

BrokerCheck Report

RONALD ALLAN SIRT

CRD# 1289440

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

RONALD A. SIRT

CRD# 1289440

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:

- 6 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** **WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
CHICAGO, IL
01/2012 - 07/2025
- B** **LEUMI INVESTMENT SERVICES INC.**
CRD# 105387
HIGHLAND PARK, IL
07/2011 - 01/2012
- B** **HOWE BARNES HOEFER & ARNETT, INC.**
CRD# 2240
CHICAGO, IL
04/2004 - 05/2011

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

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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Principal Examination	Series 24	02/27/2014
B NYSE Branch Manager Examination	Series 12	07/24/2003
B Municipal Securities Principal Examination	Series 53	07/02/1996
B Registered Options Principal Examination	Series 4	08/16/1994

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	01/29/2004
B General Securities Representative Examination	Series 7	09/15/1984

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/23/2004
B Uniform Securities Agent State Law Examination	Series 63	11/09/1984

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/.

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 01/2012 - 07/2025	WELLS FARGO CLEARING SERVICES, LLC	19616	CHICAGO, IL
B 07/2011 - 01/2012	LEUMI INVESTMENT SERVICES INC.	105387	HIGHLAND PARK, IL
B 04/2004 - 05/2011	HOWE BARNES HOEFER & ARNETT, INC.	2240	CHICAGO, IL
B 07/2003 - 04/2004	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL
B 08/2000 - 02/2003	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL
B 06/2000 - 10/2000	INVESTORS BROKERAGE SERVICES, INC.	4257	ELGIN, IL
B 11/1991 - 05/2000	CITICORP INVESTMENT SERVICES	23988	LONG ISLAND CITY, NY
B 02/1989 - 04/1993	FINANCIAL HORIZONS SECURITIES CORPORATION	20221	
B 10/1986 - 02/1989	COWEN & CO.	1541	NEW YORK, NY
B 09/1984 - 10/1986	FREEHLING & CO.	1906	

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, United States
01/2001 - Present	FINRA	ARBITRATOR	Y	CHICAGO, IL, United States
01/2012 - 11/2016	WELLS FARGO ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, United States



Registration and Employment History

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.

CHICAGO RABBINICAL COUNCIL; NOT INV RELATED; CHICAGO, IL; MEMBER OF THE CHEVRA KADISHA; PARTICIPATE AS A MEMBER OF A TEAM IN THE TAHARA RITUAL TO ENSURE PROPER BURIAL OF JEWISH DECEASED; START 1/1/2001; THREE HOURS DEVOTED PER MONTH; NONE DURING TRADING OR BUSINESS HOURS.

FINRA, INV RELATED, CHICAGO, IL, ARBITRATOR; 1/31/2012, .5 HOURS PER MONTH, .5 HOURS DURING TRADING, PARTICIPATING IN INDUSTRY ARBITRATIONS.

EXECUTOR/ADMINISTRATOR FOR UNCLE'S ESTATE; INV. RELATED; SKOKIE, IL; START 8/31/2018; 10 HRS PER MONTH; 0 HRS DURING TRADING.

RENTAL PROPERTY; INVESTMENT RELATED; WHEELING, IL; 100% OWNERSHIP; START 4/15/2019; NUMBER OF HOURS PER MONTH 0; NUMBER OF HOURS DURING TRADING 0. COLLECT RENT FROM MY SISTER.

RENTAL PROPERTY, INV RELATED, MUNDELEIN, IL, 100% OWNERSHIP, START 12/24/2019, 1 HOUR PER MONTH, ZERO DURING TRADING.

23525 W. BRIAR TERRACE, LLC, INVT RELATED, ANTIOCH, IL, 50% OWNERSHIP, START DATE 10/28/2021, 1 HR PER MONTH, 0 HRS DURING TRADING, RENTAL PROPERTY.

