

**BrokerCheck Report**  
**John William Cooley**  
 CRD# 1193065

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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).

**John W. Cooley**

CRD# 1193065

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

**IA COLORADO FINANCIAL SERVICE CORPORATION**  
 Las Vegas, NV  
 CRD# 104343  
 Registered with this firm since: 04/13/2018

**B COLORADO FINANCIAL SERVICE CORPORATION**  
 188 INVERNESS DRIVE WEST  
 SUITE 100  
 CENTENNIAL, CO 80112  
 CRD# 104343  
 Registered with this firm since: 04/12/2018

**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
- 2 U.S. states and territories

**This broker has passed:**

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

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

- IA COLORADO FINANCIAL SERVICE CORPORATION**  
 CRD# 104343  
 CENTENNIAL, CO  
 03/2014 - 04/2016
- B COLORADO FINANCIAL SERVICE CORPORATION**  
 CRD# 104343  
 CENTENNIAL, CO  
 01/2011 - 04/2016
- IA COLORADO FINANCIAL SERVICE CORPORATION**  
 CRD# 104343  
 CENTENNIAL, CO  
 09/2012 - 05/2013

**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



## 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 2 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **COLORADO FINANCIAL SERVICE CORPORATION**

Main Office Address: **188 INVERNESS DRIVE WEST  
SUITE 100  
CENTENNIAL, CO 80112**

Firm CRD#: **104343**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	04/12/2018
B	FINRA	General Securities Representative	Approved	04/12/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	04/13/2018
IA	California	Investment Adviser Representative	Approved	04/13/2018
B	Nevada	Agent	Approved	01/12/2022

### Branch Office Locations

**COLORADO FINANCIAL SERVICE CORPORATION**  
188 INVERNESS DRIVE WEST  
SUITE 100  
CENTENNIAL, CO 80112

**COLORADO FINANCIAL SERVICE CORPORATION**  
Las Vegas, NV



## 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, 4 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	02/10/2005

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Foreign Currency Options Examination	Series 15	06/05/1984
<b>B</b> Interest Rate Options Examination	Series 5	05/25/1984
<b>B</b> General Securities Representative Examination	Series 7	09/17/1983

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	03/15/2005
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/05/1984

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> 03/2014 - 04/2016	COLORADO FINANCIAL SERVICE CORPORATION	104343	LAGUNA BEACH, CA
<b>B</b> 01/2011 - 04/2016	COLORADO FINANCIAL SERVICE CORPORATION	104343	CENTENNIAL, CO
<b>IA</b> 09/2012 - 05/2013	COLORADO FINANCIAL SERVICE CORPORATION	104343	LAGUNA BEACH, CA
<b>B</b> 10/2009 - 10/2010	INVEST FINANCIAL CORPORATION	12984	RENTON, WA
<b>B</b> 10/2004 - 03/2009	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA
<b>B</b> 01/2003 - 11/2004	PRINCOR FINANCIAL SERVICES CORPORATION	1137	DES MOINES, IA
<b>B</b> 02/1999 - 12/2002	BRECEK & YOUNG ADVISORS, INC.	40395	FOLSOM, CA
<b>B</b> 05/1996 - 10/1997	CENTAURUS FINANCIAL, INC.	30833	ANAHEIM, CA
<b>B</b> 07/1994 - 02/1995	ROBERT SCOTT SECURITIES, INC.	28180	
<b>B</b> 08/1992 - 12/1992	BROKERS INVESTMENT CORPORATION	16607	CANOGA PARK, CA
<b>B</b> 08/1990 - 04/1991	COAST FINANCIAL ADVISORS, INC.	6249	MISSION VIEJO, CA
<b>B</b> 01/1989 - 03/1990	CROWELL, WEEDON & CO.	193	LOS ANGELES, CA
<b>B</b> 09/1987 - 12/1988	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	76	
<b>B</b> 05/1986 - 10/1987	PRUDENTIAL-BACHE SECURITIES INC.	7471	
<b>B</b> 09/1983 - 05/1986	PAINWEBBER INCORPORATED	8174	

### Employment History



## Registration and Employment History

### Employment History, continued

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
01/2011 - Present	COLORADO FINANCIAL SERVICE CORPORATION	REGISTERED REPRESENTATIVE	Y	CENTENNIAL, CO, United States
01/2002 - Present	SUCCESS CONTINUING EDUCATION	PESIDENT	N	NEW PORT BEACH , CA, United States
04/1996 - Present	SUCCESS SYSTEMS INTERNATIONAL	PRESIDENT	N	LAGUNA BEACH, CA, 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.

