

## BrokerCheck Report

**JAMES EDWARD BICKLE**

CRD# 1039934

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



**JAMES E. BICKLE**

**CRD# 1039934**

This broker is not currently registered.

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

**This broker is not currently registered.**

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

**Registration History**

**This broker was previously registered with the following securities firm(s):**

- B LONG GROVE TRADING CO.**  
CRD# 10078  
BOSTON, MA  
05/1995 - 12/1998
- B INVEST FINANCIAL CORPORATION**  
CRD# 12984  
APPLETON, WI  
02/1994 - 05/1995
- B BANCA IMI SECURITIES CORP.**  
CRD# 19418  
NEW YORK, NY  
04/1991 - 02/1994

**Disclosure Events**

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	2

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	11/19/1993

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7	04/17/1982

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	05/12/1982

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 05/1995 - 12/1998	LONG GROVE TRADING CO.	10078	BOSTON, MA
<b>B</b> 02/1994 - 05/1995	INVEST FINANCIAL CORPORATION	12984	APPLETON, WI
<b>B</b> 04/1991 - 02/1994	BANCA IMI SECURITIES CORP.	19418	NEW YORK, NY
<b>B</b> 11/1989 - 04/1991	MABON, NUGENT & CO.	2617	
<b>B</b> 04/1982 - 04/1989	A. G. EDWARDS & SONS, INC.	4	

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
05/1995 - Present	JAMES BICKLE INVESTMENTS	OTHER - SOLE PROPRIETORSHIP	N	FREEPORT, IL, United States

# Disclosure Events



## What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Final	On Appeal
Regulatory Event	2	0



## Disclosure Event Details

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/19/1999
<b>Docket/Case Number:</b>	C8A990012
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	02/19/1999
<b>Regulator Statement</b>	03/08/99GK: ON FEBRUARY 19, 1999, DISTRICT NO. 8 NOTIFIED RESPONDENT JAMES EDWARD BICKLE THAT THE LETTER OF AWC NO. C8A990012 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$25,000, AND BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY. FINE COLLECTION EFFORTS WILL BE SUSPENDED UNLESS AND UNTIL RESPONDENT SEEKS TO AGAIN BECOME ASSOCIATED WITH A MEMBER FIRM IN ANY CAPACITY. PAYMENT OF THE FINE SHALL BE A PREREQUISITE FOR CONSIDERATION OF ANY APPLICATION FOR ASSOCIATION WITH A MEMBER FIRM - (NASD RULES 2110 AND 3040 -



RESPONDENT BICKLE PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS, FAILED AND NEGLECTED TO GIVE WRITTEN NOTICE OF HIS INTENTION TO ENGAGE IN SUCH ACTIVITIES TO HIS MEMBER FIRM, AND FAILED TO RECEIVE WRITTEN APPROVAL FROM HIS MEMBER FIRM PRIOR TO ENGAGING IN SUCH ACTIVITIES).

---

**Reporting Source:** Firm

**Regulatory Action Initiated By:** NASDR

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 02/19/1999

**Docket/Case Number:** C8A990012

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** DURING FEB 1997 REP PARTICIPATED FOR COMPENSATION IN PRIVATE SECURITIES TRANSACTIONS; FAILED & NEGLECTED TO GIVE WRITTEN NOTICE TO & THUS RECEIVE APPROVAL FROM HIS B/D - VIOLATION OF RULES 2110 & 3040

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 02/19/1999

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** Not Provided

**Firm Statement** BICKLE RECEIVED LETTER OF ACCEPTANCE, WAIVER AND CONSENT FROM NASDR ON 12/8/98, AND HAS UNTIL 12/22/98 TO COMMUNICATE HIS DECISION TO THE NASDR.

---



## Disclosure 2 of 2

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** ILLINOIS SECURITIES DEPARTMENT

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/03/1997

**Docket/Case Number:** 9700449

**Employing firm when activity occurred which led to the regulatory action:** PCO, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** RESPONDENT SOLD UNREGISTERED SECURITIES.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 09/22/1997

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** A NOTICE OF HEARING WAS ISSUED ON SEPTEMBER 3, 1997. THE HEARING IS SET FOR NOVEMBER 12, 1997. A CONSENT ORDER OF PROHIBITION WAS ISSUED ON SEPTEMBER 22, 1997, PROHIBITING THE RESPONDENT FROM OFFERING OR SELLING ANY SECURITIES IN OR FROM THE STATE OF ILLINOIS, EXCEPT IN COMPLIANCE WITH THE ACT.

**Regulator Statement** CONTACT: (217) 785-4940

**Reporting Source:** Broker

**Regulatory Action Initiated By:** ILLINOIS SECURITIES COMMISSION

**Sanction(s) Sought:**

**Other Sanction(s) Sought:****Date Initiated:** 09/03/1997**Docket/Case Number:** 9700449**Employing firm when activity occurred which led to the regulatory action:** PCO, INC.**Product Type:****Other Product Type(s):****Allegations:** BEGINNING IN 2/97 BICKLE SOLD 8 ILLINOIS PUBLIC CUSTOMERS INVESTMENT CONTRACTS VIA PCO, INC. THESE CONTRACTS WERE NOT REGISTERED PURSUANT TO SECTION 5 OF THE ACT PRIOR TO THEIR OFFER AND SALE IN ILLINOIS.**Current Status:** Final**Resolution:** Consent**Resolution Date:** 09/22/1997**Sanctions Ordered:****Other Sanctions Ordered:****Sanction Details:** THE STATE OF ILLINOIS SECURITIES DEPARTMENT ON 9/22/97 ISSUED A CONSENT ORDER OF PROHIBITION TO RESPONDANT JAMES E BICKLE. IT FOUND HE VIOLATED SECTION 12.A OF THE ACT. BICKLE IS PROHIBITED FROM ISSUING, OFFERING OR SELLING ANY SECURITIES IN OR FROM THE STATE OF ILLINOIS EXCEPT IN COMPLIANCE WITH THE PROVISIONS OF THE ACT. THE FORMAL HEARING SCHEDULED WAS DISMISSED WITHOUT FURTHER PROCEEDINGS.**Broker Statement** THE INITIAL 7/16/97 ILLINOIS SECURITIES COMMISSION INVESTIGATION WAS PROMPTED BY ITS RECEIPT OF A CUSTOMER COMPLAINT FROM KEITH & LOIS FERGUSON. COMPLAINING ABOUT THEIR PCO VIATICAL INVESTMENT. KEITH & LOIS FERGUSON ARE CURRENTLY CREDITORS IN THE CASE OF PEOPLE OF THE STATE OF CALIFORNIA VS LAING, ET AL., LOS ANGELES SUPERIOR COURT NUMBER BC IBC168845, FILED 4/7/97 IN WHICH BARRY A FISHER OF LOS ANGELES HAS BEEN APPOINTED RECEIVER IN THE PCO MATTER. YES ANSWERS TO 22E(2), 22E(4), 22G(1), AND 22I(1) ALL RELATE TO THE ABOVE MENTIONED PCO MATTER. THE ABOVE-MENTIONED CUSTOMER COMPLAINT PROMPTED THE



STATE OF ILLINOIS TO INVESTIGATE JAMES BICKLE IN CONNECTION WITH HIS SALE OF VIATICALS. THE CUSTOMER COMPLAINT WAS NEVER RECEIVED BY LONG GROVE TRADING COMPANY AND QUESTION 22G(1) SHOULD HAVE BEEN ANSWERED NO.

## End of Report



**This page is intentionally left blank.**