

BrokerCheck Report

KEVIN JOHN O'FRIEL

CRD# 1338823

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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:
 - o 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
 - o 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.

KEVIN J. O'FRIEL

CRD# 1338823

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

- B ALPS DISTRIBUTORS, INC.**
 115 Broadway, 5th Floor
 New York, NY 10006
 CRD# 16853
 Registered with this firm since: 04/07/2022

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:

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

Registration History

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

- IA NEUBERGER BERMAN BD LLC**
 CRD# 2908
 NEW YORK, NY
 02/2008 - 12/2021
- B NEUBERGER BERMAN BD LLC**
 CRD# 2908
 NEW YORK, NY
 02/2008 - 12/2021
- IA FIRST MONTAUK SECURITIES CORP.**
 CRD# 13755
 RED BANK, NJ
 12/2006 - 01/2008

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? **No**



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: **ALPS DISTRIBUTORS, INC.**

Main Office Address: **1290 BROADWAY
SUITE 1000
DENVER, CO 80203**

Firm CRD#: **16853**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	04/07/2022
B	FINRA	General Securities Representative	Approved	04/07/2022
B	FINRA	General Securities Sales Supervisor	Approved	04/07/2022
B	FINRA	Compliance Officer	Approved	05/02/2022

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	04/07/2022
B	New York	Agent	Approved	04/07/2022

Branch Office Locations

ALPS DISTRIBUTORS, INC.
115 Broadway, 5th Floor
New York, NY 10006



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 7 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	03/27/2024
B Registered Options Principal Examination	Series 4	03/27/2024
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 Compliance Officer Examination	Series 14	09/21/2005
B General Securities Principal Examination	Series 24	02/20/1997
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	09/20/1990

General Industry/Product Exams

Exam	Category	Date
B Direct Participation Programs Representative Examination	Series 22TO	03/27/2024
B Municipal Securities Representative Examination	Series 52TO	03/27/2024
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	04/23/1991
B General Securities Representative Examination	Series 7	03/18/1989

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/01/1993

Broker Qualifications



Industry Exams this Broker has Passed, continued State Securities Law Exams Continued

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/24/1992

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 02/2008 - 12/2021	NEUBERGER BERMAN BD LLC	2908	NEW YORK, NY
IA 02/2008 - 12/2021	NEUBERGER BERMAN BD LLC	2908	NEW YORK, NY
B 12/2006 - 01/2008	FIRST MONTAUK SECURITIES CORP.	13755	RED BANK, NJ
IA 12/2006 - 01/2008	FIRST MONTAUK SECURITIES CORP.	13755	RED BANK, NJ
IA 07/2004 - 11/2006	NEUBERGER BERMAN, LLC	2908	NEW YORK, NY
B 07/2004 - 11/2006	NEUBERGER BERMAN, LLC	2908	NEW YORK, NY
B 01/2003 - 07/2004	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
B 05/2000 - 01/2003	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY
B 02/1997 - 05/2000	STANFORD GROUP COMPANY	39285	HOUSTON, TX
B 03/1989 - 01/1997	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY

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
04/2022 - Present	ALPS Distributors, Inc.	Registered Representative	Y	Denver, CO, United States
01/2022 - Present	Goehring & Rozencwajg Associates, LLC	COO/CCO	Y	New York, NY, United States
01/2008 - 12/2021	NEUBERGER BERMAN, LLC	BUSINESS CONTROL MANAGER	Y	NEW YORK, NY, 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.

Goehring & Rozencwajg Associates, LLC; Investment-Related; 115 Broadway, 5th Fl, New York, NY 10006; Investment Adviser; COO/CCO; Oversee Compliance and Operations; 01/2022; 160 HRS/MON; 130 HRS/MON During Trading Hours.

End of Report



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