(1) SUCCESS CONTINUING EDUCATION / 2 CORPORATE PLAZA DRIVE #100 NEWPORT BEACH, CA 92660. / PRESIDENT / NOT INV RELATED / OWNER / SINCE JANUARY 2002 / 160 HRS PER MONTH / 30 TRADING HRS PER MONTH.  
 (2) BILL COOLEY REAL ESTATE / 215 EMERALD BAY LAGUNA BEACH CA 2651 / PERSONAL REAL ESTATE MANAGEMENT / NOT INVESTMENT RELATED / OWNER / DATE OF INCEPTION 2000 / 5 HOURS PER MONTH DURING TRADING HOURS.  
 (3)BILL COOLEY CONSULTING / 215 EMERALD BAY LAGUNA BEACH CA 92651/ NOT INVESTMENT RELATED / CONSULTING FOR BUSINESSES / INCEPTION DATE 1996 / OWNER / 5 HOURS PER MONTH DURING TRADING HOURS. (4) INSURANCE ACTIVITIES THROUGH KAISER PERMANENTE (5) BC AUTO GROUP / WHOLE SALE AUTO DEALER / 215 EMERALD BAY, LAGUNA BEACH, CA 92651 / NO HOURS WORKED DURING TRADING HOURS / HOBBY  
 (5) LQ RRENTALS / PERSONAL REAL ESTATE MANAGEMENT / NOT INVESTMENT RELATED / OWNER / 0 HOURS PER MONTH DURING TRADING HOURS



## 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.
  -
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

<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>	11/30/1990
<b>Docket/Case Number:</b>	C0290016 (LA-4335)
<b>Employing firm when activity occurred which led to the regulatory action:</b>	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Resolution Date:</b>	09/19/1991
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$5,000.00

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

COMPLAINT NO. LA-4335 (DISTRICT NO. 2) FILED NOVEMBER 30, 1990 AGAINST RESPONDENTS BATEMAN EICHLER, HILL RICHARDS, INC. (A DIVISION OF KEMPER SECURITIES GROUP, INC.), JOHN WILLIAM COOLEY, AND JOHN ROSS BATTOE ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 27 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT COOLEY OVERCHARGED A PUBLIC CUSTOMER BY FAILING TO GIVE THE CUSTOMER THE BENEFIT OF REDUCED SALES CHARGES ASSOCIATED WITH COMBINED PURCHASES OF INVESTMENT COMPANY SHARES; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENT BATTOE, FAILED TO MAINTAIN WRITTEN PROCEDURES TO ENSURE THAT THE CUSTOMER RECEIVED THE BENEFIT OF REDUCED SALES CHARGES.

DECISION RENDERED SEPTEMBER 19, 1991, C02900016 (LA-4335) WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY REPENDENTS MEMBER, COOLEY AND BATTOE WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY.

\*\*\$5,000.00 J&S PAID ON 11/26/91 INVOICE #91-02-1109\*\*

**Reporting Source:**

Firm

**Regulatory Action Initiated By:**

NASD, DISTRICT NO. 2

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:**

11/30/1990

**Docket/Case Number:**

C0290016 (LA-4335)

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

BATEMAN EICHLER, HILL RICHARDS, INCORPORATED

**Product Type:****Other Product Type(s):****Allegations:**

AN NASD INVESTIGATION CONCERNING THE SALES



ACTIVITIES OF COOLEY, SPECIFICALLY REVIEWING THE SALES AND PURCHASES OF INVESTMENT COMPANY SHARES FOR SEVERAL CUSTOMERS.

VIOLATION OF ARTICLE III SECTION 1 OF THE RULES

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Resolution Date:** 09/19/1991

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**

**Sanction Details:** RESPONDENTS ARE CENSURED AND JOINTLY AND SEVERALLY FINED IN THE AMOUNT OF \$5,000.00.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD ADMINISTRATIVE

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** FINE AND CENSURE SPLIT EQUALLY BETWEEN BRANCH MANGER, BROKER DEALER, AND MYSELF.

**Date Initiated:** 11/30/1990

**Docket/Case Number:** C0290016 (LA-4335)

**Employing firm when activity occurred which led to the regulatory action:** BATEMAN EICHLER, HILL RICHARDS, INCORPORATED

**Product Type:** Other

**Other Product Type(s):** MUTUAL FUNDS

**Allegations:** AGAINST THE BROKER DELAER, THE BRANCH MANAGER, AND MYSELF, THE ALLEGATION OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE.

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement



**Resolution Date:** 09/19/1991

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**

**Sanction Details:** THE B/D (BATEMAN-EICHLER) THE BRANCH MANAGER AND BROKER WERE JOINTLY AND SEVERALLY FINE \$5000. THE FINE WAS SPLIT 3 WAY EQUALLY. ALL THREE ENTITIES WERE ALSO CENSURED DUE TO THE NEW NASD RULES WHICH DID NOT PERMIT FINES WITHOUT CENSURES.

## End of Report



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