

BrokerCheck Report

JOHN ROTHROCK MCKINSTRY JR

CRD# 1012658

Report #87018-95709, data current as of Tuesday, April 26, 2016.

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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 <http://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.



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.

Thank you for using FINRA BrokerCheck.

JOHN R. MCKINSTRY JR

CRD# 1012658

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
- 2 State Securities Law Exams

Registration History

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

MOLONEY SECURITIES CO., INC.

CRD# 38535
ST. LOUIS, MO
04/2004 - 08/2015

SMITH, MOORE & CO.

CRD# 3441
CLAYTON, MO
03/1997 - 03/2004

A. G. EDWARDS & SONS, INC.

CRD# 4
ST. LOUIS, MO
07/1989 - 02/1997

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	2
Customer Dispute	7
Termination	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<http://www.adviserinfo.sec.gov>

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 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.

This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	11/21/1981

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	10/28/1981
Uniform Combined State Law Examination	Series 66	03/31/2006

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
04/2004 - 08/2015	MOLONEY SECURITIES CO., INC.	38535	ST. LOUIS, MO
03/1997 - 03/2004	SMITH, MOORE & CO.	3441	CLAYTON, MO
07/1989 - 02/1997	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
05/1984 - 07/1989	THOMSON MCKINNON SECURITIES INC.	829	
06/1983 - 04/1984	SHEARSON/AMERICAN EXPRESS INC.	7506	
03/1983 - 07/1983	THOMSON MCKINNON SECURITIES INC.	829	

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 Dates	Employer Name	Employer Location
04/2004 - Present	MOLONEY SECURITIES CO., INC.	ST. LOUIS, MO

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.

RADIO HOST - GERMAN TALK RADIO SHOW - 1 HOUR PER WEEK ON SUNDAY. SELL ADS TO PAY FOR AIR TIME. I ADVERTISE MY SECURITIES BUSINESS 2 MINS. PER WEEK. HAVE DONE THIS FOR 13 YEARS SINCE 5/1991.



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	2	0



Customer Dispute	4	3	N/A
Termination	N/A	2	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 involves (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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NYSE DIVISION OF ENFORCEMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/19/1998
Docket/Case Number:	HPD# 98-75
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	**06/19/1998** STIPULATION OF FACTS AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. WITHOUT ADMITTING OR DENYING GUILT, MCKINSTRY CONCENTS TO: A. FINDINGS BY THE HEARING PANEL THAT HE: (i) ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY EFFECTING MARGIN TRANSACTIONS IN THE ACCOUNT OF A



CUSTOMER OF HIS MEMBER ORGANIZATION EMPLOYER THAT WERE UNSUITABLE IN VIEW OF THE CUSTOMER'S INVESTMENT OBJECTIVES, SECURITIES EXPERIENCE, AND FINANCIAL RESOURCES; AND (ii) VIOLATED EXCHANGE RULE 408(a) BY EXERCISING DISCRETIONARY POWER

IN THE ACCOUNT OF A CUSTOMER OF HIS MEMBER ORGANIZATION EMPLOYER, WITHOUT OBTAINING THE CUSTOMER'S PRIOR WRITTEN AUTHORIZATION. B. THE IMPOSITION BY THE EXCHANGE OF THE PENALTY OF A CENSURE AND A SUSPENSION OF ONE MONTH FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 09/10/1998

Sanctions Ordered: Censure
Suspension

Other Sanctions Ordered:

Sanction Details: **07/29/1998** DECISION 98-75 ISSUED BY NYSE HEARING PANEL. DECISION: EFFECTED UNSUITABLE MARGIN TRANSACTIONS FOR A CUSTOMER; VIOLATED EXCHANGE RULE 408(a) BY EXERCISING DISCRETION WITHOUT WRITTEN CUSTOMER AUTHORIZATION --
CONSENT TO CENSURE AND ONE MONTH SUSPENSION.

Regulator Statement **07/29/1998** UNLESS A REVIEW BY THE NYSE BOARD OF DIRECTORS IS REQUESTED, THIS DECISION WILL BECOME FINAL 25 CALENDAR DAYS AFTER NOTICE OF THE HEARING PANEL'S DETERMINATION HAS BEEN SERVED UPON THE RESPONDENT. **9/10/1998** THE DECISION IS FINAL. THE BAR OR SUSPENSION IMPOSED IS EFFECTIVE NOVEMBER 16, 1998. CONTACT: PEGGY GERMINO 212 656-8450.

