



## IAPD Report

# JAMES ARTHUR STEINBRENNER

CRD# 1225845

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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

### JAMES ARTHUR STEINBRENNER (CRD# 1225845)

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 **03/20/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LASALLE ST SECURITIES, L.L.C.	CRD# 7191	02/01/2019
<b>IA</b>	LASALLE ST. INVESTMENT ADVISORS, L.L.C.	CRD# 109701	02/01/2019

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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
<b>IA</b>	SAXONY CAPITAL MANAGEMENT, LLC	122692	MILWAUKEE, WI	01/09/2009 - 02/27/2019
<b>B</b>	SAXONY SECURITIES, INC.	115547	Wauwatosa, WI	12/24/2008 - 02/27/2019
<b>IA</b>	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	WAUWATOSA, WI	05/10/2005 - 12/19/2008

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
Customer Dispute	2
Termination	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 **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **LASALLE ST SECURITIES, L.L.C.**  
Main Address: 940 N. INDUSTRIAL DR.  
ELMHURST, IL 60126-1131  
Firm ID#: 7191

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Principal	Approved	02/01/2019
<b>B</b> FINRA	General Securities Representative	Approved	02/01/2019
<b>B</b> FINRA	Municipal Fund	Approved	02/01/2019
<b>B</b> Arizona	Agent	Approved	03/25/2024
<b>B</b> Arkansas	Agent	Approved	02/01/2019
<b>B</b> Illinois	Agent	Approved	04/17/2019
<b>B</b> Indiana	Agent	Approved	04/15/2019
<b>B</b> Michigan	Agent	Approved	02/01/2019
<b>B</b> Minnesota	Agent	Approved	02/11/2019
<b>B</b> North Carolina	Agent	Approved	02/01/2019
<b>B</b> Wisconsin	Agent	Approved	02/01/2019

### Branch Office Locations

9800 W. Bluemound Rd.  
Wauwatosa, WI 53226



## Qualifications

### Employment 2 of 2

Firm Name: **LASALLE ST. INVESTMENT ADVISORS, L.L.C.**  
Main Address: 940 N. INDUSTRIAL DR.  
ELMHURST, IL 60126-1131  
Firm ID#: 109701

	Regulator	Registration	Status	Date
IA	Arkansas	Investment Adviser Representative	Approved	01/25/2022
IA	Illinois	Investment Adviser Representative	Approved	03/03/2020
IA	Indiana	Investment Adviser Representative	Approved	09/30/2019
IA	Kentucky	Investment Adviser Representative	Approved	08/01/2023
IA	Michigan	Investment Adviser Representative	Approved	01/10/2024
IA	North Carolina	Investment Adviser Representative	Approved	10/28/2019
IA	Wisconsin	Investment Adviser Representative	Approved	02/01/2019

### Branch Office Locations

**LASALLE ST. INVESTMENT ADVISORS, L.L.C.**  
9800 Bluemound Rd.  
Wauwatosa, WI 53226



## 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, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	06/07/2004
	General Securities Principal Examination (S24)	Series 24	04/16/1999

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/30/1998
	Direct Participation Programs Representative Examination (S22)	Series 22	10/03/1984
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/30/1983

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/12/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/13/1998

### 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	01/09/2009 - 02/27/2019	SAXONY CAPITAL MANAGEMENT, LLC	CRD# 122692	MILWAUKEE, WI
B	12/24/2008 - 02/27/2019	SAXONY SECURITIES, INC.	CRD# 115547	Wauwatosa, WI
IA	05/10/2005 - 12/19/2008	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	WAUWATOSA, WI
B	10/02/2000 - 12/19/2008	NATIONAL PLANNING CORPORATION	CRD# 29604	WAUWATOSA, WI
IA	08/19/2003 - 08/19/2003	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	WAUWATOSA, WI
B	10/12/1998 - 10/03/2000	HARBOUR INVESTMENTS, INC.	CRD# 19258	MADISON, WI
B	07/24/1986 - 09/08/1992	CHUBB SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	01/03/1984 - 05/05/1986	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	

### 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
02/2019 - Present	LaSalle St Securities LLC	Registered Rep	Y	Elmhurst, IL, United States
02/2019 - Present	Registered Advisor	Registered Advisor	Y	Elmhurst, IL, United States
12/2014 - Present	STEINBRENNER FINANCIAL GROUP	PRESIDENT/TREASURER	Y	WAUWATOSA, WI, United States
12/2008 - 02/2019	SAXONY SECURITIES	REGISTERED REP	Y	ST LOUIS, MO, United States



## Registration & Employment History



### 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.) HEARTLAND ORGANIZATION LTD-ASSIST WITH SEMINARS, REFER INDIVIDUALS TO ATTORNEYS FOR ESTATE PLANNING, DIRECTOR OF FIRM-NOT INVESTMENT RELATED-WI, 53226-5% TIME SPENT.  
FIXED INSURANCE SALES.
- 2.) STEINBRENNER FINANCIAL GROUP - DBA INVESTMENT RELATED BUSINESS, 530 N. 108TH PLACE, SUITE 203, WAUWATOSA, WI 53226  
CORPORATION, INSURANCE REP, FIXED ANNUITIES
- 3) STEINBRENNER PARTNERS PROPERTY 1 LLC, 1642 EDITH ESPLANADE CAPE CORAL, FL 33904, RENTAL PROPERTY, 1% TIME SPENT, 1-20% ANNUAL INCOME, NON-INVESTMENT RELATED;
4. LaSalle St Investment Advisors LLC



