



**BrokerCheck Report**

**KURT DOUGLAS BOTTOMS**

CRD# 865254

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, FINRA-registered securities brokers, and all current and former FINRA-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 <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.nasaa.org>.

### • **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.**

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For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

## KURT DOUGLAS BOTTOMS

CRD# 865254

This individual is no longer registered with FINRA. The individual's registration with FINRA was terminated prior to August 1999 when the enhanced CRD system was implemented. As a result, since the individual was not required to update their CRD record via the submission of a Form U4 to CRD since August 1999, BrokerCheck contains only limited information about this individual.

### Report Summary for this Broker

The 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 with a FINRA firm.

This broker has passed:

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

#### Registration History

This broker was previously registered with the following FINRA member firms:

##### **BRITSON INVESTMENTS, INC.**

CRD# 14328  
EMERYVILLE CA  
01/04/1988 to 02/04/1992

##### **THOMSON MCKINNON SECURITIES INC.**

CRD# 829  
OAKLAND CA  
06/21/1985 to 08/21/1987

##### **E. F. HUTTON & COMPANY INC**

CRD# 235  
NEW YORK NY  
03/14/1984 to 04/24/1985

#### Disclosure of Regulatory Events

This section includes details regarding final regulatory events reported by or about this broker to CRD as part of the securities industry registration and licensing process.

Are there events disclosed about this broker? **Yes**

**The following type of disclosure was reported:**

Regulatory Event

## 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 passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 1 general industry/product exams, and 0 state securities law exam.**

Exam Class	Exam Name	Category	Date
General Industry/Product Exams	General Securities Representative Examination	Series 7	4/21/1979

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at <http://www.finra.org/Industry/Compliance/Registration/QualificationsExams/index.htm>.

## Registration History

This broker previously was registered with FINRA at the following firms:

Registration Dates	Firm Name	CRD #	Branch Location
01/04/1988 to 02/04/1992	BRITSON INVESTMENTS, INC.	14328	EMERYVILLE CA
06/21/1985 to 08/21/1987	THOMSON MCKINNON SECURITIES INC.	829	OAKLAND CA
03/14/1984 to 04/24/1985	E. F. HUTTON & COMPANY INC	235	NEW YORK NY
11/18/1981 to 01/19/1984	DREXEL BURNHAM LAMBERT INCORPORATED	7323	WALNUT CREEK CA
09/14/1979 to 08/20/1981	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK NY
05/01/1979 to 11/01/1979	DEAN WITTER REYNOLDS INC.	7556	NEW YORK NY

## Disclosure of Regulatory 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 the 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 with reporting source labeled.

## 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 1 ~ Entry 1 of 1

**Reporting Source:** Regulator

**Details:**

COMPLAINT NUMBER SF-1337 (NASD DISTRICT NO. 2N) FILED DECEMBER 20, 1989 AGAINST RESPONDENT KURT DOUGLAS BOTTOMS ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 2 & 15 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT BOTTOMS RECOMMENDED TO A CUSTOMER AND EFFECTED IN HER ACCOUNT A SERIES OF PURCHASES AND SALES OF SECURITIES WHICH TRADING WAS UNSUITABLE FOR THE CUSTOMER IN LIGHT OF THE SIZE AND FREQUENCY OF THE TRANSACTIONS; IN CONNECTION WITH THE AFOREMENTIONED, RESPONDENT BOTTOMS EXERCISED DISCRETION IN THE ACCOUNT OF A CUSTOMER WITHOUT OBTAINING PRIOR WRITTEN AUTHORITY FROM THE CUSTOMER AND APPROVAL FROM HIS MEMBER FIRM.

DECISION RENDERED SEPTEMBER 28, 1990, (C01890009) WHEREIN RESPONDENT BOTTOMS IS CENSURED, FINED \$29,300 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR FIVE BUSINESS DAYS. IF NO FURTHER ACTION, DECISION IS FINAL NOVEMBER 13, 1990.

NOVEMBER 13, 1990 - DECISION IS FINAL.