

## BrokerCheck Report

**Joseph McGivney Jr**

CRD# 1218586

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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).

**Joseph McGivney Jr**

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

### Registration History

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

- B EDWARD JONES**  
CRD# 250  
Juno Beach, FL  
07/2021 - 11/2024
- B VALIC FINANCIAL ADVISORS, INC.**  
CRD# 42803  
BOCA RATON, FL  
11/2019 - 07/2021
- B AMERICAN CENTURY INVESTMENT SERVICES INC.**  
CRD# 17437  
KANSAS CITY, MO  
02/2009 - 06/2018

### 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	4

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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 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, 3 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	05/27/1993
<b>B</b> Registered Options Principal Examination	Series 4	12/19/1985
<b>B</b> Financial and Operations Principal Examination	Series 27	09/21/1985

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	06/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	10/06/1993
<b>B</b> General Securities Representative Examination	Series 7	05/14/1993

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	02/05/2020
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	05/24/1993

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>B</b> 07/2021 - 11/2024	EDWARD JONES	250	Juno Beach, FL
<b>B</b> 11/2019 - 07/2021	VALIC FINANCIAL ADVISORS, INC.	42803	BOCA RATON, FL
<b>B</b> 02/2009 - 06/2018	AMERICAN CENTURY INVESTMENT SERVICES INC.	17437	KANSAS CITY, MO
<b>B</b> 01/2007 - 02/2009	JACKSON NATIONAL LIFE DISTRIBUTORS LLC	40178	FRANKLIN, TN
<b>B</b> 09/2006 - 09/2006	JACKSON NATIONAL LIFE DISTRIBUTORS LLC	40178	FRANKLIN, TN
<b>B</b> 02/1997 - 08/2006	AIG SUNAMERICA CAPITAL SERVICES, INC.	13158	JERSEY CITY, NJ
<b>B</b> 08/1993 - 12/1995	MADISON SECURITIES, INC.	32176	CHICAGO, IL
<b>B</b> 11/1988 - 02/1989	DRAKE & COMPANY INVESTMENT SERVICES, INC.	10148	
<b>B</b> 12/1983 - 09/1988	JOSEPH P. MCGIVNEY AND ASSOCIATES, INC.	2725	

### 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
07/2021 - Present	EDWARD JONES	FINANCIAL ADVISOR	Y	ST LOUIS, MO, United States
11/2019 - 07/2021	VALIC FINANCIAL ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
05/2018 - 11/2019	UNEMPLOYED	UNEMPLOYED	N	UNEMPLOYED, Other



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2009 - 05/2018	AMERICAN CENTURY INVESTMENT SERVICES, INC.	VP TERRITORY SALES	Y	KANSAS CITY, MO, 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.

No information reported.



## 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	4	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 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FLORIDA
<b>Sanction(s) Sought:</b>	Cease and Desist
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	08/31/1988
<b>Docket/Case Number:</b>	871-&-4/88
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	N/A
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled
<b>Resolution Date:</b>	03/04/1990
<b>Regulator Statement</b>	ON AUGUST 24, 1988, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE, DIVISION OF



SECURITIES AND INVESTOR PROTECTION ISSUED AN ORDER TO CEASE AND DESIST, ADMINISTRATIVE CHARGES AND COMPLAINT AND NOTICE OF RIGHTS AGAINST JOSEPH P. MCGIVENY, JR., THE ORDER WAS FOR ALL RESPONDENTS TO CEASE AND DESIST FROM FURTHER AND FUTURE VIOLATIONS OF CHAPTER 517, FLORIDA STATUTES AND THAT IT WAS THE DEPARTMENT'S INTENT TO REVOKE RESPONDENTS REGISTRATIONS AS A SECURITIES BROKER/DEALER AND AS ASSOCIATED PERSONS IN THE STATE OF FLORIDA. THE ORDER ALSO NOTIFIED RESPONDENTS OF THE DEPARTMENT'S INTENT TO IMPOSE FINES BASED UPON VIOLATIONS OF CHAPTER 517, FLORIDA STATUTES. VIOLATIONS NOTED WERE: SALES OF SECURITIES FROM AN UNREGISTERED BRANCH OFFICE IN THE STATE OF FLORIDA, FAILURE TO AMEND BROKER DEALER FORM TO INDICATE CHANGES THAT HAD BEEN DONE, NUMEROUS BOOKS AND RECORDS VIOLATIONS, INADEQUATE SUPERVISORY PROCEDURES, AND VARIOUS PROHIBITED BUSINESS PRACTICES. RESPONDENTS WERE GIVEN PROPER SERVICE OF THE ORDER AND GIVEN NOTICE OF RIGHTS. DOCKET/CASE NO. 871-S-4/88, DATED AUGUST 24, 1988. ON MARCH 28, 1990 THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ENTERED INTO A STIPULATION AND AGREEMENT TO FINAL ORDER WITH RESPONDENT JOSEPH P. MCGIVNEY, JR. RESPONDENTS CONSENTED TO THE ALLEGATIONS IN THE COMPLAINT ISSUED AUGUST 24, 1988. RESPONDENT JOSEPH P. MCGIVNEY & ASSOCIATES, INC. AGREED TO DISCONTINUE ITS BROKER DEALER ACTIVITIES IN FLORIDA AND WITHDRAW ITS FLORIDA REGISTRATION AS A BROKER DEALER. RESPONDENT JOSEPH P. MCGIVNEY, JR. DIVESTED HIMSELF OF ALL OWNERSHIP IN DRAKE SECU\*SEE FAQ #1\*

