

BrokerCheck Report

ANTHONY WAYNE NEWKIRK

CRD# 2314821

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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.

ANTHONY W. NEWKIRK

CRD# 2314821

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 WELLS FARGO INVESTMENTS, LLC

CRD# 10582
SAN FRANCISCO, CA
08/2001 - 09/2001

B BRENTON INVESTMENTS, INC.

CRD# 29462
PLYMOUTH, MN
01/1999 - 08/2001

B BIRCHTREE FINANCIAL SERVICES, INC.

CRD# 15014
MINNEAPOLIS, MN
02/1997 - 12/1998

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 |
| Criminal | 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 | 02/12/1993 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
| B Uniform Securities Agent State Law Examination | Series 63 | 02/17/1993 |

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 08/2001 - 09/2001 | WELLS FARGO INVESTMENTS, LLC | 10582 | SAN FRANCISCO, CA |
| B 01/1999 - 08/2001 | BRENTON INVESTMENTS, INC. | 29462 | PLYMOUTH, MN |
| B 02/1997 - 12/1998 | BIRCHTREE FINANCIAL SERVICES, INC. | 15014 | MINNEAPOLIS, MN |
| B 06/1995 - 01/1997 | DICKINSON & CO. | 689 | DES MOINES, IA |
| B 02/1993 - 10/1993 | DICKINSON & CO. | 689 | DES MOINES, IA |

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 |
|-------------------|-----------------------------|----------------------|--------------------|-------------------------------|
| 08/2001 - Present | WELLS FARGO INVESTMENTS LLC | FINANCIAL CONSULTANT | Y | DES MOINES, IA, United States |
| 11/1998 - Present | BRENTON INVESTMENTS, INC. | NOT PROVIDED | Y | CLIVE, IA, 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 |
| Criminal | 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: IOWA SECURITIES BUREAU

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/30/1998

Docket/Case Number: C96-01-270

Employing firm when activity occurred which led to the regulatory action: DICKINSON & CO., INC.

Product Type:

Other Product Type(s):

Allegations: THE IOWA SECURITIES BUREAU ALLEGED THAT ANTHONY WAYNE NEWKIRK ("NEWKIRK") ENGAGED IN UNSUITABLE TRADES, MADE DECEPTIVE SALES PRESENTATIONS, PARTICIPATED IN A BOILER ROOM OPERATION, MADE MISREPRESENTATIONS AND OMISSIONS, AND COMMITTED FRAUD WHILE EMPLOYED AT THE DICKINSON & CO., INC. DES MOINES BRANCH OFFICE.

Current Status: Final

Resolution: Consent

Resolution Date: 03/30/1998

Sanctions Ordered: Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

**Sanction Details:**

NEWKIRK CONSENTED, WITHOUT ADMITTING OR DENYING LIABILITY, TO A TWENTY (20) DAY SUSPENSION OF HIS SECURITIES AGENT LICENSE BASED ON THE ALLEGATIONS IN THE ORDER. NEWKIRK SHALL BEGIN HIS TWENTY DAY SUSPENSION PRIOR TO SEPTEMBER 1, 1998. NEWKIRK MAY BEGIN HIS TWENTY DAY SUSPENSION PRIOR TO SEPTEMBER 1, 1998 WITH A FIFTEEN DAY NOTICE TO THE IOWA SECURITIES BUREAU THAT NEWKIRK INTENDS TO COMMENCE HIS SUSPENSION. NEWKIRK ALSO AGREES TO PAY IN THE AMOUNT OF \$2,500 PURSUANT TO A PAYMENT PLAN.

Regulator Statement

CONTACT: ROBERT KOPPIN, ENFORCEMENT ATTORNEY,
515-281-4441

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF IOWA

Sanction(s) Sought: Other

Other Sanction(s) Sought: ORDER AND CONSENT TO ORDER AGREEMENT

Date Initiated: 03/30/1998

Docket/Case Number: C96-01-270

Employing firm when activity occurred which led to the regulatory action: DICKINSON & CO., INC.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITY OTC

Allegations: ALLEGED VIOLATION OF IOWA CODE SECTIONS 502.401, 502.404, 502.304(1)(G)

Current Status: Final

Resolution: Consent

Resolution Date: 03/30/1998

Sanctions Ordered: Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGED



CHARGES, A FINE OF \$2500 PAYABLE OVER 3 YEARS AND A 20 CALENDAR DAY SUSPENSION OF MY IOWA LICENSE, WHICH CAN BE TAKEN AT ANY TIME OF MY CHOOSING BEFORE 9-1-98.

Broker Statement

I FEEL THE CHARGES ARE WITHOUT MERIT, BUT SETTLED THE MATTER TO AVOID HAZARDS AND EXPENSE OF CONTINUAL LITIGATION.



Criminal - Final Disposition

This type of disclosure event involves a conviction or guilty plea for any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently on appeal.

Disclosure 1 of 1

| | |
|-----------------------------|---|
| Reporting Source: | Broker |
| Court Details: | STATE OF IOWA 47115 |
| Charge Date: | 02/22/1990 |
| Charge Details: | 3RD DEGREE THEFT |
| Felony? | No |
| Current Status: | Final |
| Status Date: | 04/18/1990 |
| Disposition Details: | THERE IS NO RECORD OF THIS AT THE POLK COUNTY CLERK AND THERE WAS NO CONVICTION. THE CHARGE HAS BEEN DISMISSED. |
| Broker Statement | I HAVE PREVIOUSLY SUBMITTED A LETTER STATING THAT THIS CHARGE HAS BEEN DISMISSED FROM MY RECORD. THIS HAS BEEN DISMISSED AND IS NO LONGER REPORTABLE. |

End of Report



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