

**BrokerCheck Report**

**JEFFERY BRUCE RISINGER**

CRD# 6148229

Report #78357-59114, data current as of Friday, April 24, 2015.

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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](http://brokercheck.finra.org)



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).

**Thank you for using FINRA BrokerCheck.**

**JEFFERY B. RISINGER**

CRD# 6148229

**Currently employed by and registered with the following Firm(s):****PIN FINANCIAL, LLC**

850 THIRD AVENUE  
STE. 16C  
NEW YORK, NY 10022  
CRD# 132876

Registered with this firm since: 03/19/2014

**PIN FINANCIAL, LLC**

600 E Carmel Dr. Ste. 114  
Carmel, IN 46032  
CRD# 132876

Registered with this firm since: 03/19/2014

**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
- 0 U.S. states and territories

**This broker has passed:**

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

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

No information reported.

**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? **No**



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

### Employment 1 of 1

Firm Name: **PIN FINANCIAL, LLC**

Main Office Address: **850 THIRD AVENUE  
STE. 16C  
NEW YORK, NY 10022**

Firm CRD#: **132876**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	04/30/2014
FINRA	Investment Banking Representative	APPROVED	03/19/2014

### Branch Office Locations

**PIN FINANCIAL, LLC**  
600 E Carmel Dr. Ste. 114  
Carmel, IN 46032

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## 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 1 principal/supervisory exam, 1 general industry/product exam, and 0 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	04/30/2014

### General Industry/Product Exams

Exam	Category	Date
Investment Banking Registered Representative Examination	Series 79	02/17/2014

### 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/](http://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
No information reported.			

### 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
05/1998 - Present	SELF EMPLOYED	FISHERS, IN

### 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.

**NATURE OF BUSINESS / LAW PRACTICE:** THE PRACTICE FOCUSES ON PROVIDING LEGAL COUNSEL AND PLANNING FOR BUSINESS TRANSACTIONS (PRIVATE COMPANIES, NOT PUBLIC COMPANIES) AND I AM TYPICALLY COMPENSATED ON AN HOURLY-RATE BASIS BY CLIENTS. TYPICAL ENGAGEMENTS INCLUDE: NEGOTIATING AND DOCUMENTING BUSINESS SALES AND ACQUISITIONS; EMPLOYMENT ARRANGEMENTS AND COMPENSATION PLANS; DOCUMENTING FINANCINGS SUCH AS LOANS AND PRIVATE OFFERINGS; TAX PLANNING; FRANCHISOR AND FRANCHISEE REPRESENTATION; AND NEGOTIATING AND DOCUMENTING MARKETING AND DISTRIBUTION ARRANGEMENT.

**POSITION & START OF BUSINESS:** I AM THE SOLE OWNER AND ATTORNEY FOR THE PRACTICE. I STARTED THIS SOLO PRACTICE IN MAY 1998

**TIME DEVOTED TO THE BUSINESS / LAW PRACTICE:** THIS IS CURRENTLY A FULL-TIME POSITION AND I DEVOTE MORE THAN 40 HOURS PER WEEK TO THIS BUSINESS. I AM PRACTICING LAW DURING SECURITIES TRADING HOURS.

**DUTIES:** I AM THE ATTORNEY IN CHARGE OF ALL WORK COMPLETED AND I AM THE ONLY ATTORNEY, SUCH THAT ALL WORK IS COMPLETED PERSONALLY BY ME.



## Registration and Employment History

### Other Business Activities, continued

#### SECOND DISCLOSURE:

FARMGROWCAP LLC ("FGC"), LOCATED IN CARMEL, INDIANA, PROVIDES CONSULTING SERVICES TO AGRIBUSINESS LOCATED THROUGHOUT THE UNITED STATES. THIS BUSINESS MAY ALSO PROVIDE INVESTMENT-RELATED SERVICES IN THE FORM OF SECURED FINANCINGS TO AGRIBUSINESSES TO SUPPORT THEIR ANNUAL CROP PRODUCTION. I SERVE AS THE IN-HOUSE ATTORNEY AND MANAGING DIRECTOR OF THIS BUSINESS, AND DEVOTE APPROXIMATELY 30 HOURS PER MONTH ON FGC RELATED ACTIVITIES. MY SPECIFIC RESPONSIBILITIES ARE TO (A) NEGOTIATE AND DRAFT ALL LEGAL DOCUMENTATION FOR ANY AGREEMENTS WITH CLIENT FARMERS, (B) TO HANDLE THE LEGAL DOCUMENTS FOR ANY INVESTMENT-RELATED SERVICES THAT MAY BE PROVIDED BY FGC, AND (C) GENERALLY BE THE COORDINATOR OF ALL WORK REQUIRED TO DELIVER FGC'S SERVICES. IN THE EVENT THAT FGC ACTS AS A PRINCIPAL IN A TRANSACTION, I WILL BE RESPONSIBLE FOR WORKING WITH OTHERS IN STRUCTURING THE TRANSACTION AND MONITORING THE CREDIT. SIMILAR CONSULTING AND INVESTMENT-RELATED SERVICES MAY BE PROVIDED TO THE BLUEBERRY INDUSTRY THROUGH BLUE CROP GROUP LLC. FROM TIME TO TIME, MR. RISINGER, IN HIS CAPACITY AS AN ATTORNEY, MAY HOLD CASH OR EQUITY INTERESTS ON BEHALF OF CLIENTS IN RESPECT OF TRANSACTIONS PRIOR TO THEIR CLOSING. THESE INSTANCES ARE IN RESPECT OF MR. RISINGER'S ACTIVITIES AS AN ATTORNEY AND ARE NOT INTENDED TO CREATE A PRIVATE SECURITIES TRANSACTION.

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## End of Report



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