

BrokerCheck Report

MATTHEW CRAIG QUEEN

CRD# 4136265

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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.

MATTHEW C. QUEEN

CRD# 4136265

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
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B** **MUTUAL SECURITIES, INC.**
CRD# 13092
Overland Park, KS
09/2017 - 12/2024
- B** **CAMBRIDGE INVESTMENT RESEARCH, INC.**
CRD# 39543
OVERLAND PARK, KS
07/2010 - 09/2017
- B** **THE O.N. EQUITY SALES COMPANY**
CRD# 2936
OVERLAND PARK, KS
08/2003 - 07/2010

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	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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. 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	10/10/2000
B Investment Company Products/Variable Contracts Representative Examination	Series 6	03/16/2000

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/27/2004
B Uniform Securities Agent State Law Examination	Series 63	03/20/2000

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 09/2017 - 12/2024	MUTUAL SECURITIES, INC.	13092	Overland Park, KS
B 07/2010 - 09/2017	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	OVERLAND PARK, KS
B 08/2003 - 07/2010	THE O.N. EQUITY SALES COMPANY	2936	OVERLAND PARK, KS
B 09/2000 - 08/2003	EDWARD JONES	250	ST. LOUIS, MO
B 09/2000 - 09/2000	FARMERS FINANCIAL SOLUTIONS, LLC	103863	WESTLAKE VILLAGE, CA
B 03/2000 - 09/2000	INVESTORS BROKERAGE SERVICES, INC.	4257	ELGIN, IL

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
09/2017 - Present	Financial Partners Group, Inc.	Investment Adviser Representative	Y	OVERLAND PARK, KS, United States
09/2017 - Present	MUTUAL SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	CAMARILLO, CA, United States
02/2014 - 09/2017	Cambridge Investment Research Advisors, Inc	Investment Adviser Representative	Y	OVERLAND PARK, KS, United States
07/2010 - 09/2017	CAMBRIDGE INVESTMENT RESEARCH, INC	REG REP	Y	FAIRFIELD, IA, 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.



Registration and Employment History

Other Business Activities, continued

1. FINANCIAL PARTNERS GROUP, CORPORATION, START DATE: 09/15/17, 10925 Antioch, Ste. 100, Overland Park, KS 66210, RIA, INVESTMENT ADVISOR, INVESTMENT RELATED, 120 HOURS PER MONTH, 5 HOURS PER DAY DURING TRADING HOURS.
 2. INDEPENDENT INSURANCE AGENT, SOLE PROPRIETOR, 10925 Antioch, Ste. 100, Overland Park, KS 66210, INSURANCE AGENCY/OWNER, NOT INVESTMENT RELATED, 4 HOURS PER MONTH, 0 HOURS PER DAY DURING TRADING HOURS.
 3. DONALD H CHISHOLM PLANNED GIVING COUNCIL OF CHILDREN'S MERCY HOSPITAL, NON-PROFIT, START DATE: 01/01/13, 2401 GILHAM ROAD, KANSAS CITY, MO 64108, CHILDREN'S HOSPITAL, BOARD MEMBER, NOT INVESTMENT RELATED, 1 HOUR PER MONTH, 0 HOURS PER DAY DURING TRADING HOURS.
 4. MATTHEW QUEEN, JD, SOLE PROPRIETOR, START DATE: 7/10/14, 9027 BIRCH PRAIRIE VILLAGE, KS 66207, ATTORNEY/OWNER, DO NOT HAVE ACTIVE PRACTICE, NOT INVESTMENT RELATED, 0 HOURS PER MONTH, 0 HOURS PER DAY DURING TRADING HOURS.
 5. MCQ Financial Services, LLC., Start Date: 01/23/2020, 10925 Antioch, Ste 100, Overland Park, KS 66210, Advisory, Owner, Accountability of revenue received from FPG Inc RIA and Mutual Securities, Investment Related, 2 hours per month, 0 hours per day during trading hours.
 6. CRAIG FARMS, LLC., START DATE: 03/18/2022, 9027 Birch St., Prairie Village, KS 66207, LLC, Run 3 Family owned Farms in the State of Kansas, Managing Member, Work with other Holders of Interest in the LLC, work with Tenant Farmers, Insurance Companies who insure crops, land, etc, CPA, maintain bank accounts, FSA offices, COOPs and other entities that have need to be contacted concerning Farming operation, Not Investment Related, 5-10 Hours per month, 0 Hours per day during trading hours.
 7. David A Smith Legacy Society Committee fbo Boys and Girls Club of Greater Kansas City, Start Date: 0/04/2022, 4001 Dr Martin Luther King Jr Blvd., Ste. 102, Kansas City, MO 64130, Advisory Committee for the Boys and Girls Club of KC, Non-Profit Advisory Committee for Boys and Girls Club of Kansas City, Committee Member, Committee is to help promote giving to the Boys and Girls Club of Greater Kansas City, Not Investment Related, 1-2 Hours per month, 0 Hours per day during trading hours.
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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.
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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	2	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 2

