

BrokerCheck Report

GLENNON JAMES COLE

CRD# 1999588

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.



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)

Thank you for using FINRA BrokerCheck.

GLENNON J. COLE

CRD# 1999588

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
- 1 State Securities Law Exam

Registration History

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

- B** **MOLONEY SECURITIES CO., INC.**
CRD# 38535
MANCHESTER, MO
09/2012 - 02/2021
- B** **FIRST BROKERAGE AMERICA, L.L.C.**
CRD# 43431
HERMAN, MO
05/2006 - 09/2012
- B** **HUNTLEIGH SECURITIES CORPORATION**
CRD# 7456
ST. LOUIS, MO
09/2003 - 11/2004

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
Criminal	1
Customer Dispute	6
Termination	1
Judgment/Lien	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 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.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

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	10/21/1989

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/01/1989

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 **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 09/2012 - 02/2021	MOLONEY SECURITIES CO., INC.	38535	MANCHESTER, MO
B 05/2006 - 09/2012	FIRST BROKERAGE AMERICA, L.L.C.	43431	HERMAN, MO
B 09/2003 - 11/2004	HUNTLEIGH SECURITIES CORPORATION	7456	ST. LOUIS, MO
B 01/2003 - 10/2003	SUMMIT BROKERAGE SERVICES, INC.	34643	BOCA RATON, FL
B 11/2000 - 01/2003	UBS PAINWEBBER INC.	8174	WEEHAWKEN, NJ
B 10/1989 - 12/2000	EDWARD JONES	250	ST. LOUIS, MO

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
09/2012 - Present	MOLONEY SECURITIES CO., INC.	REGISTERED REPRESENTATIVE	Y	MANCHESTER, MO, United States
08/2005 - 09/2012	FIRST BROKERAGE AMERICA, LLC	INVESTMENT SPECIALIST	Y	CLAYTON, 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.

RENTAL PROPERTIES - 732 PENNSYLVANIA A & B / 2139 HICKORY / PART-OWNER OF 9737 TESSON FERRY. INVESTMENT RELATED. NO TIME DURING TRADING HOURS.



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Criminal	0	1	0
Customer Dispute	2	4	N/A
Termination	N/A	1	N/A
Judgment/Lien	1	N/A	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Firm
Formal Charges were brought in:	State Court
Name of Court:	State of Missouri - St. Charles Circuit Div
Location of Court:	State of Missouri - St. Charles Circuit Div
Docket/Case #:	1911-CR02505-01
Charge Date:	06/25/2019
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Harassment; Threatening Dissemination of Images
No of Counts:	2
Felony or Misdemeanor:	Felony
Plea for each charge:	Guilty plea to suspended imposition of sentence; dismissed/ n/a
Disposition of charge:	suspended imposition of sentence; personal, non-securities and non-customer related domestic matter
Current Status:	Final
Status Date:	08/20/2020
Disposition Date:	08/20/2020



Sentence/Penalty: Suspended imposition of sentence, 5 year probation, 8/20/2020-8/20/2025

Firm Statement On advice of representative's defense counsel, representative entered a guilty plea but later sought to withdraw the same, though was denied. The court issued a suspended imposition of sentence, which does not constitute a conviction in Missouri.

Reporting Source: Broker

Formal Charges were brought in: State Court

Name of Court: State of Missouri - St. Charles Circuit Div

Location of Court: State of Missouri - St. Charles Circuit Div

Docket/Case #: 1911-CR02505-01

Charge Date: 06/25/2019

Charge(s) 1 of 1

Formal Charge(s)/Description: Harassment; Threatening Dissemination of Images

No of Counts: 2

Felony or Misdemeanor: Felony

Plea for each charge: Suspended; dismissed/ n/a

Disposition of charge: suspended imposition of sentence; personal, non-securities and non-customer related domestic matter

Current Status: Final

Status Date: 08/20/2020

Disposition Date: 08/20/2020

Sentence/Penalty: Suspended imposition of sentence, 5 year probation, 8/20/2020-8/20/2025

Broker Statement On advice of representative's defense counsel, representative entered a guilty plea but later sought to withdraw the same, though was denied. The court issued a suspended imposition of sentence, which does not constitute a conviction in Missouri.



