

BrokerCheck Report

RICHARD ALAN BLAKE

CRD# 813822

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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.



RICHARD A. BLAKE
CRD# 813822

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
- 0 State Securities Law Exams

Registration History

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

- B LASALLE ST SECURITIES, L.L.C.**
CRD# 7191
ELMHURST, IL
08/1998 - 12/2001
- B SII INVESTMENTS, INC.**
CRD# 2225
APPLETON, WI
05/1997 - 09/1998
- B PROEQUITIES, INC.**
CRD# 15708
BIRMINGHAM, AL
02/1998 - 08/1998

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	3

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 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Registered Representative Examination	Series 1	10/17/1975

State Securities Law Exams

Exam	Category	Date
No information reported.		

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 08/1998 - 12/2001	LASALLE ST SECURITIES, L.L.C.	7191	ELMHURST, IL
B 05/1997 - 09/1998	SII INVESTMENTS, INC.	2225	APPLETON, WI
B 02/1998 - 08/1998	PROEQUITIES, INC.	15708	BIRMINGHAM, AL
B 01/1996 - 04/1997	USLIFE EQUITY SALES CORP.	7962	NEW YORK, NY
B 10/1975 - 01/1996	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 10/1975 - 01/1996	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY

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
08/1998 - Present	LA SALLE ST. SECURITIES, INC.	NOT PROVIDED	Y	DEKALB, IL, 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	3	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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	06/14/2002
Docket/Case Number:	C8A990027
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	FAILED TO PAY FINES AND/OR COSTS IN NASD CASE #C8A990027
Current Status:	Final
Resolution:	Other
Resolution Date:	06/14/2002
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	NASD REGISTRATION REVOKED FOR FAILURE TO PAY FINES AND/OR COSTS ON 06/14/02.

Disclosure 2 of 3



Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/10/1999

Docket/Case Number: C8A990027

Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s):

Allegations: 3/31/99GS: COMPLAINT NO. C8A990027 FILED MARCH 10, 1999 BY DISTRICT NO. 8 AGAINST RESPONDENT RICHARD ALAN BLAKE ALLEGING VIOLATIONS OF NASD RULE 2110 AND 3040 IN THAT RESPONDENT BLAKE ENGAGED IN PRIVATE SECURITIES TRANSACTIONS AND FAILED TO PROVIDE PRIOR WRITTEN NOTICE TO HIS MEMBER FIRM AND TO OBTAIN PRIOR WRITTEN AUTHORIZATION FROM THE FIRM TO ENGAGE IN SUCH TRANSACTIONS.

Current Status: Final

Resolution: Decision

Resolution Date: 06/19/2001

Sanctions Ordered: Monetary/Fine \$35,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: 05/22/01GS: NAC DECISION RENDERED MAY 17, 2001 WHEREIN THE FINDINGS MADE ARE AFFIRMED AND THE SANCTIONS IMPOSED ARE MODIFIED; THEREFORE, RESPONDENT BLAKE IS FINED \$35,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 180 DAYS, REQUIRED TO REQUALIFY AS AN INVESTMENT COMPANY AND VARIABLE CONTRACTS PRODUCTS REPRESENTATIVE, AND ASSESSED DBCC HEARING COSTS OF \$1,414.28. ** IF NO FURTHER ACTION, DECISION IS FINAL JUNE 19, 2001. *** 07/16/01GS: DECISION IS FINAL. THE SUSPENSION IS EFFECTIVE JULY 2, 2001 TO DECEMBER 31, 2001.

**Regulator Statement**

06/21/00GS: DECISION RENDERED JUNE 13, 2000 WHEREIN RESPONDENT BLAKE IS FINED \$35,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 90 DAYS, REQUIRED TO REQUALIFY AS AN INVESTMENT COMPANY AND VARIABLE CONTRACTS PRODUCTS REPRESENTATIVE, AND ASSESSED HEARING COSTS OF \$1,414.28. ** IF NO FURTHER ACTION, DECISION IS FINAL JULY 28, 2000. ** 07/19/00GS: CALLED FOR REVIEW BY THE NAC ON JULY 10, 2000.
 NASD REGISTRATION REVOKED FOR FAILURE TO PAY FINES AND/OR COSTS ON 06/14/02.

Reporting Source:

Broker

Regulatory Action Initiated By:

N.A.S.D., INC.