Reporting Source: Firm

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:



Date Initiated: 06/19/1998

Docket/Case Number: HPD# 98-75

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

Product Type:

Other Product Type(s):

Allegations: MR. MCKINSTRY IS SUBJECT OF NYSE INVESTIGATION RELATING TO THE ROSENOW AND FRANKE COMPLAINTS.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 09/10/1998

Sanctions Ordered: Censure
Suspension

Other Sanctions Ordered:

Sanction Details: N/A

Firm Statement Not Provided

Reporting Source: Broker

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/19/1998

Docket/Case Number: HPD# 98-75

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

Product Type:

Other Product Type(s):



Allegations:	EFFECTED UNSUITABLE MARGIN TRANSACTIONS FOR A CUSTOMER; VIOLATED EXCHANGE RULE 408(A) BY EXERCISING DISCRETION WITHOUT WRITTEN CUSTOMER AUTHORIZATION
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	09/10/1998
Sanctions Ordered:	Censure Suspension
Other Sanctions Ordered:	
Sanction Details:	PENALTY IMPOSED - CENSURE AND SUSPENSION FOR ONE MONTH FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION. SUSPENSION WILL BE SERVED BEGINNING NOVEMBER 16, 1998 AND ENDING ON DECEMBER 15, 1998 MIDNIGHT.
Broker Statement	Not Provided

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	MISSOURI SECRETARY OF STATE/SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/07/1997
Docket/Case Number:	AO-97-06
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	CUSTOMER COMPLAINTS REGARDING MARGIN OR CUTS.
Current Status:	Final



Resolution: Consent

Resolution Date: 05/07/1997

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: CONSENT ORDER: MCKINSTRY WILL NOT OPEN NEW MARGIN ACCOUNTS FOR CLIENTS, MCKINSTRY WILL NOT MAKE DISCRETIONARY TRADES WITHOUT OBTAINING WRITTEN DISCRETIONARY AUTHORITY, MCKINSTRY WILL PAY \$200.00 AS COSTS OF INVESTIGATION.

Regulator Statement CONTACT: MARY HOSMER (573)751-4704

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF MISSOURI

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/07/1997

Docket/Case Number: AO-97-06

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

Product Type:

Other Product Type(s):

Allegations: INAPPROPRIATE USE OF MARGIN FOR SECURITIES PURCHASES.

Current Status: Final

Resolution: Consent

Resolution Date: 05/07/1997

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: CONSENT ORDER REQUIRED: I WILL NOT OPEN NEW MARGIN ACCOUNTS ON BEHALF OF CLIENTS OF SMITH, MOORE 7 CO. I



WILL NOT TRADE IN ANY CLIENT'S MARGIN ACCOUNT UNLESS APPROVED BY A PRINCIPAL OF SMITH, MOORE & CO. MY OFFICE IS IN THE SAME BUILDING WHERE MY SUPERVISOR IS LOCATED. I WILL NOT MAKE ANY DISCRETIONARY TRADES WITHOUT WRITTEN DISCRETIONARY AUTHORITY. I PAID 4200.00 TO THE MISSOURI DIRECTOR OF REVENUE FOR COSTS OF THEIR INVESTIGATION.

Broker Statement

Not Provided



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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SMITH MOORE & CO
Allegations:	UNSUITABILITY & CHURNING
Product Type:	No Product
Alleged Damages:	\$658,349.00

Customer Complaint Information

Date Complaint Received:	11/19/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/19/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD NO 02-07254
Date Notice/Process Served:	11/19/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/26/2004
Monetary Compensation Amount:	\$170,000.00
Individual Contribution Amount:	\$85,000.00

**Broker Statement**

REFERRING TO #19 REPRESENTATIVE IS CONTRACTUALLY RESPONSIBLE FOR \$85000 NOTED ABOVE. AS OF THIS FILING BROKER HAS NOT PAID \$85000 & SMITH MOORE HAS A RECEIVABLE FROM HIM FOR HIS REQUIRED PORTION OF SETTLEMENT.

Disclosure 2 of 3**Reporting Source:**

Regulator

Employing firm when activities occurred which led to the complaint:

A.G. EDWARDS & SONS, & CO.

Allegations:

SUITABILITY; ACCOUNT RELATED-BREACH OF CONTRACT; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:**Alleged Damages:**

\$47,090.00

Arbitration Information**Arbitration/Reparation Claim filed with and Docket/Case No.:**

UNKNOWN - CASE #95-00642

Date Notice/Process Served:

03/07/1995

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

02/07/1996

Disposition Detail:

CASE CLOSED,SETTLED/OTHER
 ACTUAL/COMPENSATORY DAMAGES, RELIEF
 REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND
 SEVERALLY; SPECIFIC PERFORMANCE, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 SPECIFIC PERFORMANCE, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC,
 AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY
 DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
 AMOUNT
 JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,
 AWARD



AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, & CO.

Allegations:

Product Type:

Alleged Damages: \$47,090.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-00642

Date Notice/Process Served: 03/07/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/07/1996

Monetary Compensation Amount: \$63,981.00

Individual Contribution Amount: \$25,592.00



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, & CO.

Allegations: SUITABILITY -ALLEGED LOSSES OF APPROXIMATELY \$75,000.

