



IAPD Report

KEVIN MICHAEL JOHN OCONNOR

CRD# 1096256

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1 - 2
Qualifications	3 - 6
Registration and Employment History	7
Disclosure Information	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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

KEVIN MICHAEL JOHN OCONNOR (CRD# 1096256)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THE JEFFREY MATTHEWS FINANCIAL GROUP, L.L.C.	CRD# 41282	12/21/2007
IA	JEFFREY MATTHEWS WEALTH MANAGEMENT, LLC	CRD# 155392	04/01/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	JEFFREY MATTHEWS ADVISORY GROUP LLC	175432	GREENWICH, CT	06/09/2015 - 08/07/2015
IA	JEFFREY MATTHEWS WEALTH MANAGEMENT, LLC	155392	MILLBURN, NJ	11/18/2011 - 01/07/2013
B	TRIPP & CO., INC.	6967	NEW YORK, NY	01/19/1984 - 11/21/2008

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	4
Civil Event	1



Report Summary



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **17** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **JEFFREY MATTHEWS WEALTH MANAGEMENT, LLC**
Main Address: 30B VREELAND ROAD
SUITE 210
FLORHAM PARK, NJ 07932
Firm ID#: 155392

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	06/21/2019
IA	Connecticut	Investment Adviser Representative	Approved	07/02/2014
IA	District of Columbia	Investment Adviser Representative	Approved	11/23/2015
IA	New Jersey	Investment Adviser Representative	Approved	04/01/2014
IA	New York	Investment Adviser Representative	Approved	05/21/2021

Branch Office Locations

JEFFREY MATTHEWS WEALTH MANAGEMENT, LLC
30B VREELAND ROAD
SUITE 210
FLORHAM PARK, NJ 07932

JEFFREY MATTHEWS WEALTH MANAGEMENT, LLC
200 Pemberwick Road
Greenwich, CT 06831

Employment 2 of 2

Firm Name: **THE JEFFREY MATTHEWS FINANCIAL GROUP, L.L.C.**
Main Address: 30B VREELAND ROAD
STE 210
FLORHAM PARK, NJ 07932
Firm ID#: 41282

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/21/2007



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/21/2007
B	FINRA	Registered Options Principal	Approved	12/21/2007
B	Arkansas	Agent	Approved	09/29/2015
B	California	Agent	Approved	01/14/2008
B	Connecticut	Agent	Approved	09/17/2008
B	District of Columbia	Agent	Approved	10/17/2008
B	Florida	Agent	Approved	01/17/2008
B	Idaho	Agent	Approved	02/06/2009
B	Illinois	Agent	Approved	10/27/2020
B	Maryland	Agent	Approved	01/17/2008
B	Massachusetts	Agent	Approved	02/13/2009
B	New Hampshire	Agent	Approved	02/17/2009
B	New Jersey	Agent	Approved	01/14/2008
B	New York	Agent	Approved	01/16/2008
B	North Carolina	Agent	Approved	01/15/2019
B	Pennsylvania	Agent	Approved	11/24/2008
B	South Carolina	Agent	Approved	10/21/2019
B	Texas	Agent	Approved	01/14/2008
B	Virginia	Agent	Approved	08/18/2009



Qualifications

Regulator	Registration	Status	Date
-----------	--------------	--------	------

Branch Office Locations

THE JEFFREY MATTHEWS FINANCIAL GROUP, L.L.C.
200 Pemberwick Road
GREENWICH, CT 06831



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	07/03/1989
B	Registered Options Principal Examination (S4)	Series 4	04/21/1986

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/19/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/17/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/20/1983



PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/09/2015 - 08/07/2015	JEFFREY MATTHEWS ADVISORY GROUP LLC	CRD# 175432	GREENWICH, CT
IA	11/18/2011 - 01/07/2013	JEFFREY MATTHEWS WEALTH MANAGEMENT, LLC	CRD# 155392	MILLBURN, NJ
B	01/19/1984 - 11/21/2008	TRIPP & CO., INC.	CRD# 6967	NEW YORK, NY
B	03/22/1983 - 10/11/1983	TRIPP & CO., INC.	CRD# 6967	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2011 - Present	JEFFREY MATTHEWS WEALTH MANAGEMENT LLC	REGISTERED REP	Y	florham park, NJ, United States
12/2007 - Present	THE JEFFREY MATTHEWS FINANCIAL GROUP	REG REP	Y	florham park, NJ, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

SECRETARY/TREASURER OF C.S. TRENDT, INC. A PUBLIC RELATIONS CONSULTING COMPANY. NO COMPENSATION RECEIVED. MEMBER OF THE ADVISORY BOARD OF FIRST BANK OF GREENWICH. NO COMPENSATION RECEIVED.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	4
Civil Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 4

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 04/22/2010

Docket/Case Number: [2007011308803](#)

Employing firm when activity occurred which led to the regulatory action: TRIPP & CO., INC.

