

BrokerCheck Report

JEFFREY COLLINS KINDER

CRD# 1442891

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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



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.

JEFFREY C. KINDER

CRD# 1442891

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:

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

Registration History

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

- B HUNTLEIGH SECURITIES CORPORATION**
CRD# 7456
ST. LOUIS, MO
11/1994 - 07/2017
- B STIFEL, NICOLAUS & COMPANY, INCORPORATED**
CRD# 793
ST. LOUIS, MO
11/1988 - 11/1994
- B ROWLAND, SIMON & CO.**
CRD# 21666
02/1988 - 11/1988

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
Customer Dispute	1
Termination	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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	07/10/2017
B General Securities Representative Examination	Series 7	01/18/1986

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/15/2016
B Uniform Securities Agent State Law Examination	Series 63	01/28/1986

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 11/1994 - 07/2017	HUNTLEIGH SECURITIES CORPORATION	7456	ST. LOUIS, MO
B 11/1988 - 11/1994	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	ST. LOUIS, MO
B 02/1988 - 11/1988	ROWLAND, SIMON & CO.	21666	
B 01/1986 - 02/1988	R. ROWLAND & CO., INCORPORATED	911	

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
10/1994 - Present	HUNTLEIGH SECURITIES CORPORATION	NOT PROVIDED	Y	ST. LOUIS, 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.

MISSOURI STATE HIGH SCHOOL ACTIVITIES ASSOCIATION; NON-INVESTMENT RELATED; BASKETBALL OFFICIAL; 12 HOURS PER WEEK DURING BASKETBALL SEASON

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
Customer Dispute	0	1	N/A
Termination	N/A	1	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.

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:	01/26/2018
Docket/Case Number:	2015043587601
Employing firm when activity occurred which led to the regulatory action:	Huntleigh Securities Corporation
Product Type:	Mutual Fund Unit Investment Trust
Allegations:	Without admitting or denying the findings, Kinder consented to the sanctions and to the entry of findings that he unsuitably recommended that five customers, including three senior investors, engage in mutual-fund switching and short-term trading of UITs. The findings stated that Kinder routinely recommended that these customers purchase UITs and then sell them well before their maturity dates. The majority of the UITs that Kinder recommended had maturity dates of at least 24 months. Nevertheless, Kinder repeatedly recommended that his customers sell their UIT positions less than a year after purchase often in as little as two to four months - and that they use the proceeds from these short-term sales to purchase other UITs with additional sales charges. Likewise, Kinder recommended that



these customers purchase Class A-share mutual funds, liquidate those positions in less than 12 months, and then use the proceeds to purchase shares of other front-loaded funds. Kinder's recommendations caused the customers to incur more than \$98,000 in excessive sales charges, and were unsuitable in view of the frequency and cost of the transactions. Kinder willfully failed to amend his Form U4 to disclose multiple outstanding liens and judgments against him. Kinder signed and submitted to his member firm an annual compliance attestation in which he stated that he had reviewed his Form U4 and found all information to be accurate and up to date.

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:

01/26/2018

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Other: Kinder understands that this settlement includes a finding, that he willfully omitted to state a material fact on a Form U4, and that under Section 3(a)(39)(F) of the Securities Exchange Act of 1934 and Article 111, Section 4 of FINRA's By-Laws, this omission makes him subject to a statutory disqualification with respect to association with a member.

Kinder submitted a sworn financial statement and demonstrated a limited ability to pay. Kinder's limited ability to pay was considered in connection with the monetary sanctions imposed in this matter. In light of Kinder's financial status, the sanction does not include disgorgement.

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?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	15 months
Start Date:	02/05/2018
End Date:	05/04/2019

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$20,000.00
Portion Levied against individual:	\$20,000.00
Payment Plan:	deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

Amount Waived:



