

BrokerCheck Report

LOUISE ANNE NESHEIM

CRD# 1067508

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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.

LOUISE A. NESHEIM

CRD# 1067508

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:

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

Registration History

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

B NATIONAL PLANNING CORPORATION

CRD# 29604
LOS ANGELES, CA
02/1997 - 06/2003

B METLIFE SECURITIES INC.

CRD# 14251
SPRINGFIELD, MA
04/1991 - 09/1996

B METROPOLITAN LIFE INSURANCE COMPANY

CRD# 4095
NEW YORK, NY
04/1991 - 09/1996

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	1

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 3 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination	Series 4	02/25/1987
General Securities Principal Examination	Series 24	01/07/1987
Financial and Operations Principal Examination	Series 27	03/16/1985

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	09/18/1982

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	02/14/1983

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/.

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 02/1997 - 06/2003	NATIONAL PLANNING CORPORATION	29604	LOS ANGELES, CA
B 04/1991 - 09/1996	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 04/1991 - 09/1996	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY
B 05/1989 - 05/1990	CAPITAL MARKETS CORPORATION	16730	
B 05/1989 - 01/1990	UNITED INVESTMENT CONSULTANTS, INC.	23443	
B 11/1988 - 02/1989	POWER SECURITIES CORPORATION	15527	
B 04/1987 - 10/1988	B. J. LEONARD AND COMPANY, INC.	62	
B 08/1986 - 03/1987	DEVANNEY, BURGIN, SHANACY, INC.	7167	
B 07/1986 - 08/1986	MALONE & ASSOCIATES, INC.	10412	
B 10/1984 - 05/1986	HAMILTON, BOHNER & VAN VLECK, INC.	14774	
B 11/1983 - 09/1984	WALL STREET WEST, INC.	7529	
B 01/1983 - 09/1983	DOMINICK & DOMINICK, INCORPORATED	223	
B 09/1982 - 11/1982	DOMINICK & DOMINICK, INCORPORATED	223	

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
01/1997 - Present	NATIONAL PLANNING CORPORATION	NOT PROVIDED	Y	DENVER, CO, United States
09/1996 - Present	JACKSON NATIONAL LIFE	ACCOUNT_MANAGER - Account Manager	N	DENVER, CO, United States

Registration and Employment History



Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/1977 - Present	PACIFIC MUTUAL LIFE INS.	OTHER - EXEC. SECRETARY	N	NEWPORT BEACH, CA, United States
08/1976 - Present	PAUL HASTINGS & JANOFSKY	OTHER - LEGAL SECRETARY	N	IRINE, CA, 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	1	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 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/01/1985

Docket/Case Number: DEN-645-AWC

Employing firm when activity occurred which led to the regulatory action: HAMILTON, BOHNER & VAN VLECK, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 08/28/1986

Sanctions Ordered:
Censure
Monetary/Fine \$1,500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ON AUGUST 28, 1986, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT
NO. DEN-645-AWC (DISTRICT NO. 3) SUBMITTED BY RESPONDENTS
HAMILTON, BOHNER & VAN VLECK, INC., JOHN R. MCKOWEN AND LOUISE



A. NESHEIM WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED
\$1,500.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - FAILED TO BOOK AN AUTOMOBILE LOAN CAUSING THE BOOKS AND RECORDS TO BE INACCURATE AND RESULTING IN A NET CAPITAL VIOLATION; AND CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN MINIMUM REQUIRED NET CAPITAL). *****
2/12/87-FC #9611, PAID IN FULL 12/29/86.

Reporting Source: Firm
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 06/01/1985
Docket/Case Number: DEN-645-AWC
Employing firm when activity occurred which led to the regulatory action: HAMILTON, BOHNER & VAN VLECK, INC.
Product Type:
Other Product Type(s):
Allegations:
Current Status: Final
Resolution: Consent
Resolution Date: 08/28/1986
Sanctions Ordered: Censure
Monetary/Fine \$1,500.00
Other Sanctions Ordered:
Sanction Details:
Firm Statement HAMILTON, BOHNER & VAN VLECK, INC., JOHN R. MCKOWEN (PRESIDENT AND SECURITIES PRINCIPAL), AND LOUISE A. NESHEIM HAVE BEEN NAMED IN AN ACTION BY THE NASD (DISTRICT #3) FOR FAILURE TO COMPLY



WITH SEC RULES 17A-3 AND 15C3-1 (FAILURE TO MEET MINIMUM NET CAPITAL REQUIREMENTS ON JUNE 28 AND JULY 15, 1985). THE MATTER IS CURRENTLY UNDER REVIEW, WITH AN ACCEPTANCE, WAIVER AND CONSENT (AWC) BEING STUDIED. IT IS EXPECTED THAT THIS MATTER WILL BE RESOLVED BY THE AWC WITH A LEVIED PENALTY OF \$1,500 AND CENSURE FOR THE FIRM AND PRINCIPALS, INCLUDING MS. NESHEIM. PER DISCUSSIONS WITH THE NASD, MS. NESHEIM'S AWC WILL ONLY INCLUDE VIOLATION OF RULE 15C3-1.

Reporting Source:	Broker
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/01/1985
Docket/Case Number:	DEN-645-AWC
Employing firm when activity occurred which led to the regulatory action:	HAMILTON, BOHNER & VAN VLECK, INC.
Product Type:	
Other Product Type(s):	
Allegations:	CONDUCTING A SECURITIES BUSINESS WITH A NET CAPITAL DEFICIENCY OF \$2,598.38 AND 6,623.90 ON JUNE 28, 1985 AND JULY 15, 1985, RESPECTIVELY.
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/28/1986
Sanctions Ordered:	Censure Monetary/Fine \$1,500.00
Other Sanctions Ordered:	
Sanction Details:	ACCEPTANCE, WAIVER AND CONSENT SUBMITTED WITH THE FIRM AND PRINCIPALS, INCLUDING MYSELF, BEING CENSURED AND FINED \$1500 JOINTLY AND SEVERALLY.

**Broker Statement**

THE NET CAPITAL DEFICIENCIES NOTED WERE THE DIRECT RESULT OF AN AUTOMOBILE PURCHASED IN THE NAME OF THE FIRM BY OUR PRESIDENT. THE PURCHASE WAS NOT RECORDED IN A TIMELY MANNER AS HE WAS UNABLE TO PROVIDE ME WITH THE LOAN PAPERWORK SO THAT I COULD MAKE THE APPROPRIATE ENTRIES. THE PROPER ENTRIES WERE MADE UPON WRITTEN VERIFICATION BY THE BANK OF THIS TRANSACTION. DOCUMENTATION OF THIS TRANSACTION WAS RECEIVED DURING OUR ROUTINE NASD EXAM. I HAD BEEN THE DESIGNATED FINANCIAL PRINCIPAL FOR APPROXIMATELY TWO MONTHS.

End of Report



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