Product Type: Penny Stock

Allegations: NASD RULES 2110, 3010, 3012(A)(2)(B)-O'CONNOR SERVED AS HIS FIRM'S PRESIDENT, CEO, AND CHIEF COMPLIANCE OFFICER. HE WAS ON NOTICE THAT HIS FIRM HAD DEFICIENCIES WITH RESPECT TO THE ISSUANCE AND HAND-DELIVERY OF CUSTOMER CHECKS BUT TOOK INADEQUATE STEPS TO ADDRESS THEM. O'CONNOR FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE A REASONABLE SUPERVISORY SYSTEM AND WRITTEN SUPERVISORY PROCEDURES (WSPS) CONCERNING THE ISSUANCE AND DELIVERY OF CHECKS. THE FIRM'S WSPS WERE INADEQUATE IN THAT THE WSPS DID NOT MENTION CERTAIN ASPECTS OF THE FIRM'S CUSTOMERS CHECK ISSUANCE AND HAND-DELIVERY PROCESSES. THE WSPS AND SUPERVISORY SYSTEM WERE ALSO INADEQUATE IN THAT THEY DID NOT PROVIDE FOR MANAGERIAL REVIEW OR SUPERVISION OF THE PROCESS. O'CONNOR FAILED TO ESTABLISH, MAINTAIN AND ENFORCE ADEQUATE WRITTEN SUPERVISORY CONTROL PROCEDURES RELATING TO NASD CONDUCT RULE 3012(A)(2)(B) AND ITS REQUIREMENT THAT MEMBERS ESTABLISH, MAINTAIN AND ENFORCE PROCEDURES REASONABLY



DESIGNED TO REVIEW AND MONITOR TRANSMITTAL OF FUNDS OR SECURITIES BETWEEN CUSTOMERS AND REGISTERED REPRESENTATIVES. O'CONNOR FAILED TO ADEQUATELY ENFORCE THE FIRM'S PROCEDURES CONCERNING PENNY STOCK TRANSACTIONS. THE FIRM'S PROCEDURES DID NOT PERMIT SOLICITED PENNY STOCK TRANSACTIONS AND REQUIRED THAT THE FIRM VERBALLY CONFIRM WITH CUSTOMERS ANY UNSOLICITED PENNY STOCK TRANSACTIONS. IN CONNECTION WITH PENNY STOCK TRANSACTIONS EFFECTED BY A REGISTERED REPRESENTATIVE AT THE FIRM, THE FIRM, ACTING THROUGH O'CONNOR, DID NOT VERBALLY CONFIRM THE TRANSACTIONS WITH THE CUSTOMERS.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

04/22/2010

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY PRINCIPAL CAPACITY
Duration:	30 DAYS
Start Date:	05/17/2010
End Date:	06/15/2010

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$17,500.00
Portion Levied against individual:	\$17,500.00
Payment Plan:	N/A
Is Payment Plan Current:	Yes
Date Paid by individual:	04/16/2012
Was any portion of penalty waived?	No

**Amount Waived:****Regulator Statement**

WITHOUT ADMITTING OR DENYING THE FINDINGS, O'CONNOR CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$17,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR 30 DAYS. THE SUSPENSION IS IN EFFECT MAY 17, 2010 THROUGH JUNE 15, 2010. FINE PAID IN FULL APRIL 16, 2012.

.....

