BrokerCheck Report

Jeremy David Kees

CRD# 5400066

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8

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.

Jeremy D. Kees

CRD# 5400066

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

IA **BAHL & GAYNOR LLC**
Cedar Grove, NJ
CRD# 106139
Registered with this firm since: 01/07/2025

B **QUASAR DISTRIBUTORS, LLC**
190 Middle Street
Suite 301
Portland, ME 04101
CRD# 103848
Registered with this firm since: 05/17/2024

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:

- 2 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):

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
12/2012 - 04/2024

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
12/2012 - 04/2024

IA **J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC**
CRD# 124446
ATLANTA, GA
04/2012 - 11/2012

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
Customer Dispute	1

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

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: **BAHL & GAYNOR LLC**

Main Office Address: **255 EAST FIFTH STREET**
SUITE 2700
CINCINNATI, OH 45202

Firm CRD#: **106139**

	U.S. State/ Territory	Category	Status	Date
IA	Delaware	Investment Adviser Representative	Approved	01/07/2025
IA	New Jersey	Investment Adviser Representative	Approved	01/07/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	01/07/2025

Branch Office Locations

255 EAST FIFTH STREET
SUITE 2700
CINCINNATI, OH 45202

Cedar Grove, NJ

Employment 2 of 2

Firm Name: **QUASAR DISTRIBUTORS, LLC**

Main Office Address: **190 MIDDLE STREET**
SUITE 301
PORTLAND, ME 04101

Firm CRD#: **103848**

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	05/17/2024
B	FINRA	General Securities Representative	Approved	05/17/2024

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	05/17/2024
B	New Jersey	Agent	Approved	05/17/2024
B	Pennsylvania	Agent	Approved	05/17/2024

Branch Office Locations

QUASAR DISTRIBUTORS, LLC
190 Middle Street
Suite 301
Portland, ME 04101

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

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

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B	General Securities Principal Examination	Series 24	02/23/2018

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	09/26/2007

State Securities Law Exams

Exam		Category	Date
B IA	Uniform Combined State Law Examination	Series 66	10/11/2007

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/.

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates		Firm Name	CRD#	Branch Location
IA	12/2012 - 04/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B	12/2012 - 04/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
IA	04/2012 - 11/2012	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	124446	COLUMBUS, OH
B	04/2012 - 11/2012	J.P. TURNER & COMPANY, L.L.C.	43177	COLUMBUS, OH
IA	10/2007 - 04/2012	EDWARD JONES	250	GRANVILLE, OH
B	09/2007 - 04/2012	EDWARD JONES	250	GRANVILLE, 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
05/2024 - Present	Quasar Distributors, LLC	Registered Representative	Y	N. Caldwell, NJ, United States
04/2024 - Present	BG IS, LLC	Institutional Portfolio Consultant	Y	N. Caldwell, NJ, United States
12/2012 - 04/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	VP; INTERNAL PRODUCT SPECIALIST	Y	PENNINGTON, NJ, 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.

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

Registration and Employment History

Other Business Activities, continued

1) BG IS, LLC; Investment Related; N. Caldwell, NJ; Investment distribution; Institutional Portfolio Consultant; represent Bahl & Gaynor in the field and distribute their products to financial professionals; 04/2024; 160 hrs/mo.

In addition to being an Investment Advisor Representative of BG IS, LLC, this associate is a Registered Representative of Quasar Distributors, LLC, an unaffiliated Broker Dealer. The associate is a Registered Representative for purposes of Quasar Distributors, LLC.

