

## BrokerCheck Report

**JAMES GERARD KAISER**

CRD# 1095441

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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](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).



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 registered with:

- 1 Self-Regulatory Organization
- 6 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA TOUCHSTONE ADVISORS INC**  
CRD# 107028  
CINCINNATI, OH  
12/2005 - 09/2007
- B TOUCHSTONE SECURITIES, INC.**  
CRD# 1526  
STAMFORD, CT  
05/2000 - 09/2007
- B ARM SECURITIES CORPORATION**  
CRD# 932  
MINOT, ND  
07/1999 - 04/2000

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

JAMES G. KAISER

CRD# 1095441

Currently employed by and registered with the following Firm(s):

- B FMG DISTRIBUTORS, INC.**  
New Canaan, CT  
CRD# 29243  
Registered with this firm since: 12/05/1991



## Broker Qualifications

### Registrations

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

**This individual is currently registered with 1 SRO and is licensed in 6 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **FMG DISTRIBUTORS, INC.**

Main Office Address: **557 OENOKE RIDGE ROAD  
NEW CANAAN, CT 06840**

Firm CRD#: **29243**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	12/05/1991
B	FINRA	General Securities Representative	Approved	12/05/1991
B	FINRA	Operations Professional	Approved	12/19/2011
B	FINRA	Compliance Officer	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	06/11/1996
B	Florida	Agent	Approved	06/14/2018
B	Georgia	Agent	Approved	11/21/2024
B	New Jersey	Agent	Approved	08/30/2021
B	Tennessee	Agent	Approved	03/11/2025
B	Texas	Agent	Approved	06/25/2018

### Branch Office Locations

**FMG DISTRIBUTORS, INC.**  
557 OENOKE RIDGE ROAD

## Broker Qualifications



### Employment 1 of 1, continued

NEW CANAAN, CT 06840

#### **FMG DISTRIBUTORS, INC.**

New Canaan, CT

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## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Compliance Officer Examination	Series 14	01/02/2023
<b>B</b> General Securities Principal Examination	Series 24	06/27/1983

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	03/19/1983

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/14/2004
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	05/15/2002

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>IA</b> 12/2005 - 09/2007	TOUCHSTONE ADVISORS INC	107028	CINCINNATI, OH
<b>B</b> 05/2000 - 09/2007	TOUCHSTONE SECURITIES, INC.	1526	STAMFORD, CT
<b>B</b> 07/1999 - 04/2000	ARM SECURITIES CORPORATION	932	MINOT, ND
<b>B</b> 08/1988 - 03/1990	DIRECTED SERVICES, INC.	21675	WEST CHESTER, PA
<b>B</b> 05/1986 - 03/1988	THOMSON MCKINNON SECURITIES INC.	829	
<b>B</b> 10/1984 - 06/1986	DEAN WITTER REYNOLDS INC.	7556	
<b>B</b> 12/1985 - 06/1986	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	
<b>B</b> 01/1984 - 12/1984	SALLIS SECURITIES CO.	13194	

### 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
03/2000 - Present	TOUCHSTONE SECURITIES/INTEGRITY CO	PRINCIPAL	Y	STAMFORD, CT, United States
09/1991 - Present	FMG DISTRIBUTORS, INC.	NOT PROVIDED	Y	STAMFORD, CT, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

FINANCIAL MARKETING GROUP, PRESIDENT, MARKETING-RELATED, 501 MERRITT 7 - PH, NORWALK, CT 06851, START DATE 9-2007, MARKETING SUPPORT FOR THE SALE OF ANNUITIES.



**Registration and Employment History**



**Other Business Activities, continued**

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## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
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 broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all 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.
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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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of 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.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

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 may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** CONNECTICUT DEPT. OF BANKING

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/23/1996

**Docket/Case Number:** CO-95-2878-S

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** JAMES KAISER WAS NAMED IN A CONSENT ORDER WITH FMG DISTRIBUTORS, C. (CRD 29243). THE CONSENT ORDER ALLEGED THAT 1) FROM AT LEAST 1994, FMG DISTRIBUTORS TRANSACTED BUSINESS AS A BROKER-DEALER ABSENT REGISTRATION UNDER THE CONNECTICUT UNIFORM SECURITIES ACT BY ACTING AS A SUBDISTRIBUTOR OF MUTUAL FUND SHARES; AND 2) FAILED TO ADEQUATELY DISCLOSE THE EXTENT OF SUCH ACTIVITY IN FILINGS MADE WITH THE AGENCY.



**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 01/23/1996

**Sanctions Ordered:** Monetary/Fine \$2,500.00

**Other Sanctions Ordered:**

**Sanction Details:** PER CONSENT ORDER DATED 1/23/96, JAMES KAISER WAS DIRECTED TO REFRAIN FROM REGULATORY VIOLATIONS AND TO COMPLETE THE REGULATORY ELEMENT OF THE SECURITIES INDUSTRY CONTINUING EDUCATION PROGRAM IN 90 DAYS. JAMES KAISER, TOGETHER WITH FMG DISTRIBUTORS, INC., WERE ALSO ORDERED TO PAY A JOINT FINE OF \$2,500. THAT SUM HAS BEEN PAID IN FULL.

**Regulator Statement** CONTACT: C. ANTANAITIS, 860-240-8233.

**Reporting Source:** Broker

**Regulatory Action Initiated By:** STATE OF CT. DEPT OF BANKING

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/23/1996

**Docket/Case Number:** CO-95-2878-S

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** VIOLATION OF CT. SECTION 366-23 SECTION 366-6 WRAP FEE MUTUAL FUND PRODUCT SOLD WITHOUT REGISTRATION. DID NOT ADMIT OR DENY \$2500 FINE

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 01/23/1996



**Sanctions Ordered:** Monetary/Fine \$2,500.00

**Other Sanctions Ordered:**

**Sanction Details:** NO ADMIT OR DENY \$2500 FINE. KAISER TOOK & PASSED REGULATION ELEMENT OF SLICEP . QUARTERLY LETTER RE: ANY COMPLAINTS SENT FOR 18 MOS.

**Broker Statement** MATTER FELL INTO GRAY AREA OF STATE STATUTE  
SINGLE FMG KAISER FIRM IS A WHOLESALER OF INVESTMENT PRODUCTS  
AND DOES NOT DEAL WITH PUBLIC AND HAS NO CUSTOMER ACCOUNTS

## End of Report



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