Reporting Source:

Individual

Regulatory Action Initiated By:

FINRA

Sanction(s) Sought:

Other: N/A

Date Initiated:

04/22/2010

Docket/Case Number:[2007011308803](#)**Employing firm when activity occurred which led to the regulatory action:**

TRIPP & CO., INC

Product Type:

Penny Stock

Allegations:

FAILED TO ESTABLISH, MAINTAIN AND ENFORCE REASONABLE SUPERVISORY SYSTEM & WSPS RE:ISSUANCE AND DELIVERY OF CHECKS. FAILED TO ENFORCE FIRM'S PROCEDURES RE:PENNY STOCK TRANSACTIONS.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

04/22/2010

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1**Sanction Type:**

Suspension

Capacities Affected:

ANY PRINCIPAL CAPACITY

Duration:

30 DAYS

Start Date:

05/17/2010

End Date:

06/15/2010

Monetary Sanction 1 of 1**Monetary Related Sanction:**

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$17,500.00



Portion Levied against individual:	\$17,500.00
Payment Plan:	YES
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	I DEEPLY REGRET THE DISTRESS THAT THIS HAS CAUSED MY FAMILY AND I REGRET THE LOSS OF SEVENTY YEARS OF MUNICIPAL BOND HISTORY.
Disclosure 2 of 4	
Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: NA
Date Initiated:	10/29/2008
Docket/Case Number:	2007007232201
Employing firm when activity occurred which led to the regulatory action:	TRIPP AND CO., INC.
Product Type:	Debt-Corporate Debt-Government Debt-Municipal Equity-OTC
Allegations:	NASD RULES 1120(B)(2) AND 2110: RESPONDENT, ACTING ON BEHALF OF HIS MEMBER FIRM, FAILED TO FULLY COMPLY WITH THE FIRM ELEMENT OF FINRA'S CONTINUING EDUCATION REQUIREMENTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/29/2008
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00



Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 12/19/2008

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$5,000, JOINTLY AND SEVERALLY.

.....

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Censure

Other Sanction(s) Sought: FINE \$5,000.00

Date Initiated: 10/29/2008

Docket/Case Number: 2007007232201

Employing firm when activity occurred which led to the regulatory action: TRIPP & CO., INC.

Product Type: No Product

Other Product Type(s):

Allegations: TRIPP & CO., INC. CONTINUING EDUCATION PROGRAM FOR 2005 AND 2006 FAILED TO FULLY COMPLY WITH THE FIRM ELEMENT OF FINRA'S CONTINUING EDUCATION REQUIREMENTS. TRIPP AND O'CONNOR VIOLATED NASD RULE 1120(B)(2) AND 2110

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/29/2008

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: FINE \$5,000.00 JOINTLY AND SEVERALLY PAYMENT PLAN BEING ARRANGED

Disclosure 3 of 4

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 07/18/2003**Docket/Case Number:** C10030062**Employing firm when activity occurred which led to the regulatory action:** TRIPP & CO., INC.**Product Type:** No Product**Other Product Type(s):****Allegations:** NASD RULES 1022, 2110, 3110 - A MEMBER FIRM, ACTING THROUGH O'CONNOR, OPERATED WITHOUT A REGISTERED FINANCIAL AND OPERATIONS PRINCIPAL; A MEMBER FIRM, ACTING THROUGH O'CONNOR, FAILED TO MAINTAIN ACCURATE BOOKS AND RECORDS IN THAT THE FIRM'S FINANCIAL BOOKS AND RECORDS CONTAINED INACCURACIES.**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No**Resolution Date:** 07/18/2003**Sanctions Ordered:** Censure
Monetary/Fine \$12,500.00**Other Sanctions Ordered:****Sanction Details:** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, O'CONNOR CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM IS CENSURED AND FINED \$12,500, JOINTLY AND SEVERALLY.**Reporting Source:** Individual**Regulatory Action Initiated By:** NASD**Sanction(s) Sought:** Censure**Other Sanction(s) Sought:****Date Initiated:** 07/18/2003**Docket/Case Number:** C10030062**Employing firm when activity occurred which led to the regulatory action:****Product Type:** No Product

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

1. FROM OCTOBER 1, 1999 TO JULY 17, 2002 OPERATED WITHOUT A REGISTERED FINANCIAL & OPERATIONS PRINCIPAL VIOLATING NASD M&R RULE 1022 AND NASD CONDUCT RULE 2110
2. ON OR ABOUT JULY 31, 2001, TRIPP ACTING THROUGH O' CONNOR FAILED TO MAINTAIN ACCURATE BOOKS AND RECORDS IN THAT TRIPP'S TRIAL BALANCE CONTAINED INACCURACIES. TRIPP VIOLATED SEC RULE 17A-3 AND NASD CONDUCT RULES 3110 & 2110

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

07/18/2003

Sanctions Ordered:

Censure
Monetary/Fine \$12,500.00

Other Sanctions Ordered:**Sanction Details:**

FINE JOINTLY AND SEVERALLY 12,500 AWAITING PAYMENT PLAN FROM NASD

Disclosure 4 of 4**Reporting Source:**

Regulator

Regulatory Action Initiated By:

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

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

06/01/1998

Docket/Case Number:

C04980023

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

TRIPP & CO., INC.

