



IAPD Report

JOHN RICHARD BICKEL

CRD# 1229797

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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 RICHARD BICKEL (CRD# 1229797)

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 **05/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	09/17/2010
IA	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	11/03/2010

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **35** 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	KCCI, LTD.	34528	JERSEY CITY, NJ	03/17/2009 - 09/17/2010
IA	WACHOVIA SECURITIES, LLC	19616	GREENWOOD VILLAGE, CO	08/05/2005 - 07/30/2008
B	WACHOVIA SECURITIES, LLC	19616	GREENWOOD VILLAGE, CO	07/07/2005 - 07/30/2008

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



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 **35** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ROBERT W. BAIRD & CO. INCORPORATED**
Main Address: 777 E. WISCONSIN AVENUE
MILWAUKEE, WI 53202-5391
Firm ID#: 8158

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/17/2010
B NYSE American LLC	General Securities Representative	Approved	09/17/2010
B Nasdaq Stock Market	General Securities Representative	Approved	09/17/2010
B New York Stock Exchange	General Securities Representative	Approved	09/17/2010
B Alabama	Agent	Approved	05/24/2018
B Arizona	Agent	Approved	09/17/2010
B Arkansas	Agent	Approved	07/30/2015
B California	Agent	Approved	09/17/2010
B Colorado	Agent	Approved	09/17/2010
IA Colorado	Investment Adviser Representative	Approved	11/03/2010
B Connecticut	Agent	Approved	10/01/2019
B Delaware	Agent	Approved	03/28/2017
B Florida	Agent	Approved	09/30/2010



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	01/05/2018
B Illinois	Agent	Approved	09/17/2010
B Indiana	Agent	Approved	05/04/2017
B Kansas	Agent	Approved	09/22/2010
B Massachusetts	Agent	Approved	09/22/2010
B Michigan	Agent	Approved	10/11/2010
B Minnesota	Agent	Approved	09/27/2018
B Missouri	Agent	Approved	09/24/2010
B Montana	Agent	Approved	09/26/2018
B Nebraska	Agent	Approved	03/24/2017
B Nevada	Agent	Approved	09/23/2025
B New Jersey	Agent	Approved	10/05/2010
B New Mexico	Agent	Approved	10/05/2010
B New York	Agent	Approved	03/27/2017
B North Carolina	Agent	Approved	01/23/2017
B Ohio	Agent	Approved	09/28/2010
B Oklahoma	Agent	Approved	10/01/2018
B Oregon	Agent	Approved	10/01/2010
B Pennsylvania	Agent	Approved	05/13/2026



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	03/27/2017
B South Dakota	Agent	Approved	03/29/2017
B Tennessee	Agent	Approved	02/03/2017
B Texas	Agent	Approved	10/04/2010
IA Texas	Investment Adviser Representative	Restricted Approval	03/20/2017
B Utah	Agent	Approved	09/20/2010
B Virginia	Agent	Approved	09/17/2010
B Washington	Agent	Approved	09/17/2010
B Wisconsin	Agent	Approved	12/23/2021
B Wyoming	Agent	Approved	09/20/2010

Branch Office Locations

ROBERT W. BAIRD & CO. INCORPORATED
210 UNIVERSITY BOULEVARD
Ste 800
DENVER, CO 80206

ROBERT W. BAIRD & CO. INCORPORATED
Golden, CO



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 0 principal/supervisory exams, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE) SIE 10/01/2018

B Futures Managed Funds Examination (S31) Series 31 04/17/2012

B General Securities Representative Examination (S7) Series 7 07/06/2005

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65) Series 65 11/01/2010

IA **B** Uniform Combined State Law Examination (S66) Series 66 08/03/2005

B Uniform Securities Agent State Law Examination (S63) Series 63 02/17/1984

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
B	03/17/2009 - 09/17/2010	KCCI, LTD.	CRD# 34528	JERSEY CITY, NJ
IA	08/05/2005 - 07/30/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	GREENWOOD VILLAGE
B	07/07/2005 - 07/30/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	GREENWOOD VILLAGE
B	07/09/1999 - 07/19/2000	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	05/11/1998 - 11/25/1998	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	12/02/1996 - 05/11/1998	PRINCIPAL FINANCIAL SECURITIES, INC.	CRD# 260	DALLAS, TX
B	05/09/1995 - 07/11/1996	DAIN BOSWORTH INCORPORATED	CRD# 7600	
B	05/28/1991 - 09/29/1993	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	09/18/1989 - 05/29/1991	FIRST ANALYSIS SECURITIES CORPORATION	CRD# 10446	CHICAGO, IL
B	12/05/1988 - 05/20/1989	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	08/21/1987 - 12/07/1988	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	12/05/1984 - 08/29/1987	E. F. HUTTON & COMPANY INC	CRD# 235	
B	01/25/1984 - 10/22/1984	A. G. EDWARDS & SONS, INC.	CRD# 4	

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
09/2010 - Present	ROBERT W. BAIRD	FINANCIAL ADVISOR	Y	DENVER, CO, 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.