Product Type:

Alleged Damages: \$47,090.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-00642

Date Notice/Process Served: 03/07/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/07/1996

Monetary Compensation Amount: \$63,981.00

Individual Contribution Amount: \$25,592.00

Broker Statement A CHECK IN THE AMOUNT OF \$63,981 WAS SENT TO [CUSOTMER]. MR MCKINSTRY CONTRIBUTED \$25,592 RELATIVE LODGED COMPLAINT. I HAD BOUGHT ON MARGIN PHILIP MORIS AND MERCK JUST PRIOR TO MRS HILLARY CLINTON



ATTEMPTING TO REFORM THE MEDICAL FIELD AND TOBACCO BECOMING A
 A
 DRUG ISSUE, AS WELL AS MARLBORO CUTTING THE PRICE OF
 CIGARETTES. BOTH STOCKS FELL AND MARGIN CALLS WERE MADE.
 SETTLEMENT BASED ON AGE OF CLIENT AND APPROPRIATENESS OF
 MARGIN.

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: SUITABILITY -ALLEGED LOSSES OF \$43,011
 (SUBSEQUENT TO THE ORIGINAL FILING, CLIENTS ATTORNEY ALLEGED
 PRINCIPAL WAS DOWN \$52,983.84)

Product Type:

Alleged Damages: \$52,983.84

Customer Complaint Information

Date Complaint Received: 09/23/1994

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$54,000.00

Individual Contribution Amount: \$21,600.00

Broker Statement

A CHECK IN THE AMOUNT OF \$54,000 WAS SENT TO THE
 CLIENT ON APRIL 24, 1995, OF WHICH MR MCKINSTRY CONTRIBUTED
 \$21,600.
 RELATIVE LODGED COMPLAINT. I HAD CLIENT BUY
 PHILIP MORRIS ON MARGIN PRIOR TO TOBACCO BECOMING A DRUG
 ISSUE
 AND MARLBORO CUTTING THE PRICE OF CIGARETTES. MARGIN CALLS
 WERE
 MADE. SETTLEMENT BASED ON AGE OF CLIENT AND APPROPRIATENESS
 OF
 MARGIN.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MOLONEY SECURITIES CO., INC.
Allegations:	COMMON LAW FRAUD, BREACH OF CONTRACT, NEGLIGENT SUPERVISION AND BREACH OF FIDUCIARY DUTY DURING THE PERIOD JULY 2010 THROUGH AUGUST 2015.
Product Type:	Oil & Gas Other: MASTER LIMITED PARTNERSHIPS
Alleged Damages:	\$20,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16000250
Filing date of arbitration/CFTC reparation or civil litigation:	01/27/2016

Customer Complaint Information

Date Complaint Received:	03/03/2016
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	



Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MOLONEY SECURITIES CO., INC.
Allegations:	UNSUITABILITY, FAILURE TO SUPERVISE, FRAUDULENT AND NEGLIGENT MISREPRESENTATION PRINCIPALLY DURING THE PERIOD 2012-2015.
Product Type:	Oil & Gas Other: MLPs, PRIVATE INVESTMENT
Alleged Damages:	\$350,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-00321
Filing date of arbitration/CFTC reparation or civil litigation:	03/07/2016

Customer Complaint Information

Date Complaint Received:	03/07/2016
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MOLONEY SECURITIES CO., INC.
Allegations:	CLAIMS LOSSES DUE TO INVESTMENTS THAT WERE UNSUITABLE FOR AGE



AND RISK TOLERANCE

Product Type: Direct Investment-DPP & LP Interests
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$11,400.00

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: 07/20/2015

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 4 of 4

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** MOLONEY SECURITIES CO., INC.

Allegations: CUSTOMER CLAIMS LOSSES OF APPROXIMATELY \$216,000 OVER PAST YEAR DUE TO INVESTMENTS UNSUITABLE TO HIS AGE AND STATED RISK TOLERANCE

Product Type: Direct Investment-DPP & LP Interests
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$216,000.00

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: 07/12/2015



Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 09/24/2015

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 15-02475

Date Notice/Process Served: 09/24/2015

Arbitration Pending? Yes



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm

Employer Name: MOLONEY SECURITIES CO., INC.

Termination Type: Discharged

Termination Date: 08/07/2015

Allegations: INTERNAL REVIEW CONCERNING CUSTOMER COMPLAINTS AND FINRA CAUSE EXAM

Product Type: Direct Investment-DPP & LP Interests
Equity-OTC
Oil & Gas

Disclosure 2 of 2

Reporting Source: Broker

Employer Name: A. G. EDWARDS & SONS, INC.

Termination Type: Permitted to Resign

Termination Date: 01/27/1997

Allegations: Not Provided
MANAGEMENT DISAGREED OVER WHETHER OR NOT I HAD AUTHORITY TO ENTER ORDERS, WITHOUT DISCRETIONARY PAPERS.

Product Type:

Other Product Types:

Broker Statement CUSTOMER TRADE RESCINDED - I RESIGNED.
AFTER MARKET CLOSED ON FRIDAY, JANUARY 18, 1997
RR DISCUSSED WITH CLIENT TH PURCHASE OF FOUR STOCKS AND
RECEIVED PERMISSION TO PLACE ORDERS ON MONDAY AND TUESDAY AT
HIS DISCRETION. CLIENT WAS FOUND DEAD TUESDAY NIGHT.
WEDNESDAY
MORNING, RR REPORTED DEATH; A.G. EDWARDS RESCINDED TRADES; NO
COMPLAINT WAS FILED.

End of Report



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