

## BrokerCheck Report

### Kevin C. Haarberg

CRD# 1276082

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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).

## Kevin C. Haarberg

CRD# 1276082

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

**IA** EDWARD JONES

173 COURT STREET  
WOODLAND, CA 95695  
CRD# 250

Registered with this firm since: 10/02/2006

**B** EDWARD JONES

173 COURT STREET  
WOODLAND, CA 95695  
CRD# 250

Registered with this firm since: 06/20/1984

## 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:**

- 4 Self-Regulatory Organizations
- 32 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

No information reported.

### 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
Customer Dispute	2

## 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 4 SROs and is licensed in 32 U.S. states and territories through his or her employer.**

#### Employment 1 of 1

Firm Name: **EDWARD JONES**

Main Office Address: **12555 MANCHESTER ROAD  
ST. LOUIS, MO 63131-3710**

Firm CRD#: **250**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	06/20/1984
B FINRA	General Securities Principal	Approved	06/25/2014
B NYSE American LLC	General Securities Representative	Approved	09/13/2011
B NYSE American LLC	General Securities Principal	Approved	06/25/2014
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Principal	Approved	06/25/2014
B New York Stock Exchange	General Securities Representative	Approved	06/21/1984
B New York Stock Exchange	General Securities Principal	Approved	06/25/2014

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	10/02/2003
B Arkansas	Agent	Approved	03/29/2022
B California	Agent	Approved	02/25/1988
IA California	Investment Adviser Representative	Approved	10/02/2006
B Colorado	Agent	Approved	01/06/1987

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Delaware	Agent	Approved	06/23/2025
B District of Columbia	Agent	Approved	12/18/2023
B Florida	Agent	Approved	04/15/2016
B Hawaii	Agent	Approved	02/22/2002
B Idaho	Agent	Approved	03/21/2001
B Kansas	Agent	Approved	11/09/2022
B Kentucky	Agent	Approved	08/27/2013
B Maryland	Agent	Approved	03/01/2021
B Michigan	Agent	Approved	08/25/2014
B Minnesota	Agent	Approved	08/11/1992
B Missouri	Agent	Approved	06/24/1999
B Montana	Agent	Approved	10/30/2012
B Nebraska	Agent	Approved	01/17/2024
B Nevada	Agent	Approved	02/17/1995
B New Jersey	Agent	Approved	01/03/2023
B New York	Agent	Approved	04/16/2025
B North Carolina	Agent	Approved	07/05/2007
B Oklahoma	Agent	Approved	08/20/1984
B Oregon	Agent	Approved	02/22/1995
B South Carolina	Agent	Approved	07/16/2013
B South Dakota	Agent	Approved	03/06/1987

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Tennessee	Agent	Approved	08/10/2018
B Texas	Agent	Approved	05/16/2002
IA Texas	Investment Adviser Representative	Approved	08/19/2014
B Utah	Agent	Approved	04/24/2018
B Virginia	Agent	Approved	12/19/2005
B Washington	Agent	Approved	10/20/1993
B Wisconsin	Agent	Approved	04/02/2018
B Wyoming	Agent	Approved	10/10/2022

### Branch Office Locations

**EDWARD JONES**  
 173 COURT STREET  
 WOODLAND, CA 95695

## 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, 2 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	06/25/2014

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	06/16/1984

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/13/1984

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 **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>

# Registration and Employment History



## Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
No information reported.			

## 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
01/1984 - Present	EDWARD D. JONES & CO., L.P.	OTHER - REP TRAINEE	Y	WOODLAND, 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.

KJK LLP

Type of business: REAL ESTATE INVESTMENT

LITTLETON, CO

Start date: 9/1/2009

PARTNER

Hours per week: 0

Hours during trading: 0

PASSIVE INVESTOR

Rental Property

Type of business: real estate

Woodland, CA

Start date: 5/1/1999

Owner

Hours per week: 0

Hours during trading: 0

Make monthly payments to lender.

## Registration and Employment History



### Other Business Activities, continued

Turn of the Century

Type of business: real estate

Woodland, CA

Start date: 1/1/1998

Investor/Partner

Hours per week: 0

Hours during trading: 0

Passive investor in a real estate development partnership.

