

BrokerCheck Report

JOHN DEENE RAUSCH

CRD# 1587767

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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.



JOHN D. RAUSCH
CRD# 1587767

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
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration History

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

- B** **UVEST FINANCIAL SERVICES GROUP, INC.**
CRD# 13787
GRAND LEDGE, MI
06/2001 - 04/2009
- B** **CUNA BROKERAGE SERVICES, INC.**
CRD# 13941
WAVERLY, IA
01/1996 - 05/2001
- B** **MARINER FINANCIAL SERVICES, INC.**
CRD# 8292
LARGO, FL
12/1994 - 01/1996

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	03/21/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/01/1987

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2001 - 04/2009	UVEST FINANCIAL SERVICES GROUP, INC.	13787	GRAND LEDGE, MI
B 01/1996 - 05/2001	CUNA BROKERAGE SERVICES, INC.	13941	WAVERLY, IA
B 12/1994 - 01/1996	MARINER FINANCIAL SERVICES, INC.	8292	LARGO, FL
B 05/1992 - 12/1994	INVEST FINANCIAL CORPORATION	12984	APPLETON, WI
B 03/1992 - 05/1992	FRANKLIN FINANCIAL SERVICES CORPORATION	5435	HOUSTON, TX
B 09/1989 - 03/1990	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 03/1987 - 10/1989	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, 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
06/2001 - Present	UVEST INVESTMENT SERVICES	FINANCIAL REPRESENTATIVE	Y	CHARLOTTE, NC, United States

Disclosure Events



What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	1	0



Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	04/15/2011
Docket/Case Number:	2009017918001
Employing firm when activity occurred which led to the regulatory action:	UVEST FINANCIAL SERVICES GROUP, INC.
Product Type:	Insurance
Allegations:	FINRA RULES 2010, 8210, NASD RULES 2110, 3030, INTERPRETATIVE MATERIAL 1000-1 - JOHN RAUSCH WILLFULLY FAILED TO TIMELY UPDATE HIS FORM U4 WITH MATERIAL INFORMATION. RAUSCH WAS APPROVED BY HIS MEMBER FIRM FOR, AND ENGAGED IN, SPECIFIC OUTSIDE BUSINESS ACTIVITIES AND SUBMITTED AN OUTSIDE BUSINESS ACTIVITY FORM TO HIS FIRM INDICATING THAT HE WAS STILL ENGAGED IN THESE ACTIVITIES. AFTER RAUSCH'S MEMBER FIRM ISSUED HIM A LETTER TO CEASE AND DESIST FROM USING DIRECT SELLING AGREEMENTS WITH FIXED INSURANCE COMPANIES, DIRECTED HIM TO SIGN THE LETTER INSTRUCTING HIM TO CEASE AND DESIST THIS ACTIVITY AND TO SUBMIT ALL FUTURE BUSINESS, WHETHER FIXED OR VARIABLE, TO THE FIRM FOR REVIEW AND APPROVAL, RAUSCH CONTINUED TO ENGAGE IN UNAPPROVED OUTSIDE BUSINESS ACTIVITIES WITHOUT PROVIDING WRITTEN NOTICE OR SUBMITTING FOR REVIEW AND APPROVAL TO HIS FIRM, HIS MULTIPLE SALES OF FIXED INSURANCE PRODUCTS. RAUSCH EARNED APPROXIMATELY \$138,500 FROM HIS OUTSIDE SALES OF FIXED INSURANCE PRODUCTS. RAUSCH COMPLETED AN ANNUAL COMPLIANCE QUESTIONNAIRE IN WHICH HE DID NOT DISCLOSE THESE SALES OR COMPENSATION RECEIVED. RAUSCH FAILED TO COOPERATE WITH HIS



FIRM'S EFFORTS TO LEARN THE EXTENT OF HIS OUTSIDE BUSINESS ACTIVITIES BY REFUSING TO COMPLY WITH THE FIRM'S WRITTEN REQUEST FOR INFORMATION. RAUSCH COMPLETED AND SIGNED A FIRM ANNUAL COMPLIANCE QUESTIONNAIRE ON WHICH HE FALSELY REPLIED THAT HE HAD NO TAX LIENS OR OUTSIDE BUSINESS ACTIVITIES TO REPORT. RAUSCH FAILED TO TIMELY RESPOND, AND TO RESPOND COMPLETELY, TO FINRA REQUESTS FOR INFORMATION AND DOCUMENTS. RAUSCH FAILED TO APPEAR FOR A FINRA ON-THE-RECORD INTERVIEW.

Current Status:	Final
Resolution:	Decision
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:	06/27/2012
Sanctions Ordered:	Bar (Permanent) Monetary Penalty other than Fines
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: Bar (Permanent)

Capacities Affected: All Capacities

Duration: Indefinite

Start Date: 06/27/2012

End Date:

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$750.00

Portion Levied against individual: \$750.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement HEARING PANEL DECISION RENDERED MAY 10, 2012 WHEREIN RAUSCH IS



BARRED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY AND ORDERED TO PAY COSTS OF \$750. IN LIGHT OF THE BAR, NO ADDITIONAL SANCTION IS IMPOSED FOR HIS WILLFUL FAILURE TO TIMELY AMEND HIS FORM U4. DECISION IS FINAL JUNE 27, 2012.

End of Report



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