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

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

06/01/1998

Sanctions Ordered:

Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:**Sanction Details:****Regulator Statement**

ON JUNE 1, 1998, DISTRICT NO. 4 NOTIFIED RESPONDENT TRIPP & CO., INC. AND KEVIN MICHAEL JOHN O'CONNOR THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C04980023 WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$5,000, JOINTLY AND



SEVERALLY, AND RESPONDENT TRIPP IS FINED \$3,000, INDIVIDUALLY - (NASD RULES 1120, 2110 AND 3010 - RESPONDENT MEMBER FAILED TO COMPLETE A TRAINING NEEDS ANALYSIS AND TO DEVELOP WRITTEN TRAINING PLANS AND FAILED TO ADMINISTER ANY TRAINING PLAN FOR COVERED INDIVIDUALS CONCERNING THE FIRM ELEMENT OF THE CONTINUING EDUCATION PROGRAM; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENT O'CONNOR, FAILED TO ADOPT, MAINTAIN AND ENFORCE WRITTEN SUPERVISORY PROCEDURES REASONABLY DESIGNED TO ENSURE COMPLIANCE WITH THE FIRM ELEMENT PORTION OF NASD MEMBERSHIP AND REGISTRATION RULE 1120 IN THAT THE WRITTEN SUPERVISORY PROCEDURES FAILED TO DELEGATE RESPONSIBILITY FOR COMPLIANCE AND FAILED TO REFERENCE ANY PROCEDURES FOR COMPLIANCE WITH THE SPECIFIC REQUIREMENTS OF THE FIRM ELEMENT).

\$5,000.00 PAID J&S ON 6/30/98, INVOICE #98-04-501

.....

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/01/1997
Docket/Case Number:	E04970248
Employing firm when activity occurred which led to the regulatory action:	TRIPP & CO., INC.
Product Type:	Debt - Municipal
Other Product Type(s):	
Allegations:	FAILURE TO ADOPT & MAINTAIN WRITTEN SUPERVISORY PROCEDURES FOR THE FIRM ELEMENT, CONTINUING EDUCATION UNDER RULE 1120 AND RULE 2110
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/10/1998
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	CENSURE AND JOINT AND SEVERAL FINE TRIPP & CO., INC. AND O'CONNOR \$5,000.00
Broker Statement	NOT PROVIDED



Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source: Individual

Initiated By: NEW YORK

Relief Sought:

Other Relief Sought:

Date Court Action Filed: 05/15/1981

Product Type:

Other Product Types:

Employing firm when activity occurred which led to the action: DIVERSIFIED INVESTMENTS, INC.

Allegations:

Current Status: Final

Resolution: Judgment Rendered

Resolution Date: 05/15/1981

Sanctions Ordered or Relief Granted:

Other Sanctions:

Sanction Details:

Broker Statement

A TEMPORARY RESTRAINING ORDER WAS ISSUED TO O'CONNOR EFFECTIVE MAY 15, 1981, FOR THE DURATION OF AN INVESTIGATION BY THE N.Y. ATTORNEY GENERAL'S OFFICE INTO THE SALES PRACTICES OF A FORMER EMPLOYER (DIVERSIFIED INVESTMENTS, INC.) IN CONNECTION WITH FRANCHISE SALES OF AMERICAN READING CENTERS, INC. THE COURT ORDER OF MAY 15, 1981 WAS MODIFIED BY REMOVING ANY RESTRICTIONS OR INJUNCTIONS PLACED AGAINST O'CONNOR FROM OFFERING AND SELLING SECURITIES AND COMMODITIES TO THE PUBLIC WITHIN OR FROM THE STATE OF NEW YORK EITHER AS A PRINCIPAL OR AS AGENT, PROVIDED THAT HE COMPLIES WITH THE REQUISITE REGISTRATION REQUIREMENTS OF GENERAL BUSINESS LAW, ARTICLE 23-A.



End of Report

This page is intentionally left blank.