Reporting Source:	Firm
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	01/26/2018
Docket/Case Number:	2015043587601
Employing firm when activity occurred which led to the regulatory action:	Huntleigh Securities Corporation
Product Type:	Mutual Fund Unit Investment Trust
Allegations:	Without admitting or denying the findings, Kinder consented to the sanctions and to the entry of findings that he unsuitably recommended that five customers, including three senior investors, engage in mutual-fund switching and short-term trading of UITs. The findings stated that Kinder routinely recommended that these customers purchase UITs and then sell them well before their maturity dates. The majority of the UITs that Kinder recommended had maturity dates of at least 24 months. Nevertheless, Kinder repeatedly recommended that his customers sell their UIT positions less than a year after purchase often in as little as two to four months - and that they use the proceeds from these short-term sales to purchase other UITs with additional sales charges. Likewise, Kinder recommended that these customers purchase Class A-share mutual funds, liquidate those positions in less than 12 months, and then use the proceeds to purchase shares of other front-loaded funds. Kinder's recommendations caused the customers to incur more than \$98,000 in excessive sales charges, and were unsuitable in view of the frequency and cost of the transactions. Kinder willfully failed to amend his Form U4 to disclose multiple outstanding liens and judgments against him. Kinder signed and submitted to his member firm an annual compliance attestation in which he stated that he had reviewed his Form U4 and found all information to be accurate and up to date.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	01/26/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: Kinder understands that this settlement includes a finding, that he willfully



omitted to state a material fact on a Form U4, and that under Section 3(a)(39)(F) of the Securities Exchange Act of 1934 and Article 111, Section 4 of FINRA's By-Laws, this omission makes him subject to a statutory disqualification with respect to association with a member. Kinder submitted a sworn financial statement and demonstrated a limited ability to pay. Kinder's limited ability to pay was considered in connection with the monetary sanctions imposed in this matter. In light of Kinder's financial status, the sanction does not include disgorgement.

No

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?

(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?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	15 months
Start Date:	02/05/2018
End Date:	05/04/2019

**Monetary Sanction 1 of 1**

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

Total Amount: \$20,000.00

Portion Levied against individual: \$20,000.00

Payment Plan: deferred

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Firm Statement

OTHER THAN THIS AWC, MR. KINDER HAS NOT BEEN THE SUBJECT OF ANY OTHER DISCIPLINARY ACTION DURING HIS 31-YEAR CAREER IN THE SECURITIES INDUSTRY. THE AWC DOES NOT INCLUDE ANY FINDINGS CONCERNING CUSTOMER COMPLAINTS, AND THE UIT COMPONENT OF THE AWC, IN PART, RELATES TO A SERIES OF SIMILAR PREVIOUS ACTIONS TAKEN BY THE SELF-REGULATORY ORGANIZATION AGAINST MORE THAN A DOZEN OF ITS MEMBER FIRMS. MR. KINDER VOLUNTARILY RESIGNED AND VOLUNTARILY SURRENDERED HIS FINRA FIRM ASSOCIATION WELL-BEFORE THE AWC WAS ISSUED. MR. KINDER SUCESSFULLY SOUGHT REGISTRATION AS AN INVESTMENT ADVISER REPRESENTATIVE IN EARLY 2017, AND REMAINS REGISTERED TO PROVIDE INVESTMENT ADVICE TO INVESTORS THROUGH AN SEC-COVERED ADVISORY FIRM.



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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	HUNTLEIGH SECURITIES CORPORATION
Allegations:	CLIENT ALLEGES THAT THEIR ACCOUNT WAS POORLY MANAGED AND THAT ONE INVESTMENT WAS MISREPRESENTED AS TO ITS RISK. INVESTMENT WAS PURCHASED ON 7/30/04 AND THE ACCOUNT WAS TRANSFERRED OUT ON 9/3/08.
Product Type:	Debt-Corporate
Alleged Damages:	\$80,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/29/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	10/01/2010
Settlement Amount:	
Individual Contribution Amount:	

Broker Statement	THE COMPANY WHICH ISSUED THE BONDS IN QUESTION HAS FILED BANKRUPTCY. THE CLIENT COMPLAINED ABOUT THE POTENTIAL LOSS OF HIS PRINCIPAL. IT IS OUR UNDERSTANDING THAT THE BANKRUPTCY TRUSTEE AND CREDITORS' COMMITTEE ARE WORKING ON A LIQUIDATION PLAN TO PROVIDE SOME FORM OF PAYMENT TO BONDHOLDERS.
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Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	Huntleigh Securities Corporation
Termination Type:	Voluntary Resignation
Termination Date:	06/30/2017
Allegations:	A Wells notice was received from FINRA regarding the RR's potential violations of FINRA rules.
Product Type:	Mutual Fund Unit Investment Trust
Firm Statement	FINRA's investigation is pending.

End of Report



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