

BrokerCheck Report
TODD ALLEN NYE
 CRD# 1891536

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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.

**TODD A. NYE**

CRD# 1891536

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

IA MOLONEY SECURITIES ASSET MANAGEMENT LLC
 13537 Barrett Parkway Drive
 #300
 Manchester, MO 63021
 CRD# 282448
 Registered with this firm since: 01/30/2023

B MOLONEY SECURITIES CO., INC.
 13537 BARRETT PARKWAY DRIVE
 #300
 MANCHESTER, MO 63021
 CRD# 38535
 Registered with this firm since: 01/30/2023

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
- 4 U.S. states and territories

This broker has passed:

- 0 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):

- IA AQUILANT ADVISORS**
 CRD# 282953
 ST. LOUIS, MO
 10/2018 - 02/2023
- B CAMBRIDGE INVESTMENT RESEARCH, INC.**
 CRD# 39543
 Town and Country, MO
 10/2018 - 02/2023
- IA INDEPENDENT FINANCIAL GROUP, LLC**
 CRD# 7717
 SAN DIEGO, CA
 12/2015 - 10/2018

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



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 4 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **MOLONEY SECURITIES ASSET MANAGEMENT LLC**

Main Office Address: **13537 BARRETT PARKWAY DRIVE, SUITE 300
MANCHESTER, MO 63021**

Firm CRD#: **282448**

	U.S. State/ Territory	Category	Status	Date
IA	Missouri	Investment Adviser Representative	Approved	03/09/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	01/30/2023

Branch Office Locations

13537 Barrett Parkway Drive
#300
Manchester, MO 63021

Employment 2 of 2

Firm Name: **MOLONEY SECURITIES CO., INC.**

Main Office Address: **13537 BARRETT PARKWAY DRIVE
#300
MANCHESTER, MO 63021**

Firm CRD#: **38535**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/30/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	01/30/2023



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	02/21/2023
B	Missouri	Agent	Approved	03/09/2023
B	New York	Agent	Approved	03/05/2024
B	Texas	Agent	Approved	01/31/2023

Branch Office Locations

MOLONEY SECURITIES CO., INC.
13537 BARRETT PARKWAY DRIVE
#300
MANCHESTER, MO 63021



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, 3 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	10/01/2018
B General Securities Representative Examination	Series 7	11/14/2007
B Investment Company Products/Variable Contracts Representative Examination	Series 6	01/16/1989

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/26/2000
B Uniform Securities Agent State Law Examination	Series 63	04/28/1989

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 **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 10/2018 - 02/2023	AQUILANT ADVISORS	282953	TOWN AND COUNTRY, MO
B 10/2018 - 02/2023	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	Town and Country, MO
IA 12/2015 - 10/2018	INDEPENDENT FINANCIAL GROUP, LLC	7717	Chesterfield, MO
B 11/2015 - 10/2018	INDEPENDENT FINANCIAL GROUP, LLC	7717	Chesterfield, MO
IA 09/2007 - 11/2015	SII INVESTMENTS, INC.	2225	CHESTERFIELD, MO
B 09/2007 - 11/2015	SII INVESTMENTS, INC.	2225	CHESTERFIELD, MO
IA 06/2001 - 09/2007	IPI ASSET MANAGEMENT, INC.	111872	CHESTERFIELD, MO
B 02/2001 - 09/2007	INVESTMENT PLANNERS, INC.	18557	CHESTERFIELD, MO
B 12/2000 - 03/2001	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC
B 09/1998 - 01/2001	FORTIS INVESTORS, INC.	421	OAKDALE, MN
B 07/1997 - 08/1998	PRINCOR FINANCIAL SERVICES CORPORATION	1137	DES MOINES, IA
B 01/1993 - 07/1997	FORTIS INVESTORS, INC.	421	OAKDALE, MN
B 01/1989 - 01/1993	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 01/1989 - 01/1993	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY

Employment History



Registration and Employment History

Employment History, continued

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
01/2023 - Present	Moloney Securities Asset Management	Registered Agent	Y	Manchester, MO, United States
01/2023 - Present	Moloney Securities Co., Inc	Registered Representative	Y	Manchester, MO, United States
01/1993 - Present	NYE AND ASSOCIATES	AGENT - AGENT	N	GROVER, MO, United States
10/2018 - 01/2023	Cambridge Investment Research Inc.	Registered Representative	Y	Fairfield, IA, United States
10/2013 - 01/2023	Aquilant Advisors	Investment Advisor Representative	Y	St. Louis, MO, United States
11/2015 - 10/2018	Independent Financial Group, LLC	Financial Advisor	Y	Chesterfield, MO, United States
09/2007 - 11/2015	SII INVESTMENTS, INC.	INVESTMENT REP/IAR REPRESENTATIVE	Y	CHESTERFIELD, 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.