Reporting Source:	Broker
Regulatory Action Initiated By:	Kansas Insurance Department
Sanction(s) Sought:	Suspension
Date Initiated:	11/09/2020
Docket/Case Number:	953703162-000
Employing firm when activity occurred which led to the regulatory action:	Mutual Securities, Inc.
Product Type:	No Product
Allegations:	The agent missed the deadline to complete his continuing education requirement.
Current Status:	Final
Resolution:	License was reinstated upon completion of CE
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: 10/30/2020

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: Life, Health, Variable Insurance

Duration: 3 days

Start Date: 10/27/2020

End Date: 10/30/2020

Broker Statement

I mistakenly thought that Continuing Education I had taken in 2019 and 2020 had been forwarded to Kansas Insurance Department for satisfaction of my CE requirement. In reviewing my status, I discovered that the CE credits had not been forwarded. I immediately saw that the CE requirement was satisfied and that all the requirements for renewal were received by the KS Ins. Dept. a few days after the renewal date.

On a December 1, 2020 I received a letter from the Kansas Insurance Department, the KS Insurance Department states that there was not any formal administrative action taken by the Department and my license was in a grace period.

Disclosure 2 of 2

Reporting Source: Broker

Regulatory Action Initiated By: KANSAS STATE SUPREME COURT

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: SUSPENSION FROM PRACTICE OF LAW

Date Initiated: 11/04/1999

Docket/Case Number: N/A

Employing firm when activity occurred which led to the regulatory action: STIGALL, HUMPHREY, LUCAS, HENRY, STIGALL & DOLLAR

Product Type: No Product

Other Product Type(s):

Allegations: DUE TO THE KANSAS CONTINUING LEGAL. EDUCATION COMMISSION HAD



NOT BEEN PAID BY THE FIRM. I DID NOT RECEIVE TIMELY NOTICE BECAUSE OF MY FAMILY MOVING AND THE LAW FIRM SENT THE NOTICE TO MY OLD ADDRESS. UPON RECEIVING THE NOTICE, I IMMEDIATELY PAID THE CLE DUES AND WAS REINSTATED.

Current Status:

Final

Resolution:

Other

Resolution Date:

11/18/1999

Sanctions Ordered:

Monetary/Fine \$100.00

Other Sanctions Ordered:**Sanction Details:**

RECEIVE NOTICE OF SUSPENSION TO PRACTICE LAW IN THE STATE OF KANSAS DATED NOV 4, 1999. PAID CONTINUING LEGAL EDUCATION COMMISSION ON NOV 16, 1999, AND ON NOVEMBER 18, 1999 THE SUSPENSION WAS REVOKED ON SANCTION WAS A \$50.00 LATE FEE AND A \$50.00 REINSTATEMENT FEE.

Broker Statement

FINE WAS FOR 50.00 LATE FEE ON PAYMENT OF KANSAS CLE DUES AND 50.00 FOR REINSTATEMENT. PRESENTLY I AM LISTED AS AN ACTIVE NON-PRACTICING ATTORNEY ON THE KANSAS ROLLS.

End of Report



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