

BrokerCheck Report

EDWARD LEE BRACKEN

CRD# 1810980

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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.](http://www.finra.org)



EDWARD L. BRACKEN
CRD# 1810980

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** **GLENFED BROKERAGE SERVICES**
CRD# 13648
GLENDALE, CA
10/1996 - 03/1997
- B** **PRESIDENTIAL BROKERAGE, INC.**
CRD# 28784
AUSTIN, TX
10/1995 - 03/1996
- B** **A. G. EDWARDS & SONS, INC.**
CRD# 4
ST. LOUIS, MO
10/1993 - 10/1995

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	3

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	03/19/1988

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/01/1988

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 10/1996 - 03/1997	GLENFED BROKERAGE SERVICES	13648	GLENDAL, CA
B 10/1995 - 03/1996	PRESIDENTIAL BROKERAGE, INC.	28784	AUSTIN, TX
B 10/1993 - 10/1995	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
B 12/1991 - 10/1993	COHIG & ASSOCIATES, INC.	16184	ENGLEWOOD, CO
B 11/1990 - 12/1991	CHATFIELD DEAN & CO., INC.	14714	GREENWOOD VILLAGE, CO
B 03/1988 - 11/1990	THE STUART-JAMES COMPANY, INCORPORATED	11691	DENVER, CO

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
No information reported.				

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	3	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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	CALIFORNIA
Sanction(s) Sought:	Cease and Desist
Date Initiated:	12/01/2014
Docket/Case Number:	11698
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Equity Listed (Common & Preferred Stock)
Allegations:	FAILURE TO DISCLOSE MATERIAL INFORMATION REGARDING CRIMINAL HISTORY AND OTHER REGULATORY ACTIONS.
Current Status:	Final
Resolution:	Order
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:	12/01/2014
Sanctions Ordered:	Cease and Desist



Disclosure 2 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: TEXAS

Sanction(s) Sought: Cease and Desist

Date Initiated: 07/05/2011

Docket/Case Number: ENF-11-CDO-1704

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action:

Product Type: Promissory Note

Allegations: RESPONDENTS OFFERED SECURITIES FOR SALE IN TEXAS AT A TIME WHEN NEITHER THE RESPONDENTS NOR THE SECURITY WERE REGISTERED WITH THE SECURITIES COMMISSIONER. RESPONDENTS ENGAGED IN FRAUD IN CONNECTION WITH THE SALE OF A SECURITY IN TEXAS AND THROUGH AN OFFER CONTAINING A STATEMENT THAT IS MATERIALLY MISLEADING OR LIKELY TO DECEIVE THE PUBLIC.

Current Status: Final

Limitation Details: ORDER IN FULL FORCE AND EFFECT UNLESS AND UNTIL RULED OTHERWISE IN COURT

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 10/11/2011

Sanctions Ordered: Cease and Desist

Disclosure 3 of 3

Reporting Source: Regulator



Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/28/2001
Docket/Case Number:	FILE NO. 3-10603
Employing firm when activity occurred which led to the regulatory action:	COHIG & ASSOCIATES, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	<p>SEC ADMINISTRATIVE PROCEEDING, RELEASE NO. 44877 DATED SEPTEMBER 28, 2001 DISCLOSES: THE SECURITIES AND EXCHANGE COMMISSION ISSUED AN ORDER INSTITUTING ADMINISTRATIVE PROCEEDINGS</p> <p>PURSUANT TO SECTIONS 15(B) AND 19(H) OF THE SECURITIES EXCHANGE ACT OF 1934 ("ORDER") AGAINST EDWARD BRACKEN ("BRACKEN"), FORMERLY EMPLOYED AS A REGISTERED REPRESENTATIVE AT A SOLANA BEACH, CALIFORNIA BRANCH OFFICE OF A BROKER-DEALER FIRM BASED IN DENVER, COLORADO.</p>
Current Status:	Final
Resolution:	Order
Resolution Date:	11/20/2001
Sanctions Ordered:	Bar
Other Sanctions Ordered:	
Sanction Details:	RELEASE NO. 34-45084/FILE NO. 3-10603, DATED NOVEMBER 20, 2001 - IT IS HEREBY ORDERED THAT BRACKEN BE, AND HEREBY IS, BARRED FROM ASSOCIATION WITH ANY BROKER OR DEALER.
Regulator Statement	THE DIVISION OF ENFORCEMENT ALLEGES IN THE ORDER THAT ON JANUARY 26, 2000, BRACKEN WAS CONVICTED OF ONE COUNT OF AN INFORMATION CHARGING HIM WITH CONSPIRACY TO COMMIT SECURITIES FRAUD AND WIRE FRAUD. UNITED STATES V. EDWARD BRACKEN [NO. CR-S-97-022-LDG (D. NEV.)]. IN A PLEA AGREEMENT, BRACKEN ADMITTED THAT, WHILE ASSOCIATED WITH COHIG'S OFFICE IN SOLANA BEACH,



CALIFORNIA, HE CONSPIRED WITH OTHERS, INCLUDING THE PRESIDENT OF A COMPANY, TO RECEIVE UNDISCLOSED PAYMENTS IN RETURN FOR SELLING ITS STOCK TO INVESTORS. IN HIS PLEA AGREEMENT, BRACKEN FURTHER ADMITTED THAT HE FAILED TO DISCLOSE THIS EXTRAORDINARY COMPENSATION TO INVESTORS. ON JANUARY 26, 2000, BASED UPON HIS GUILTY PLEA, BRACKEN WAS CONVICTED OF ONE COUNT OF CONSPIRACY TO COMMIT SECURITIES FRAUD AND WIRE FRAUD.

A HEARING WILL BE HELD AT A TIME AND PLACE TO BE SCHEDULED BEFORE AN ADMINISTRATIVE LAW JUDGE TO DETERMINE WHETHER THE ALLEGATIONS CONTAINED IN THE ORDER ARE TRUE, TO PROVIDE BRACKEN AN OPPORTUNITY TO DISPUTE THESE ALLEGATIONS, AND WHAT, IF ANY, SANCTIONS ARE APPROPRIATE IN THE PUBLIC INTEREST AND FOR THE PROTECTION OF INVESTORS AGAINST BRACKEN.

End of Report



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