



IAPD Report

John William Cooley

CRD# 1193065

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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.



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

John William Cooley (CRD# 1193065)

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 **09/30/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	COLORADO FINANCIAL SERVICE CORPORATION	CRD# 104343	04/12/2018
IA	COLORADO FINANCIAL SERVICE CORPORATION	CRD# 104343	04/13/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	COLORADO FINANCIAL SERVICE CORPORATION	104343	LAGUNA BEACH, CA	03/19/2014 - 04/27/2016
B	COLORADO FINANCIAL SERVICE CORPORATION	104343	CENTENNIAL, CO	01/18/2011 - 04/27/2016
IA	COLORADO FINANCIAL SERVICE CORPORATION	104343	LAGUNA BEACH, CA	09/10/2012 - 05/30/2013

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	1



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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **COLORADO FINANCIAL SERVICE CORPORATION**
Main Address: 188 INVERNESS DRIVE WEST
STE 100
CENTENNIAL, CO 80112
Firm ID#: 104343

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/12/2018
B	FINRA	General Securities Representative	Approved	04/12/2018
B	California	Agent	Approved	04/13/2018
IA	California	Investment Adviser Representative	Approved	04/13/2018
B	Nevada	Agent	Approved	01/12/2022

Branch Office Locations

COLORADO FINANCIAL SERVICE CORPORATION
Las Vegas, NV



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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/10/2005

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Foreign Currency Options Examination (S15)	Series 15	06/05/1984
B	Interest Rate Options Examination (S5)	Series 5	05/25/1984
B	General Securities Representative Examination (S7)	Series 7	09/17/1983

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/15/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/05/1984



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	03/19/2014 - 04/27/2016	COLORADO FINANCIAL SERVICE CORPORATION	CRD# 104343	LAGUNA BEACH, CA
B	01/18/2011 - 04/27/2016	COLORADO FINANCIAL SERVICE CORPORATION	CRD# 104343	CENTENNIAL, CO
IA	09/10/2012 - 05/30/2013	COLORADO FINANCIAL SERVICE CORPORATION	CRD# 104343	LAGUNA BEACH, CA
B	10/14/2009 - 10/21/2010	INVEST FINANCIAL CORPORATION	CRD# 12984	RENTON, WA
B	10/22/2004 - 03/26/2009	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	01/10/2003 - 11/01/2004	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA
B	02/11/1999 - 12/02/2002	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	FOLSOM, CA
B	05/06/1996 - 10/14/1997	CENTAURUS FINANCIAL, INC.	CRD# 30833	ANAHEIM, CA
B	07/07/1994 - 02/17/1995	ROBERT SCOTT SECURITIES, INC.	CRD# 28180	
B	08/12/1992 - 12/31/1992	BROKERS INVESTMENT CORPORATION	CRD# 16607	CANOGA PARK, CA
B	08/09/1990 - 04/02/1991	COAST FINANCIAL ADVISORS, INC.	CRD# 6249	MISSION VIEJO, CA
B	01/03/1989 - 03/06/1990	CROWELL, WEEDON & CO.	CRD# 193	LOS ANGELES, CA
B	09/18/1987 - 12/21/1988	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	05/12/1986 - 10/15/1987	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	09/22/1983 - 05/16/1986	PAINWEBBER INCORPORATED	CRD# 8174	



Registration & Employment History

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
01/2011 - Present	COLORADO FINANCIAL SERVICE CORPORATION	REGISTERED REPRESENTATIVE	Y	CENTENNIAL, CO, United States
01/2002 - Present	SUCCESS CONTINUING EDUCATION	PESIDENT	N	NEW PORT BEACH , CA, United States
04/1996 - Present	SUCCESS SYSTEMS INTERNATIONAL	PRESIDENT	N	LAGUNA BEACH, CA, 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.