Sanction(s) Sought:

Bar

Other Sanction(s) Sought:**Date Initiated:**

03/10/1999

Docket/Case Number:

C8A990027

Employing firm when activity occurred which led to the regulatory action:**Product Type:**

Other

Other Product Type(s):**Allegations:**

COMPLAINT NO. C8A990027 WAS FILED ON MARCH 10, 1999 BY DISTRICT NO. 8 AGAINST ME ALLEGING VIOLATIONS OF N.A.S.D. RULES 2110 AND 3040 ALLEGING THAT I ENGAGED IN PRIVATE SECURITIES TRANSACTIONS AND FAILED TO PROVIDE PRIOR WRITTEN NOTICE TO MY FIRM AND TO OBTAIN WRITTEN AUTHORIZATION FROM MY FIRM TO ENGAGE IN SUCH TRANSACTIONS.

Current Status:

Final

Resolution:

Decision

Resolution Date:

05/17/2001

Sanctions Ordered:

Monetary/Fine \$36,414.28
 Suspension

Other Sanctions Ordered:

**Sanction Details:**

NAC DECISION RENDERED 05/17/2001 WHEREIN THE FINDINGS MADE ARE AFFIRMED AND THE SANCTIONS IMPOSED ARE MODIFIED; THEREFORE, RESPONDENT BLAKE IS FINED 35,000.00, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 180 DAYS, REQUIRED TO REQUALIFY AS AN INVESTMENT COMPANY AND VARIABLE CONTRACTS REPRESENTATIVE, AND ASSESSED DBCC HEARING COSTS OF 1414.28. DECISION BECAME FINAL ON JUNE 19, 2001. THE SUSPENSION IS EFFECTIVE JULY 2, 2001 TO DECEMBER 31, 2001.

Disclosure 3 of 3**Reporting Source:**

Regulator

Regulatory Action Initiated By:

ILLINOIS SECURITIES DEPARTMENT

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

12/01/1997

Docket/Case Number:

9700636

Employing firm when activity occurred which led to the regulatory action:

US LIFE EQUITY SALES CORP.

Product Type:**Other Product Type(s):****Allegations:**

RESPONDENTS RICHARD A. BLAKE AND DEIDRA J. BLAKE WERE OFFERING AND SELLING UNREGISTERED SECURITIES TO ILLINOIS RESIDENTS.

Current Status:

Final

Resolution:

Consent

Resolution Date:

01/09/1998

Sanctions Ordered:**Other Sanctions Ordered:****Sanction Details:**

CONSENT ORDER OF PROHIBITION ISSUED JANUARY 9, 1998. RESPONDENTS ARE PROHIBITED FROM ISSUING, OFFERING OR SELLING ANY SECURITIES IN OR FROM THE STATE OF ILLINOIS, EXCEPT



IN COMPLIANCE WITH THE ACT.

CONTACT: 217-785-4948

Regulator Statement**Reporting Source:**

Broker

Regulatory Action Initiated By:

SECRETARY OF STATE OF IL. SECURITIES DEPT.

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

12/01/1997

Docket/Case Number:

9700636

Employing firm when activity occurred which led to the regulatory action:

US LIFE EQUITY SALES CORP.

Product Type:**Other Product Type(s):****Allegations:**

SALE OF UN-REGISTERED SECURITY.

Current Status:

Final

Resolution:

Consent

Resolution Date:

01/09/1998

Sanctions Ordered:**Other Sanctions Ordered:****Sanction Details:**

CONSENT TO ORDER OF PROHIBITION NO PENALTY - NO FINE. FILE 9700636. ORDER STATES THAT I WILL NOT SELL ANY UN-REGISTERED SECURITIES IN ILL. IN THE FUTURE. COPY OF IL ORDER OF PROHIBITION ATTACHED.

Broker Statement

I SOLD A PRODUCT THAT WAS PRESENTED TO ME AS A NON-SECURITY RELATED PRODUCT AND PRESENTED WITH LEGAL OPINION THAT IT DID NOT FALL UNDER SECURITY LAWS. THIS PRODUCT WAS LATER FOUND TO BE A SECURITY BY THE STATE OF IL. (STATE DECLARATION TOOK PLACE AFTER I SOLD THE PRODUCT.)

End of Report



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