

BrokerCheck Report

KEVIN L FIFER

CRD# 4750052

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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.

**KEVIN L. FIFER**

CRD# 4750052

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

IA CAPITAL CITY ASSET MANAGEMENT GROUP, LLC
 Maumee, OH
 CRD# 134008
 Registered with this firm since: 11/12/2019

B CAPITAL CITY SECURITIES, LLC
 3789 ATTUCKS DR
 POWELL, OH 43065
 CRD# 146001
 Registered with this firm since: 08/13/2008

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
- 3 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

IA REGIS ASSET MANAGEMENT LLC
 CRD# 125872
 WESTERVILLE, OH
 01/2016 - 05/2018

IA REGIS ASSET MANAGEMENT LLC
 CRD# 125872
 WESTERVILLE, OH
 08/2006 - 12/2015

B REGIS SECURITIES CORPORATION
 CRD# 103711
 MAUMEE, OH
 03/2004 - 08/2008

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
Customer Dispute	1
Financial	1
Judgment/Lien	9



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

Employment 1 of 2

Firm Name: **CAPITAL CITY ASSET MANAGEMENT GROUP, LLC**

Main Office Address: **3789 ATTUCKS DR
POWELL, OH 43065**

Firm CRD#: **134008**

	U.S. State/ Territory	Category	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	11/12/2019

Branch Office Locations

3789 ATTUCKS DR
POWELL, OH 43065

Maumee, OH

Employment 2 of 2

Firm Name: **CAPITAL CITY SECURITIES, LLC**

Main Office Address: **3789 ATTUCKS DR
POWELL, OH 43065**

Firm CRD#: **146001**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	08/13/2008

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	09/16/2008
B	Michigan	Agent	Approved	08/13/2008
B	Ohio	Agent	Approved	08/13/2008

Branch Office Locations

CAPITAL CITY SECURITIES, LLC
3789 ATTUCKS DR
POWELL, OH 43065



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, 2 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	03/13/2004

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/29/2006
B Uniform Securities Agent State Law Examination	Series 63	04/07/2004

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
IA 01/2016 - 05/2018	REGIS ASSET MANAGEMENT LLC	125872	Maumee, OH
IA 08/2006 - 12/2015	REGIS ASSET MANAGEMENT LLC	125872	WESTERVILLE, OH
B 03/2004 - 08/2008	REGIS SECURITIES CORPORATION	103711	MAUMEE, OH

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
05/2018 - Present	Capital City Asset Management Group, LLC	Investment Advisor Representative	Y	POWELL, OH, United States
08/2008 - Present	CAPITAL CITY SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	COLUMBUS, OH, United States
08/2006 - 05/2018	Regis Asset Management, LLC	Adviser	Y	Maumee, OH, 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.

Self-Employed Health Insurance Agent 7147 Salisbury Rd MaumeeOH 43537. Industry related. Provide and service individual and business health insurance coverage. Started 2003. Approx 12 hours per month, roughly half during stock market 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:**
 - 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.
 -
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
Customer Dispute	0	1	N/A
Financial	1	0	N/A
Judgment/Lien	9	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.

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:	Broker
Regulatory Action Initiated By:	Ohio Dept of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/12/2012
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	146001
Product Type:	No Product
Allegations:	Individual acted as a Third Party Administrator without being licensed.
Current Status:	Final
Resolution:	Consent
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: 07/12/2012

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	REGIS ASSET MANAGEMENT and Capiptal City Securities
Allegations:	Fifer opened a Capital City Securities account with customers in October of 2010 and applied a Regis Asset Management fee agreement at that time. Customer began to direct investments in the account July 2011. Fee agreement was suspended September of 2012. Clients account lost value in 2012-2014 and filed arbitration in 2015.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$32,312.41
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-00301
Filing date of arbitration/CFTC reparation or civil litigation:	02/15/2015

Customer Complaint Information

Date Complaint Received:	02/15/2015
Complaint Pending?	No
Status:	Settled
Status Date:	09/21/2015
Settlement Amount:	\$0.00



Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [15-00301](#)

Date Notice/Process Served: 02/15/2015

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/21/2015

Monetary Compensation Amount: \$32,312.41

Individual Contribution Amount: \$10,770.80

Broker Statement Representative allowed Client to direct investments in account, failed to update New Account Form, award was inconsistent(overstated)with damages, Arbitrator failed to offer explanation, and allow all testimony.
All parties joint and several.



Financial - Pending

This type of disclosure event involves a pending bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Broker

Action Type: Bankruptcy

Bankruptcy: Chapter 13

Action Date: 04/30/2019

Organization Investment-Related?

Type of Court: Federal Court

Name of Court: Northern Ohio

Location of Court: Toledo Ohio

Docket/Case #: 2931365

Action Pending? Yes

Amount Paid: \$467.00

SIPA (Securities Investor Protection Act) Trustee:

Currently Open?