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**Reporting Source:** Firm

**Regulatory Action Initiated By:** FLORIDA

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 08/31/1988



**Docket/Case Number:** 871-&-4/88

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 03/04/1990

**Firm Statement** MR. MCGIVNEY JR. AND THE BROKER DEALER ARE THE SUBJECT OF AN ADMINISTRATIVE COMPLAINT AND PROCEEDING BY THE STATE OF FLORIDA RELATED TO ALLEGED BOOKKEEPING VIOLATIONS AND FAILURE TO HAVE CERTAIN PRINCIPALS REGISTERED. THIS PROCEEDING IS IN THE PROCESS OF BEING SETTLED WITHOUT ORDER, PENALTY OR PREJUDICE UPON THE CESSATION OF ACTIVITIES BY THE BROKER DEALER IN THE STATE OF FLORIDA.

**Reporting Source:** Broker

**Regulatory Action Initiated By:** STATE OF FLORIDA DEPT. OF BANKING AND FINANCE DIV. \*See FAQ #1\*

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 08/31/1988

**Docket/Case Number:** 871-&-4/88

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** AS PRES. OF JOSEPH P. MCGIVACY &



ASSOCIATES, INC. (BD); 2 TRADES PERFORMED PRIOR TO THE DATE OF REG'N OF LOCAL OFFICE; FORM BD NOT AMENDED TO DELETE B/O AS DEJ; FAILURE TO NOTIFY OF CHANGE OF B/O MANAGER; ORDERS NOT MARKED "GTC", AGENT, SOLICITED OR UNSOLICITED, DISCRETIONARY OR NOT, OR REVIEWED BY A PRINCIPAL.

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 03/04/1990

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** J.P. MCGIVACY, JR. AGREED NOT TO BE A CONTROL PERSON IN ANY SECURITIES COMPANY IN THE STATE OF FLORIDA FOR TWO (2) YEARS FROM THE DATE OF THE SIGNING OF THE STIMULATION AND AGREEMENT.

**Broker Statement** Not Provided

#### Disclosure 2 of 4

**Reporting Source:** Regulator

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

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/05/1995

**Docket/Case Number:** C8A950037

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

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



**Resolution Date:** 08/21/1996

**Sanctions Ordered:** Censure  
Monetary/Fine \$7,500.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement**

COMPLAINT NO. C8A950037 FILED JULY 5, 1995 BY DISTRICT NO. 8 AGAINST RESPONDENT MADISON FINANCIAL GROUP, INC., JOSEPH P. MCGIVNEY, JR., AND ROBERT J. LARSON ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS MCGIVNEY AND LARSON, FAILED TO COMPLY WITH SEC RULES 15c3-1 IN THAT IT USED THE MAILS OR OTHER MEANS OR INSTRUMENTALITIES OF INTERSTATE COMMERCE TO EFFECT TRANSACTIONS IN SECURITIES WHEN IT FAILED TO MAINTAIN ITS MINIMUM REQUIRED NET CAPITAL; AND, FAILED TO COMPLY WITH THE TERMS OF ITS RESTRICTIVE AGREEMENT WHEN RESPONDENT MEMBER PARTICIPATED IN A FIRM COMMITMENT UNDERWRITING.

ON AUGUST 21, 1996, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS MCGIVNEY AND LARSON WAS ISSUED; THEREFORE, RESPONDENT MCGIVNEY IS CENSURED AND FINED \$7,500 AND RESPONDENT LARSON IS CENSURED AND FINED \$1,000.

\*\*\$7,500.00 FULLY PAID AS OF 8/25/97[INTEREST-\$378.71], INVOICE # 96-8A-680\*\*

**Reporting Source:** Firm

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/05/1995

**Docket/Case Number:** C8A950037



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

**Product Type:**

**Other Product Type(s):**

**Allegations:** ALLEGED INTRA-DAY NET CAPITAL VIOLATION BY FIRM ALLEGED FAILURE TO COMPLY WITH THE TERMS OF THE FIRM'S RESTRICTIVE AGREEMENT