DBA - TODD NYE, NYE IPI. SECURITIES OFFERED THROUGH MOLONEY SECURITIES CO., INC. CONDUCTED DURING ALL TRADING HOURS.

INSURANCE. VARIABLE/FIXED ANNUITY BUSINESS. INDEPENDENT INSURANCE AGENT FOR VARIOUS INSURANCE COMPANIES. INVESTMENT RELATED. 10 HRS PER MONTH. NOT CONDUCTED DURING TRADING HOURS.

S.A.E. ADVISORY BOARD - 24 EAST STEWART, COLUMBIA, MO. BOARD MEMBER. PROVIDE GENERAL NON-INVESTMENT ADVISORY SERVICES. NOT INVESTMENT RELATED.

SALVATION ARMY ADVISORY BOARD - BOARD MEMBER. CONDUCTED 1 HR PER MONTH DURING TRADING HOURS. NOT INVESTMENT RELATED.

Registration and Employment History



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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	
Date Initiated:	08/09/2001
Docket/Case Number:	C04010031
Employing firm when activity occurred which led to the regulatory action:	INVESTMENT PLANNERS, INC.
Product Type:	
Allegations:	NASD RULES 2110, 3030, AND 3040 - RESPONDENT PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS AND OUTSIDE BUSINESS ACTIVITIES WITHOUT HIS MEMBER FIRM'S KNOWLEDGE OR CONSENT.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	04/12/2002
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Suspension

**Regulator Statement**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, NYE CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS SUSPENDED FROM ANY NASD MEMBER IN ANY CAPACITY FOR SIX MONTHS, FINED \$5,000 AND DISGORGEMENT OF COMMISSIONS IN THE AMOUNT OF \$106,516.00. SECOND CAUSE OF COMPLAINT IS DISMISSED. SUSPENSION EFFECTIVE WITH THE OPENING OF BUSINESS ON MAY 6, 2002 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON NOVEMBER 5, 2002. FINES PAID 05/29/2002.

Reporting Source: Firm

Regulatory Action Initiated By: NASDR

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: \$5000 FINE AND DISGORGE \$106,516 IN COMMISSIONS EARNED

Date Initiated: 10/24/2000

Docket/Case Number: C04010031

Employing firm when activity occurred which led to the regulatory action: PRINCOR FINANCIAL SERVICES CORP

Product Type: Other

Other Product Type(s): PRIVATE SECURITIES TRANSACTIONS

Allegations: PARTICIPATION IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PROVIDING PRIOR WRITTEN NOTICE TO AND RECEIVING APPROVAL FROM, HIS MEMBER FIRM.

Current Status: Final

Resolution: Settled

Resolution Date: 05/06/2002

Sanctions Ordered: Disgorgement/Restitution
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENDED FROM ASSOCIATION WITH NASD MEMBER FOR 6 MONTHS BEGINNING MAY 6, 2002; FINE OF \$5,000; AND REQUIRED TO DISGORGE \$106,516 IN COMMISSIONS EARNED.



Firm Statement NOT KNOWN

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought: RULE 2110
NOT GIVING MY EMPLOYER MEMBER FIRM WRITTEN NOTICE OF OUTSIDE BUSINESS ACTIVITY.POSSIBLE CONDUCT RULES 3030,3040

Date Initiated: 08/09/2001

Docket/Case Number: C04010031

Employing firm when activity occurred which led to the regulatory action: INVESTMENT PLANNERS, INC.

Product Type: Other

Other Product Type(s): PROMISSORY NOTE

Allegations: NASD RULES 2110, 3030,3040-RESPONDANT PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS AND OUTSIDE BUSINESS ACTIVITIES WITHOUT HIS MEMBER FIRMS KNOWLEDGE AND CONSENT.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 04/12/2002

Sanctions Ordered: Disgorgement/Restitution
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENDED FROM ANY NASD MEMBER IN ANY CAPACITY FOR 6 MONTHS, FINED \$5000.00 AND DISGORGEMENT OF COMMISSIONS IN THE AMOUNT OF \$106,516.00. SECOND CAUSE OF COMPLAINT IS DISMISSED. SUSPENSION IS EFFECTIVE WITH OPENING OF BUSINESS ON 5/6/2002 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON 11/5/2002.

End of Report



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