Date Direct Payment Initiated/Filed or Trustee Appointed:

Broker Statement This is caused by a predatory, seller assisted, second mortgage. A balloon payment was due and he won't negotiate.



Judgment / Lien

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

Disclosure 1 of 9

Reporting Source:	Broker
Judgment/Lien Holder:	Unknown
Judgment/Lien Amount:	\$4,496.00
Judgment/Lien Type:	Civil
Date Filed with Court:	09/16/1996
Date Individual Learned:	10/04/2016
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	CVF9611597
Judgment/Lien Outstanding?	Yes
Status Date:	10/24/2016
Resolution:	Satisfied
Broker Statement	Neither Individual nor Broker Dealer can verify this judgement through Clerk of Courts records or any available sources. Answers to questions regarding this judgement are implied through FINRA request for disclosure and cannot be represented by Broker Dealer as accurate or complete.

Disclosure 2 of 9

Reporting Source:	Broker
Judgment/Lien Holder:	Carl B. Mockensturm
Judgment/Lien Amount:	\$80,831.03
Judgment/Lien Type:	Civil
Date Filed with Court:	09/06/2011
Date Individual Learned:	09/06/2011
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas



Location of Court: Toledo, OH

Docket/Case #: G4801 LN 201108548000

Judgment/Lien Outstanding? Yes

Broker Statement On 11/08/2016 Plaintiff Mockensturm filed suit in Lucas County Ohio, Case# G4801 CI 201605029000, to revoke a previous modification of this judgement. If plaintiff prevails in the case filed 11/08/2016, the disclosed judgement is unchanged. This was disclosed to BD 146001 by Fifer 4750052 on 11/11/2016.

Disclosure 3 of 9

Reporting Source: Broker

Judgment/Lien Holder: State of Ohio Dept of Taxation

Judgment/Lien Amount: \$2,024.44

Judgment/Lien Type: Tax

Date Filed with Court: 08/28/2012

Date Individual Learned: 08/28/2012

Type of Court: County Court

Name of Court: Lucas County OH Court of Common Pleas

Location of Court: Toledo, OH

Docket/Case #: G4801 LN 201209129000

Judgment/Lien Outstanding? Yes

Disclosure 4 of 9

Reporting Source: Broker

Judgment/Lien Holder: State of Ohio Dept of Taxation

Judgment/Lien Amount: \$927.15

Judgment/Lien Type: Tax

Date Filed with Court: 04/09/2014

Date Individual Learned: 04/09/2014

Type of Court: County Court

Name of Court: Lucas County OH Court of Common Pleas



Location of Court: Toledo, OH
Docket/Case #: G4801 LN 201403791000
Judgment/Lien Outstanding? Yes

Disclosure 5 of 9

Reporting Source: Broker
Judgment/Lien Holder: State of Ohio Dept of Taxation
Judgment/Lien Amount: \$3,107.18
Judgment/Lien Type: Tax
Date Filed with Court: 05/05/2014
Date Individual Learned: 05/05/2014
Type of Court: County Court
Name of Court: Lucas County OH Court of Common Pleas
Location of Court: Toledo, OH
Docket/Case #: G4801 LN 201404531000
Judgment/Lien Outstanding? Yes

Disclosure 6 of 9

Reporting Source: Broker
Judgment/Lien Holder: State of Ohio Dept of Taxation
Judgment/Lien Amount: \$104.43
Judgment/Lien Type: Tax
Date Filed with Court: 05/05/2014
Date Individual Learned: 05/05/2014
Type of Court: County Court
Name of Court: Lucas County OH Court of Common Pleas
Location of Court: Toledo, OH
Docket/Case #: G4801 LN 201404532000
Judgment/Lien Outstanding? Yes

**Disclosure 7 of 9**

Reporting Source:	Broker
Judgment/Lien Holder:	William & Andrea Stalsworth
Judgment/Lien Amount:	\$25,203.23
Judgment/Lien Type:	Civil
Date Filed with Court:	05/02/2013
Date Individual Learned:	05/03/2013
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G4801 LN 201305706000
Judgment/Lien Outstanding?	Yes

Disclosure 8 of 9

Reporting Source:	Broker
Judgment/Lien Holder:	Blanchard Strabler Funeral Home
Judgment/Lien Amount:	\$4,170.30
Judgment/Lien Type:	Civil
Date Filed with Court:	10/22/2013
Date Individual Learned:	10/22/2013
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G4801 LN 201311606000
Judgment/Lien Outstanding?	Yes

Disclosure 9 of 9



Reporting Source:	Broker
Judgment/Lien Holder:	St Annes Mercy Hospital
Judgment/Lien Amount:	\$4,918.94
Judgment/Lien Type:	Civil
Date Filed with Court:	11/23/2009
Date Individual Learned:	11/30/2012
Type of Court:	County Court
Name of Court:	Lucas County OH Court of Common Pleas
Location of Court:	Toledo, OH
Docket/Case #:	G-4801-LN-200913241-000
Judgment/Lien Outstanding?	Yes

End of Report



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