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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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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
Customer Dispute	0	2	N/A



## 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.

### Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

#### Disclosure 1 of 2

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** EDWARD JONES  
**Allegations:** CLIENTS STATE THAT AROUND SEPTEMBER 2000, ACCOUNT VALUE BEGAN TO DROP, BUT IR ASSURED THEM THAT THEY SHOULD HOLD ONTO THEIR INVESTMENTS. CLIENTS ALLEGE THAT ON SEPTEMBER 11, 2001, THEY MET WITH IR TO DISCUSS STOPPING THEIR LOSSES. THEY CLAIM THEY ASKED THAT IR PUT STOP LOSS ORDERS ON THEIR INVESTMENTS, BUT IR TOLD THEM THAT WAS ONLY DONE FOR DAY TRADERS. CLIENTS STATE THAT THIS INACTION ON PART OF IR CAUSED THE ACCOUNT TO DROP BY APPROXIMATELY \$168,584 SINCE AUGUST OF 2000. CLIENTS ALSO CLAIM THE ACCOUNT HAS BEEN MISMANGED AND UNSUITABLY TRADED GIVEN THEIR FINANCIAL SITUATION AND STATUS.  
**Product Type:** Other  
**Alleged Damages:** \$168,584.00

### Customer Complaint Information

**Date Complaint Received:** 04/16/2003  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 07/28/2003

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

IR STATED THAT HE EXPLAINED TO THE CLIENTS THAT USING SYSTEMATIC WITHDRAWAL FROM MUTUAL FUNDS WAS COULD BE AN OPTION FOR PAYING OFF THEIR PURCHASE IF THE AMOUNT OF WITHDRAWAL IS REASONABLE. IR SUGGESTED AMERICAN FUNDS IF THE CLIENTS WERE INTERESTED IN DOING THIS AND THEY WERE PROVIDED WITH A PROSPECTUS AND HISTORICAL INFO SHOWING HOW THE SYSTEMATIC W/D WORKS. IR STATED THAT HE DID NOT TELL CLIENTS THAT STOP LOSS ORDERS WERE ONLY AVAILABLE FOR DAY TRADERS. DID EXPLAIN, HOWEVER, THAT JONES BELIEVES IN LONG TERM APPROACH TO INVESTING AND THIS TYPE OF TRADING DOES NOT FIT THE JONES APPROACH TO REACHING LONG TERM GOALS. INVESTMENTS DID APPEAR UNSUITABLE. IR STATED THAT CLIENT DID COME TO HIM WITH INVESTMENTS THAT IR DID NOT MENTION SO CLIENT WAS EDUCATING HIMSELF REGARDING INVESTMENTS. IR ALSO STATED THAT HE HAD A PORTFOLIO REVIEW IN 9/0 AND MENTIONED TO CLIENT THAT THEY WERE HEAVILY WEIGHTED IN AGGRESSIVE INVESTMENTS. CLIENTS DID NOT MAKE ANY CHANGES AT THAT TIME. CLAIM DENIED

**Disclosure 2 of 2****Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** EDWARD JONES**Allegations:** THE CLIENT STATES ON 2/18/00, BEFORE THE OPENING, THEY LEFT A MESSAGE FOR MR. HAARBERG TO PURCHASED 600 SHARES OF CYRD. THE CLIENT STATES MR. HAARBERG CALLED HER LATER IN THE DAY WITH A CURRENT QUOTE AND INFORMED HER HE COULD NOT FOLLOW THE STOCK, AT WHICH TIME, SHE INSTRUCTED HIM TO MAKE THE PURCHASE AT THE MARKET. THE CLIENT STATES THE IR LATER INFORMED HER THAT HE HAD PUT THE ORDER IN TO FILL AT 7 1/4 AND IT DID NOT FILL. THE CLIENT STATES THE STOCK HAD INCREASED TO \$17 1/4 AND THEY HAD LOST PROFITS IN EXCESS OF \$6,000.**Product Type:** Equity - OTC**Alleged Damages:** \$6,000.00**Customer Complaint Information**



<b>Date Complaint Received:</b>	03/01/2000
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	04/17/2000
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	THE CUSTOMER WAS ADVISED THAT THE IR CLAIMS HE DISCUSSED THE ORDER WITH THE CUSTOMER AND INDICATED HE WOULD OBTAIN A CURRENT PRICE FOR THE STOCK. THE PRICE WAS 7 1/4 AND THE IR CLAIMS WHEN HE CONTACTED THE CUSTOMER HE ASKED IF SHE WANTED HIM TO PLACE AN ORDER AT THAT PRICE. HE CLAIMS THE CUSTOMER AGREED THE ORDER SHOULD BE PLACED AT 7 1/4 AND SHE DID NOT TELL HIM TO PLACE A MARKET ORDER. THE IR INDICATED A MARKET ORDER WAS NOT PLACED SO THEY COULD AVOID THE ORDER FILLING AT A MUCH HIGHER PRICE. OUR POSITION IS THE IR DID FOLLOW THE CUSTOMER'S INSTRUCTION WITH THE ORDER AND HER CLAIM IS DENIED.

## End of Report



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