NAME AND ADDRESS OF OTHER BUSINESS: PREWITT WATERFOWLERS, 15488 COUNTY ROAD 57, HILLROSE, CO 80733

NATURE OF ENTITY: HUNTING AND FISHING CLUB

ROLE IN OUTSIDE BUSINESS: OWNER

RESPONSIBILITIES IN THIS ROLE: RECRUIT MEMBERS TO THE CLUB, MAKE CERTAIN RULES ARE OBEYED AND DUES ARE PAID.

HOURS DEVOTED TO OTHER BUSINESS: ONE HOUR PER WEEK. NONE DURING SECURITIES 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
Customer Dispute	2

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	DEAN WITTER
Allegations:	CLIENT ALLEGED SHE DID NOT UNDERSTAND HER INVESTMENTS AND REQUESTED HER MONEY BACK. [CUSTOMER] QUESTIONED THE APPROPRIATENESS OF THE INVESTMENTS. THE INVESTMENT PORTFOLIO WAS VALUED AT APPROXIMATELY \$250,000.
Product Type:	Equipment Leasing Mutual Fund
Alleged Damages:	\$1,000,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Settled
Status Date:	05/05/1990
Settlement Amount:	\$93,000.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Disposition:	Award to Customer
Disposition Date:	05/05/1990



Civil Litigation Information

Type of Court: OUT OF COURT

Name of Court:

Location of Court:

Docket/Case #:

Date Notice/Process Served: 12/16/1988

Litigation Pending? No

Disposition: Monetary Judgment to Applicant (Agent/Representative)

Disposition Date: 08/27/1990

Monetary Compensation Amount: \$89,191.62

Individual Contribution Amount: \$0.00

Broker Statement I WAS NOT REQUIRED TO PAY ANY FINES OR SETTLEMENT. THERE WERE NO SUSPENSIONS OR RESTRICTIONS LEVIED AGAINST ME. I WAS NAMED JOINTLY WITH DEAN WITTER IN A \$10,000. SETTLEMENT THAT DEAN WITTER PAID. THERE WERE ADDITIONAL ALLEGATIONS AGAINST DEAN WITTER AND THE MANAGER OF NAPLES, FLORIDA OFFICE, AND I WAS NOT NAMED IN THE SETTLEMENT OF THESE CHARGES.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS

Allegations:

Product Type:

Alleged Damages: \$118,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/27/1989

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Date Notice/Process Served: 10/28/1988



Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/27/1989

Monetary Compensation Amount: \$118,000.00

Individual Contribution Amount: \$0.00

Firm Statement 5/23/89^ AMENDED U5 RECEIVED FROM DEAN WITTER REYNOLDS INC. DISCLOSES THAT A CLIENT OF JOHN BICKEL, BY THE NAME OF [CUSTOMER], FILED A COMPLAINT THROUGH HER ATTORNEY THAT AN INVESTMENT IN A NATIONAL LEASE INCOME VI PARTNERSHIP, [CUSTOMER] HAD PURCHASED IN JANUARY, 1988 WAS ILLIQUID AND ACCORDINGLY, UNSUITABLE. [CUSTOMER'S] ATTORNEY COMMENCED AN ARBITRATION PROCEEDING UNDER THE AUSPICES OF THE NASD, AGAINST DWR AND MR. BICKEL. DWR AND MR. BICKEL DENIED ANY IMPROPRIETY. IN ORDER TO AVOID THE UNCERTAINTY AND EXPENSES OF CONTINUED LITIGATION, DWR AGREED TO RESCIND [CUSTOMER'S] PURCHASE OF THE NATIONAL LEASE INCOME VI INVESTMENT. ***[6/26/89] REQUESTED CORRESPONDENCE (008009 17389) RECEIVED FROM DEAN WITTER REYNOLDS INC. DISCLOSES: THE [CUSTOMER] COMPLAINT WAS FILED WITH THE NASD ON OCTOBER 28, 1988. THE DAMAGES/LOSSES WERE NOT AT ISSUE, BUT THE LIQUIDITY OF THE INVESTMENT AS DETAILED IN THE AMENDED U-5. THE SETTLEMENT DATE WAS APRIL 27, 1989.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS

Allegations: THE CLIENT WISHED TO RESCIND A TRADE ONE MONTH AFTER THE ORIGINAL INVESMENT WAS MADE THE INVESTMENT HAD NOT LOST MONEY AND WAS PAYING ITS SCHEDULED INTREST PAYMENTS. THE COMPLAINT STATED THAT SHE DID NOT FULLY UNDERSTAND THE INVESTMENT AND THAT SHE FELT IT WAS NOT APROPRIATE FOR HER. COMPLAINT RECEIVED BY DEANWITTER

Product Type:

Alleged Damages: \$118,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/27/1989

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

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

Date Notice/Process Served: 10/28/1988

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/27/1989

**Monetary Compensation
Amount:** \$118,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement TRADE WAS RECINDED BY DEANWITTER. THERE WAS NO
MONETARY COMPENSATION
THIS IS NOT REPORTABLE ON THE FORM U4.



End of Report

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