- (1) SUCCESS CONTINUING EDUCATION / 2 CORPORATE PLAZA DRIVE #100 NEWPORT BEACH, CA 92660. / PRESIDENT / NOT INV RELATED / OWNER / SINCE JANUARY 2002 / 160 HRS PER MONTH / 30 TRADING HRS PER MONTH.
- (2) BILL COOLEY REAL ESTATE / 215 EMERALD BAY LAGUNA BEACH CA 2651 / PERSONAL REAL ESTATE MANAGEMENT / NOT INVESTMENT RELATED / OWNER / DATE OF INCEPTION 2000 / 5 HOURS PER MONTH DURING TRADING HOURS.
- (3)BILL COOLEY CONSULTING / 215 EMERALD BAY LAGUNA BEACH CA 92651/ NOT INVESTMENT RELATED / CONSULTING FOR BUSINESSES / INCEPTION DATE 1996 / OWNER / 5 HOURS PER MONTH DURING TRADING HOURS.
- (4) INSURANCE ACTIVITIES THROUGH KAISER PERMANENTE (5) BC AUTO GROUP / WHOLE SALE AUTO DEALER / 215 EMERALD BAY, LAGUNA BEACH, CA 92651 / NO HOURS WORKED DURING TRADING HOURS / HOBBY
- (5) LQ RRENTALS / PERSONAL REAL ESTATE MANAGEMENT / NOT INVESTMENT RELATED / OWNER / 0 HOURS PER MONTH DURING TRADING HOURS



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	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/30/1990
Docket/Case Number:	C0290016 (LA-4335)
Employing firm when activity occurred which led to the regulatory action:	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	09/19/1991
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NO. LA-4335 (DISTRICT NO. 2) FILED NOVEMBER 30, 1990 AGAINST RESPONDENTS BATEMAN EICHLER, HILL RICHARDS, INC. (A



DIVISION OF KEMPER SECURITIES GROUP, INC.), JOHN WILLIAM COOLEY, AND JOHN ROSS BATTOE ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 27 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT COOLEY OVERCHARGED A PUBLIC CUSTOMER BY FAILING TO GIVE THE CUSTOMER THE BENEFIT OF REDUCED SALES CHARGES ASSOCIATED WITH COMBINED PURCHASES OF INVESTMENT COMPANY SHARES; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENT BATTOE, FAILED TO MAINTAIN WRITTEN PROCEDURES TO ENSURE THAT THE CUSTOMER RECEIVED THE BENEFIT OF REDUCED SALES CHARGES.

DECISION RENDERED SEPTEMBER 19, 1991, C02900016 (LA-4335) WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY REpondENTS MEMBER, COOLEY AND BATTOE WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY.

\$5,000.00 J&S PAID ON 11/26/91 INVOICE #91-02-1109

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Reporting Source:	Firm
Regulatory Action Initiated By:	NASD, DISTRICT NO. 2
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/30/1990
Docket/Case Number:	C0290016 (LA-4335)
Employing firm when activity occurred which led to the regulatory action:	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED
Product Type:	
Other Product Type(s):	
Allegations:	AN NASD INVESTIGATION CONCERNING THE SALES ACTIVITIES OF COOLEY, SPECIFICALLY REVIEWING THE SALES AND PURCHASES OF INVESTMENT COMPANY SHARES FOR SEVERAL CUSTOMERS. VIOLATION OF ARTICLE III SECTION 1 OF THE RULES
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	09/19/1991
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	RESPONDENTS ARE CENSURED AND JOINTLY AND SEVERALLY FINED IN THE AMOUNT OF \$5,000.00.

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Reporting Source: Individual



Regulatory Action Initiated By:	NASD ADMINISTRATIVE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	FINE AND CENSURE SPLIT EQUALLY BETWEEN BRANCH MANGER, BROKER DEALER, AND MYSELF.
Date Initiated:	11/30/1990
Docket/Case Number:	C0290016 (LA-4335)
Employing firm when activity occurred which led to the regulatory action:	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED
Product Type:	Other
Other Product Type(s):	MUTUAL FUNDS
Allegations:	AGAINST THE BROKER DELAER, THE BRANCH MANAGER, AND MYSELF, THE ALLEGATION OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	09/19/1991
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	THE B/D (BATEMAN-EICHLER) THE BRANCH MANAGER AND BROKER WERE JOINTLY AND SEVERALLY FINE \$5000. THE FINE WAS SPLIT 3 WAY EQUALLY. ALL THREE ENTITIES WERE ALSO CENSURED DUE TO THE NEW NASD RULES WHICH DID NOT PERMIT FINES WITHOUT CENSURES.



End of Report

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