Customer Dispute - Settled

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

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS PAINWEBBER INC.
Allegations:	CUSTOMER ALLEGES THAT HIS BROKER MADE UNAUTHORIZED TRADES. CUSTOMER ALSO CLAIMS THAT HE ADVISED THE BROKER NOT TO USE MARGIN BUT THAT SUBSEQUENT TRADES WERE MADE ON MARGIN. TIME PERIOD: 2001 - 2002.
Product Type:	Equity - OTC
Alleged Damages:	\$35,000.00
Customer Complaint Information	
Date Complaint Received:	05/17/2002
Complaint Pending?	No
Status:	Settled
Status Date:	10/25/2002
Settlement Amount:	\$4,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	BROKER DENIES ALLEGATIONS. AGREED TO SETTLEMENT FOR BUSINESS REASONS.



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 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FIRST BROKERAGE AMERICA, LLC

Allegations: CLIENT SAID WE ADVISED HER TO SELL A FIXED ANNUITY WITHOUT EXPLAINING THE PENALTY AND TAX ISSUES.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$5,778.00

Customer Complaint Information

Date Complaint Received: 04/14/2009

Complaint Pending? No

Status: Denied

Status Date: 04/27/2009

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLIENT ALLEGES THAT THE BROKER FAILED TO FOLLOW HIS INSTRUCTIONS TO SELL STOCK. TIME PERIOD: APRIL 2002.

Product Type: Equity-OTC

Alleged Damages: \$6,800.00

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: 01/17/2003

Complaint Pending? No

Status: Denied

Status Date: 02/10/2003

Settlement Amount:

**Individual Contribution
Amount:**

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** US PAINWEBBER INC

Allegations: CLIENT ALLEGES THAT THE BROKER FAILED TO FOLLIW HIS
INSTRUCTIONS TO SELL STOCK. TIME PERIOD: APRIL 2002

Product Type: Equity - OTC

Alleged Damages: \$6,800.00

Customer Complaint Information

Date Complaint Received: 01/17/2003

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 3 of 3

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLIENT ALLEGES FA PURCHASED SEVERAL STOCKS IN CLIENT'S ACCOUNT WITHOUT CLIENT'S PERMISSION. DAMAGES ESTIMATED TO EXCEED \$5000. TIME PERIOD: JANUARY 2001- MAY 2001

Product Type: Equity - OTC

Alleged Damages: \$11,822.00

Customer Complaint Information

Date Complaint Received: 06/27/2001

Complaint Pending? No

Status: Denied

Status Date: 05/21/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement I COMPLETELY DENY CUSTOMERS'S ALLEGATIONS OF PLACING ORDERS IN HIS ACCOUNT WITHOUT FIRST DISCUSSING THOSE ORDERS WITH HIM.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Moloney Securities Co., Inc.
Allegations:	Suitability
Product Type:	Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	\$400,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-00921
Filing date of arbitration/CFTC reparation or civil litigation:	04/08/2021

Customer Complaint Information

Date Complaint Received:	04/14/2021
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	Broker denies allegations

Disclosure 2 of 2



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: THE SON OF THE CLIENT STATES IT IS HIS UNDERSTANDING THAT ONLY MRTGAGE BACKED SECURITIES WITH THE ESTATE FEATURE WERE TO BE PURCHASED BY THE CLIENT. THE SON STATES 7 OF THE 20 SECURITIES PURCHASED DO NOT HAVE THE ESTATE FEATURE. THE SON REQUEST THAT ALL OF THE SECURITIES BE REDEEMED AT FACE VALUE.

Product Type: Debt - Asset Backed

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 05/19/2000

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:



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:	Moloney Securities Co., Inc.
Termination Type:	Discharged
Termination Date:	02/08/2021
Allegations:	FINRA disqualification as defined in section 3(a)(39) of the Securities Exchange Act of 1934
Product Type:	No Product
Firm Statement	On advice of representative's defense counsel, representative entered a felony guilty plea but later sought to withdraw the same, though was denied. The court issued a suspended imposition of sentence, which does not constitute a conviction in Missouri.



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$30,000.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/12/2012
Date Individual Learned:	12/12/2012
Type of Court:	Settlement
Name of Court:	na
Location of Court:	na
Docket/Case #:	na
Judgment/Lien Outstanding?	Yes

Broker Statement

This lien was a settlement amount from Case #359 in St Louis, Missouri. Original amount of \$304590 (Amount in another outstanding disclosure letter)

In all, Amounts went from \$304,590 originally, rep tried to reduce to 68,003.97 but after hearings was settled at \$30,000 with ongoing payment schedule.

End of Report



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