## 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
Customer Dispute	2
Termination	1

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	NATIONAL PLANNING CORPORATION
<b>Allegations:</b>	CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY, BREACH OF BROKERAGE AGREEMENT, BREACH OF WISCONSIN SECURITIES LAW, AND VIOLATION OF WISCONSIN UNIFORM FIDUCIARIES ACT.
<b>Product Type:</b>	Debt-Government Equity Listed (Common & Preferred Stock) Money Market Fund Mutual Fund Unit Investment Trust
<b>Alleged Damages:</b>	\$500,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	THE FIRM HAS MADE A GOOD FAITH DETERMINATION FOR THE ALLEGED DAMAGES AMOUNT
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	<a href="#">14-00193</a>
<b>Date Notice/Process Served:</b>	02/21/2014



**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 04/07/2015  
**Monetary Compensation Amount:** \$169,000.00  
**Individual Contribution Amount:** \$45,000.00

**Civil Litigation Information**

**Type of Court:** State Court  
**Name of Court:** MILWAUKEE COUNTY CIRCUIT COURT, WI  
**Location of Court:** MILWAUKEE COUNTY, WI  
**Docket/Case #:** CASE # 11CV17625  
**Date Notice/Process Served:** 10/02/2012  
**Litigation Pending?** No  
**Disposition:** Dismissed  
**Disposition Date:** 04/24/2015

**Firm Statement** CLAIMANTS INITIALLY FILED THEIR ACTION IN THE CIRCUIT COURT OF MILWAUKEE COUNTY (CASE NO. 11 CV 17625). THE COURT ORDERED THE PARTIES TO ARBITRATE THE CASE AND STAYED THE CASE INDEFINITELY PENDING RESOLUTION OF THE ARBITRATION.

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** NATIONAL PLANNING CORPORATION

**Allegations:** THE CLAIMANTS ARE CERTAIN CHILDREN OF THE CUSTOMERS, [REDACTED]. THE CUSTOMERS, THEMSELVES, ARE NOT CLAIMANTS. CERTAIN OF THE CUSTOMERS' CHILDREN ALLEGE THE FOLLOWING BREACH OF FIDUCIARY DUTY, BREACH OF BROKERAGE AGREEMENT, BREACH OF WISCONSIN SECURITIES LAW, AND VIOLATION OF WISCONSIN UNIFORM FIDUCIARIES ACT.

**Product Type:** Debt-Government  
 Equity Listed (Common & Preferred Stock)  
 Money Market Fund  
 Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** THE CUSTOMERS' CHILDREN REQUEST ACTUAL DAMAGES OF \$500,000. : THE CUSTOMERS' CHILDREN REQUEST PUNITIVE DAMAGES OF A) AGAINST CHRISTINE GRIBBLE, THE SUM OF \$250,000 OR THREE (3) TIMES THE ACTUAL DAMAGES, WHICHEVER IS GREATER; B) AGAINST JAMES STEINBRENNER, THE SUM OF \$250,000; C) AGAINST NATIONAL PLANNING CORPORATION, THE SUM OF \$250,000.

**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 #:** 14-00193

**Filing date of arbitration/CFTC reparation or civil litigation:** 02/05/2014

### Customer Complaint Information

**Date Complaint Received:** 02/21/2014

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/07/2015

**Settlement Amount:** \$169,000.00

**Individual Contribution Amount:** \$45,000.00

### Arbitration Information

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

**Docket/Case #:** [14-00193](#)

**Date Notice/Process Served:** 02/21/2014

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/07/2015

**Monetary Compensation Amount:** \$169,000.00

**Individual Contribution Amount:** \$45,000.00

### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** MILWAUKEE COUNTY CIRCUIT COURT, WI

**Location of Court:** MILWAUKEE COUNTY, WI

**Docket/Case #:** CASE # 11CV17625

**Date Notice/Process Served:** 10/02/2012

**Litigation Pending?** No

**Disposition:** Dismissed

**Disposition Date:** 04/24/2015

**Broker Statement** CLAIMANTS INITIALLY FILED THEIR ACTION IN THE CIRCUIT COURT OF MILWAUKEE COUNTY (CASE NO. 11 CV 17625). THE COURT ORDERED THE PARTIES TO ARBITRATE THE CASE AND STAYED THE CASE INDEFINITELY,



PENDING RESOLUTION OF THE ARBITRATION.

**Disclosure 2 of 2**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** HARBOUR INVESTMENTS, INC

**Allegations:** CLIENTS CLAIM THAT THEY WERE NEVER AFFORDED A FREE LOOK PERIOD DUE TO THE FACT THAT THE CONTRACT WAS NEVER DELIVERED. THEY ARE REQUESTING A REFUND OF PREMIUMS

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$27,620.00

**Customer Complaint Information**

**Date Complaint Received:** 09/03/2002  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 10/22/2002  
**Settlement Amount:**  
**Individual Contribution Amount:**



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** NATIONAL PLANNING CORPORATION  
**Termination Type:** Discharged  
**Termination Date:** 12/17/2008  
**Allegations:** VIOLATION OF FIRM POLICIES - OBTAINING BLANK PRE-SIGNED FORMS.  
**Product Type:** Other  
**Other Product Types:** MULTIPLE PRODUCT LINES

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**Reporting Source:** Individual  
**Firm Name:** NATIONAL PLANNING CORPORATION  
**Termination Type:** Discharged  
**Termination Date:** 12/17/2008  
**Allegations:** VIOLATION OF FIRM POLICIES - OBTAINING BLANK PRE-SIGNED FORMS  
**Product Type:** Other  
**Other Product Types:** MULTIPLE PRODUCT LINES  
**Broker Statement** CLIENT WAS IN OFFICE AND APPLICATION PROCESS WAS MIDSTREAM, CLIENTS PREVIOUS PLAN WAS FROZEN AND APPLICATION PROCESS WAS CANCELLED.



## End of Report

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