine $50,000.00
Other Sanctions Ordered:	UNDERTAKING
Sanction Details:	$50,000 FINE PAID 07/28/2020.
Firm Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND THE ENTRY OF FINDINGS. THE FIRM WAS CENSURED, FINED $50,000, AND REQUIRED TO SUBMIT, WITHIN 90 DAYS OF THE ISSUANCE OF THE NOTICE OF ACCEPTANCE OF THE AWC, A CERTIFICATION IN WRITING BY A PRINCIPAL OF THE FIRM THAT JKR HAS ESTABLISHED SYSTEMS AND PROCEDURES REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH ITS AML OBLIGATIONS. FINE PAID IN FULL ON 07/28/2020.

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Arbitration Award - Award / Judgment

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

Disclosure 1 of 1

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE; NO OTHER CONTROVERSY INVOLVED
Arbitration Forum:	NASD
Case Initiated:	05/21/2007
Case Number:	07-01095
Disputed Product Type:	NO OTHER TYPE OF SEC INVOLVE; OTHER TYPES OF SECURITIES
Sum of All Relief Requested:	$304,671.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	05/09/2008
Sum of All Relief Awarded:	$1,225,424.00

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

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End of Report

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