

BrokerCheck Report

JOSEPH J BLOOM

CRD# 5178051

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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.

JOSEPH J. BLOOM

CRD# 5178051

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

- B** **INVESCO DISTRIBUTORS, INC.**
 3500 LACEY ROAD
 SUITE 700
 DOWNERS GROVE, IL 60515
 CRD# 7369
 Registered with this firm since: 09/11/2015

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
- 52 U.S. states and territories

This broker has passed:

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

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

- B** **FORESIDE FUND SERVICES, LLC**
 CRD# 46106
 LISLE, IL
 05/2013 - 06/2014
- B** **GUGGENHEIM FUNDS DISTRIBUTORS, INC.**
 CRD# 39805
 CHICAGO, IL
 11/2009 - 03/2012

**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 52 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **INVESCO DISTRIBUTORS, INC.**

Main Office Address: **11 GREENWAY PLAZA
SUITE 1000
HOUSTON, TX 77046-1173**

Firm CRD#: **7369**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/11/2015
B	FINRA	General Securities Principal	Approved	12/04/2017

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/18/2015
B	Alaska	Agent	Approved	09/15/2015
B	Arizona	Agent	Approved	10/09/2015
B	Arkansas	Agent	Approved	09/15/2015
B	California	Agent	Approved	09/11/2015
B	Colorado	Agent	Approved	09/17/2015
B	Connecticut	Agent	Approved	09/11/2015
B	District of Columbia	Agent	Approved	09/15/2015
B	Florida	Agent	Approved	09/15/2015
B	Georgia	Agent	Approved	09/18/2015
B	Hawaii	Agent	Approved	09/21/2015

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	09/11/2015
B	Illinois	Agent	Approved	09/14/2015
B	Indiana	Agent	Approved	09/16/2015
B	Iowa	Agent	Approved	09/14/2015
B	Kansas	Agent	Approved	09/17/2015
B	Kentucky	Agent	Approved	09/15/2015
B	Louisiana	Agent	Approved	10/05/2015
B	Maine	Agent	Approved	09/14/2015
B	Maryland	Agent	Approved	09/14/2015
B	Massachusetts	Agent	Approved	09/15/2015
B	Michigan	Agent	Approved	09/14/2015
B	Minnesota	Agent	Approved	09/15/2015
B	Mississippi	Agent	Approved	09/22/2015
B	Missouri	Agent	Approved	09/14/2015
B	Montana	Agent	Approved	09/14/2015
B	Nebraska	Agent	Approved	09/11/2015
B	Nevada	Agent	Approved	09/22/2015
B	New Hampshire	Agent	Approved	09/21/2015
B	New Jersey	Agent	Approved	12/24/2015
B	New Mexico	Agent	Approved	09/17/2015
B	New York	Agent	Approved	10/21/2015

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	09/14/2015
B	North Dakota	Agent	Approved	09/15/2015
B	Ohio	Agent	Approved	09/11/2015
B	Oklahoma	Agent	Approved	09/15/2015
B	Oregon	Agent	Approved	09/14/2015
B	Pennsylvania	Agent	Approved	09/14/2015
B	Puerto Rico	Agent	Approved	09/17/2015
B	Rhode Island	Agent	Approved	09/14/2015
B	South Carolina	Agent	Approved	09/15/2015
B	South Dakota	Agent	Approved	09/15/2015
B	Tennessee	Agent	Approved	05/08/2019
B	Texas	Agent	Approved	09/14/2015
B	Utah	Agent	Approved	09/14/2015
B	Vermont	Agent	Approved	09/16/2015
B	Virgin Islands	Agent	Approved	09/21/2015
B	Virginia	Agent	Approved	09/16/2015
B	Washington	Agent	Approved	09/16/2015
B	West Virginia	Agent	Approved	10/15/2015
B	Wisconsin	Agent	Approved	09/23/2015
B	Wyoming	Agent	Approved	09/15/2015

Broker Qualifications



Employment 1 of 1, continued Branch Office Locations

INVESCO DISTRIBUTORS, INC.
3500 LACEY ROAD
SUITE 700
DOWNERS GROVE, IL 60515



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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	12/04/2017

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/22/2009

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/01/2009

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 05/2013 - 06/2014	FORESIDE FUND SERVICES, LLC	46106	LISLE, IL
B 11/2009 - 03/2012	GUGGENHEIM FUNDS DISTRIBUTORS, INC.	39805	CHICAGO, 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
07/2015 - Present	INVESCO DISTRIBUTORS, INC.	DIRECTOR OF COMMODITIES & ALTERNATIVES PRODUCT STRATEGY	Y	HOUSTON, TX, 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.