RENTAL PROPERTY, INVT RELATED, ANTIOCH, IL, 50% OWNERSHIP, START DATE 11/1/2021, 1 HR PER MONTH, 0 HRS DURING TRADING, COLLECT RENT.

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

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	01/30/2014
Docket/Case Number:	2008012367903
Employing firm when activity occurred which led to the regulatory action:	HOWES BARNES HOEFER & ARNETT, INC.
Product Type:	No Product
Allegations:	NASD RULES 2110, 3010, MSRB RULE G-27: SIRT WAS A SUPERVISOR IN HIS MEMBER FIRM'S PRIVATE CLIENT SERVICES (PCS) GROUP. IN THAT CAPACITY, SIRT WAS RESPONSIBLE FOR SUPERVISING FIXED INCOME TRANSACTIONS. SOME FIRM CUSTOMERS OF THE PCS GROUP PAID EXCESSIVE MARKUPS ON CERTAIN FIXED INCOME TRANSACTIONS. IN CONNECTION WITH THOSE TRANSACTIONS, SIRT FAILED TO DETECT THE EXCESSIVE MARK-UPS AND FAILED TO REASONABLY ENFORCE THE FIRM'S PROCEDURES RELATED TO FAIR PRICING.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/30/2014
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s) Requalification
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Requalification 1 of 1

Requalification Type:	Requalification by Exam
Length of time given to requalify:	WITHIN 60 DAYS OF THE DATE OF FINRA'S NOTICE OF ACCEPTANCE OF THE AWC
Type of exam required :	S24
Has condition been satisfied:	Yes

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$30,000.00**Portion Levied against individual:** \$30,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 02/21/2014**Was any portion of penalty waived?** No**Amount Waived:**

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, SIRT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS CENSURED, FINED \$30,000 (\$15,000 OF WHICH PERTAINS TO THE VIOLATIONS OF MSRB RULE G-27), AND REQUIRED TO REQUALIFY FOR THE SERIES 24 LICENSE WITHIN 60 DAYS OF THE DATE OF FINRA'S NOTICE OF ACCEPTANCE OF THE AWC.

Reporting Source: Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Other: N/A**Date Initiated:** 01/30/2014**Docket/Case Number:** [2008012367903](#)**Employing firm when activity occurred which led to the regulatory action:** HOWES BARNES HOEFER & ARNETT, INC.**Product Type:** No Product

Allegations: DURING A REVIEW OF HOWE BARNES ("HOWE") (SIRT'S FORMER EMPLOYER) OPERATIONS, FINRA CONCLUDED THAT SOME OF HOWE'S CUSTOMERS (IN THE RETAIL GROUP OF WHICH SIRT WAS AN OVERALL SUPERVISOR) PAID EXCESSIVE MARK-UPS ON CERTAIN FIXED INCOME TRANSACTIONS. SIRT CONSENTED TO A FINDING THAT HE FAILED TO



DETECT THE EXCESSIVE MARK-UPS AND ENFORCE HOWE'S PROCEDURES RELATED TO OVERALL FAIR PRICING. HE CONSENTED TO A FINDING THAT THIS VIOLATED MSRB RULE G-27 AND NASD RULES 2110 AND 3010.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 01/30/2014

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)
Requalification

Requalification 1 of 1

Requalification Type: Requalification by Exam

Length of time given to requalify: WITHIN 60 DAYS OF THE DATE OF FINRA'S NOTICE OF ACCEPTANCE OF THE AWC

Type of exam required : S24

Has condition been satisfied: Yes

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$30,000.00

Portion Levied against individual: \$30,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 02/21/2014

Was any portion of penalty waived? No

Amount Waived:



Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, SIRT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS CENSURED, FINED \$30,000 (\$15,000 OF WHICH PERTAINS TO THE VIOLATIONS OF MSRB RULE G-27), AND REQUIRED TO REQUALIFY FOR THE SERIES 24 LICENSE WITHIN 60 DAYS OF THE DATE OF FINRA'S NOTICE OF ACCEPTANCE OF THE AWC.

End of Report



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