**Current Status:** Final

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

**Resolution Date:** 08/21/1996

**Sanctions Ordered:** Censure  
Monetary/Fine \$7,500.00

**Other Sanctions Ordered:**

**Sanction Details:** Not Provided

**Firm Statement** Not Provided

**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/05/1995

**Docket/Case Number:** C8A950037

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** FAILURE OF MEMBER TO COMPLY WITH SEC RULE 15C 3-1 AND FAILURE TO COMPLY WITH TERMS OF RESTRICTIVE AGREEMENT



<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Resolution Date:</b>	08/21/1996
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$7,500.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, CONSENTED TO THE ENTRY OF FINDINGS OF FACTS AND VIOLATIONS BY RESPONDENTS OF RULE 2110 OF THE ASSOCIATIONS RULES. RECEIVED A CENSURE & A FINE OF \$7500.
<b>Broker Statement</b>	COMPLAINT RESULTED FROM AN ALLEGED ONE DAY NET CAPITAL VIOLATION CAUSED BY THE FIRM'S PARTICIPATION IN A FIRM COMITTMENT UNDERWRITING. I SERVED AS PRESIDENT OF THE FIRM AT THE TIME AND RELIED ON THE OPINION OF THE FIRM'S FINANCIAL & OPERATIONS PRINCIPAL THAT THE FIRM WOULD BE INCOMPLIANCE WITH SEC RULE 15 C 3-1 AND IT'S RESTRICTIVE AGREEMENT.

#### Disclosure 3 of 4

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	MICHIGAN DEPT. OF COMMERCE, CORPORATION AND SECURITIES BUREAU
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/04/1994
<b>Docket/Case Number:</b>	SN 3113
<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>	ENGAGED IN ONE TRANSACTION IN THE STATE WHICH HAVE BEEN AN EXEMPT TRANSACTION EXCEPT FOR THE EXISTENCE OF MICHIGAN CASE NO. 9078, DECISION WHICH PROVIDED THAT EXEMPTIONS





INT HE ACT WERE DENIED TO SELL EXEMPT SECURITIES OR ENGAGE, IN EXEMPT TRANSACTION WITHOUT REGISTRATION.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	02/04/1994
<b>Sanctions Ordered:</b>	Cease and Desist/Injunction Censure
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	CSNSURE, CEASE NAD DESIST ORDER AND UNDERSTANDING NOT TO APPLY FOR REGISTRATION IN MICHIGAN FOR FIVE YEARS.
<b>Broker Statement</b>	I MISUNDERSTOOD THE EFFECT OF NO. 9078 AND THOUGHT THAT I COULD EFFECT ON EXEMPT TRANSACTION AS LONG AS MY TRANSACTION WAS IN COMPLIANCE WITH MICHIGAN LAW, INSTEAD I LEARNED THAT THE STATE RELIEVED NO. 9078 AS PROVIDING, THAT NO EXEMPT TRANSACTION WAS AVAILABEL TO ME EVEN IF THE PRIVATE PALCEMENT OF ONE \$5,000 NOTE, IF DONE BY ANOTHER PERSON, WOULD HAVE BEEN AN EXEMPT TRANSACTION.

#### Disclosure 4 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	MI
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	06/26/1991
<b>Docket/Case Number:</b>	BD 9078
<b>Employing firm when activity occurred which led to the regulatory action:</b>	JP INDUSTRIES INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	OMMISSION OF MATERIAL FACTS IN CONNECTION



WITH THE OFFER AND SALE OF SECURITIES; TRANSACTED BUSINESS IN MICHIGAN AS A BROKER DEALER WHILE UNREGISTERED; EMPLOYED UNREGISTERED AGENTS.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 06/26/1991

**Sanctions Ordered:** Cease and Desist/Injunction  
Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** CEASE AND DESIST ORDER ISSUED; REVOCATION OF REGISTRATIONS.

**Regulator Statement** CEASE AND DESIST ORDER ISSUED; REVOCATION OF BD REGISTRATIONS.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** MICHIGAN DEPARTMENT OF COMMERCE, CORPORATION AND SE\*See FAQ #1\*

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 06/26/1991

**Docket/Case Number:** BD 9078

**Employing firm when activity occurred which led to the regulatory action:** JP INDUSTRIES INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** AS PRES. OF JP INDUSTRIES, INC.; OFFER AND SALE OF UNREG'D SECURITIES; OMITTING MATERIAL FACTS IN OFFER AND SALE OF SECURITIES; NOT REG'D AS A BD IN MI: EMPLOYING UNREG'D AGENTS

**Current Status:** Final

**Resolution:** Order



<b>Resolution Date:</b>	06/26/1991
<b>Sanctions Ordered:</b>	Cease and Desist/Injunction Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	J.P. MCGIVNEY, JR. MUST COMPLY WITH THE REGISTRATION PROVISIONS OF THE MICHIGAN UNIFORM SECURITIES ACT IN SELLING EXEMPT SECURITIES OR ENGAGING IN EXEMPT TRANSACTIONS: CEASE AND DESIST FROM VIOLATING THE ACT.
<b>Broker Statement</b>	Not Provided

## End of Report



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