No information reported.

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:	Broker
Regulatory Action Initiated By:	FEDERAL AVIATION ADMINISTRATION
Sanction(s) Sought:	Revocation
Date Initiated:	08/11/2008
Docket/Case Number:	2008AC750593
Employing firm when activity occurred which led to the regulatory action:	SELF EMPLOYED - ACTION RELATED TO STUDENT PILOT MEDICAL CERTIFICATE.
Product Type:	No Product
Allegations:	FAA ALLEGED THAT I INCORRECTLY ANSWERED A QUESTION ON MY STUDENT MEDICAL CERTIFICATE APPLICATION REGARDING ADMINISTRATIVE ACTIONS RESULTING FROM DRIVING UNDER THE INFLUENCE OF ALCOHOL.
Current Status:	Final
Resolution:	EMERGENCY ORDER THAT WAS NOT APPEALED AS I HAD ALREADY STOPPED STUDENT PILOT TRAINING DUE TO AIRSICKNESS



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:	08/11/2008
Sanctions Ordered:	Bar (Temporary/Time Limited) Revocation
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	CANNOT APPLY FOR A STUDENT MEDICAL CERTIFICATE FOR ONE YEAR
Duration:	ONE YEAR
Start Date:	08/11/2008
End Date:	08/11/2009
Broker Statement	<p>THE INCIDENT THAT IS THE CAUSE OF THE MISUNDERSTANDING WITH THE FAA HAPPENED IN FEBRUARY 2001 WHILE I WAS ON A SKI TRIP TO JACKSON HOLE, WYOMING. MY WIFE AND I HAD SPENT THE AFTERNOON IN THE PUB AT THE BOTTOM OF THE HILL WITH SEVERAL FRIENDS. MOST OF THE GROUP HAD CONSUMED A LARGE AMOUNT OF ALCOHOL BY THE EARLY EVENING, AND I WAS NOMINATED AS THE PERSON WHO WAS MOST ABLE TO DRIVE US ALL HOME. I HAD STOPPED DRINKING SEVERAL HOURS BEFORE AND THOUGHT THAT I WAS LEGAL TO DRIVE. A LOCAL SHERIFF HAD WATCHED ALL SEVEN OF US TRY TO PILE INTO ONE CAR AND PULLED US OVER IMMEDIATELY AS WE LEFT THE PARKING LOT. AT THIS TIME I WAS GIVEN A BREATHALYZER, FAILED THE TEST, AND WAS CHARGED WITH DUI.</p> <p>UPON REVIEW OF THE FACTS, TO MY RELIEF, THE LOCAL PROSECUTOR DECIDED TO DROP THE DUI CHARGES. AT THAT TIME, I WAS A RESIDENT OF ILLINOIS, DRIVING WITH AN ILLINOIS DRIVER'S LICENSE. BECAUSE THE DUI CHARGES WERE DROPPED, NOTHING WAS EVER FORWARDED TO THE STATE OF ILLINOIS REGARDING THE INCIDENT AND MY ILLINOIS DRIVER'S LICENSE REMAINED INTACT. APPARENTLY, THE STATE OF WYOMING AT THAT TIME HAD A POLICY OF AUTOMATICALLY SUSPENDING THE DRIVING PRIVILEGES OF ANYONE WHO FAILS A BREATHALYZER, WHETHER OR NOT THEY WERE SUBSEQUENTLY CONVICTED OF THE CHARGE. IT IS CALLED A "STATUTORY SUMMARY SUSPENSION." BUT BECAUSE I WAS LICENSED IN ILLINOIS, THIS DID NOT IMPACT MY ILLINOIS</p>