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

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
Customer Dispute	0	1	N/A

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT ALLEGES THE FINANCIAL ADVISOR RECOMMENDED HE LIQUIDATE AN ANNUITY TO PURCHASE MUTUAL FUNDS. CLIENT STATES THE ANNUITY WAS THE ONLY "LIFE INSURANCE" HE HAD AND HE LOST A DEATH BENEFIT OF $15,000.00. CLIENT SUGGESTS THE CHANGES TO HIS PORTFOLIO WERE NOT IN HIS BEST INTEREST AND BELIEVES THE FINANCIAL ADVISOR MADE HIS RECOMMENDATIONS BASED ON THE COMMISSIONS HE WOULD RECEIVE FROM THE TRANSACTIONS. CLIENT WOULD LIKE TO HAVE THE MUTUAL FUND TRADES CANCELLED AND THE FUNDS RETURNED TO HIM. CLIENT DOES NOT BELIEVE HE HAS A CHANCE OF RECOUPING THE $15,000.00 DEATH BENEFIT. CLIENT QUESTIONS WHY COMPLIANCE DID NOT CHALLENGE THE TRANSACTIONS.
Product Type:	Mutual Fund
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCISS OF $5000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/17/2012
Complaint Pending?	No
Status:	Settled
Status Date:	05/25/2012
Settlement Amount:	$2,349.30
Individual Contribution Amount:	$0.00
Firm Statement	ACCORDING TO THE FINANCIAL ADVISOR, PRIOR TO SURRENDERING THE ANNUITY, HE AND THE CLIENT DISCUSSED THE POTENTIAL LOSS IN DEATH BENEFIT AND REVIEWED THE EXPENSES ASSOCIATED WITH THE ANNUITY. THE CLIENT CONFIRMED THEY DID DISCUSS THE LOSS OF THE DEATH BENEFIT, BUT DID NOT RECALL WHAT (IF ANY) CONVERSATIONS THEY HAD RELATED TO THE EXPENSES ASSOCIATED WITH THE ANNUITY. AS A RESULT OF THE CLIENT'S CONVERSATION WITH THE FINANCIAL ADVISOR, THE DECISION WAS MADE TO SURRENDER THE ANNUITY AND TO UTILIZE THE PROCEEDS TO PURCHASE HARTFORD FUNDS. ACCORDING TO OUR RECORDS, THE ANNUITY WAS SURRENDERED AND THE PROCEEDS ($80,207.07) WERE CREDITED TO THE ACCOUNT ON MARCH 22, 2012 AND THE HARTFORD FUNDS WERE PURCHASED ON MARCH 23, 2012. IT IS UNDERSTOOD THE FINANCIAL ADVISOR RECOMMENDED THE HARTFORD FUNDS AS HE BELIEVED THEY WOULD COMPLEMENT THE FRANKLIN FUNDS HELD IN THE CLIENT'S ACCOUNT. AT THE TIME OF THE TRANSACTIONS, THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS. THE CTIVITY WAS ALSO REFLECTED ON THE MARCH 2012 ACCOUNT STATEMENT. BASED ON A CONVERSATION WITH THE CLIENT, IT APPEARS HIS PRIMARY CONCERNS WERE THAT THE FINANCIAL ADVISOR LEFT EDWARD JONES SHORTLY AFTER THE TRANSACTIONS WERE COMPLETED AND THE CLIENT HAS SINCE DISCOVERED "PART OF HARTFORD IS UP FOR SALE". WHILE WE BELIEVE THE TRANSACTIONS WERE COMPLETED WITH THE CLIENT'S KNOWLEDGE AND AUTHORIZATION, IN AN EFFORT TO RESOLVE THIS SITUATION, WE ARE EXTENDING AN OFFER TO THE CLIENT TO CANCEL THE HARTFORD PURCHASES AT NO LOSS TO THE CLIENT . CLIENT ACCEPTED THE FIRM'S OFFER AND THE TRADES HAVE BEEN CANCELLED. LOSS ASSOCIATED WITH THE CORRECTIONS WAS $2,349.30.

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT ALLEGES THE FINANCIAL ADVISOR RECOMMENDED HE LIQUIDATE AN ANNUITY TO PURCHASE MUTUAL FUNDS. CLIENT STATES THE ANNUITY WAS THE ONLY "LIFE INSURANCE" HE HAD AND HE LOST A DEATH BENEFIT OF $15,000.00. CLIENT SUGGESTS THE CHANGES TO HIS PORTFOLIO WERE NOT IN HIS BEST INTEREST AND BELIEVES THE FINANCIAL ADVISOR MADE HIS RECOMMENDATIONS BASED ON THE COMMISSIONS HE WOULD RECEIVE FROM THE TRANSACTIONS. CLIENT WOULD LIKE TO HAVE THE MUTUAL FUND TRADES CANCELLED AND THE FUNDS RETURNED TO HIM. CLIENT DOES NOT BELIEVE HE HAS A CHANCE OF RECOUPING THE $15,000.00 DEATH BENEFIT. CLIENT QUESTIONS WHY COMPLIANCE DID NOT CHALLENGE THE TRANSACTIONS
Product Type:	Mutual Fund
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS DAMAGES APPEAR TO BE IN EXCESS OF $5000.00
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:	04/23/2012
Complaint Pending?	No
Status:	Settled
Status Date:	06/12/2012
Settlement Amount:	$2,349.30
Individual Contribution Amount:	$0.00
Broker Statement	I DON'T BELIEVE THIS MATTER IS REPORTABLE BASED ON THE FACT THAT THE ALLEGED COMPENSATORY DAMAGES WERE BELIEVED TO BE MORE THAN $5000 BUT ACCORDING TO THE U5 FILING THE ACTUAL LOSS

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

ASSOICIATED WITH THE SETTLEMENT WAS ONLY $2349.30.

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about Jeremy D. Kees.