DRIVER'S LICENSE. IT TURNS OUT, HOWEVER, THAT MY DRIVING PRIVILEGES HAD BEEN REVOKED WITHIN THE STATE OF WYOMING. THIS FACT WAS PROBABLY BURIED WITHIN THE PAPERWORK FORWARDED BY MY WYOMING ATTORNEY, BUT I WAS SO FOCUSED ON THE RESOLUTION OF THE DUI CHARGES AND THE FACT THAT I WAS ABLE TO RETAIN MY ILLINOIS DRIVER'S LICENSE THAT I WAS UNAWARE OF THE ISSUE REGARDING MY WYOMING DRIVING PRIVILEGES. BECAUSE I LIVED IN ILLINOIS, I WAS UNAFFECTED BY THE TEMPORARY SUSPENSION OF MY WYOMING DRIVING PRIVILEGES.

THEN, IN 2008 I DECIDED TO TAKE SOME FLYING LESSONS AS I HAD DECIDED TO PURSUE A PRIVATE PILOT'S LICENSE. WHEN I APPLIED FOR MY STUDENT FLYING CERTIFICATE, I WAS ASKED ON THE APPLICATION WHETHER MY DRIVING LICENSE HAD EVER BEEN REVOKED AS THE RESULT OF A DRUG OR ALCOHOL RELATED OFFENSE. AFTER CONSIDERING THAT THE DUI CHARGES WITH RESPECT TO THE ABOVE INCIDENT HAD BEEN DROPPED AND THAT MY ILLINOIS DRIVER'S LICENSE WAS NEVER SUSPENDED, I ANSWERED NO TO THE QUESTION. WHEN THE FAA DID A SEARCH AFTER RECEIVING MY APPLICATION FOR A PILOT'S CERTIFICATE, THEY RECEIVED A REPORT FROM WYOMING THAT MY DRIVING PRIVILEGES HAD BEEN SUSPENDED IN 2001 FOR THE FAILED BREATHALYZER. UPON RECEIVING THIS INFORMATION THE FAA CONCLUDED THAT I HAD MADE AN "INCORRECT STATEMENT" ON MY APPLICATION FOR A PILOT MEDICAL CERTIFICATE AND REVOKED MY STUDENT PILOT MEDICAL CERTIFICATE.

THE FAA EXPLAINED THAT MY INCORRECT ANSWER TO THE QUESTION RESULTED FROM THE FACT THAT I WAS BOTH UNAWARE, AT THE TIME I COMPLETED THE MEDICAL CERTIFICATE APPLICATION, OF THE WYOMING SUSPENSION OF MY DRIVING PRIVILEGES AND THAT THE WYOMING SUSPENSION REQUIRED A YES ANSWER TO THE QUESTION ON THE FAA MEDICAL CERTIFICATE APPLICATION. IN RETROSPECT, I UNDERSTAND THAT THE WYOMING INCIDENT WOULD HAVE BEEN OF CONCERN TO THE FAA IN EVALUATING MY FITNESS TO RECEIVE A PRIVATE PILOT'S LICENSE. I SHOULD HAVE, THEREFORE, ERRED ON THE SIDE OF DISCLOSING THE INCIDENT BEING UNSURE WHETHER THE DISCLOSURE WAS REQUIRED. IT IS IN THIS SPIRIT THAT I AM DISCLOSING THIS DIPUTE WITH THE FAA REGARDING MY ANSWER ON THE PILOT MEDICAL CERTIFICATE APPLICATION. AS THE CORRESPONDENCE INDICATES, THE FAA CONCLUDED IN THE 5TH PARAGRAPH OF PAGE 2 OF THEIR LETTER THAT EVEN IF MY ANSWER TO THE QUESTION AT ISSUE "WAS NOT INTENTIONALLY FALSE OR FRAUDULENT...THEN (MY) INCORRECT STATEMENT...(WAS) STILL THE BASIS FOR REVOCATION.

End of Report



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