



IAPD Report

MICHAEL FRANCIS BURKE

CRD# 1350830

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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

MICHAEL FRANCIS BURKE (CRD# 1350830)

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 **01/10/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MONERE INVESTMENTS, INC.	CRD# 105487	05/22/2015
IA	MONERE WEALTH MANAGEMENT, INC.	CRD# 173076	05/22/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	DAVID A. NOYES & COMPANY	205	OAK PARK, IL	08/18/2008 - 06/02/2015
B	DAVID A. NOYES & COMPANY	205	OAK PARK, IL	03/26/1996 - 06/02/2015
B	LAUGHLIN GROUP ADVISORS, INC.	18272	LINCOLN, NE	11/09/1993 - 03/26/1996

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

Employment 1 of 2

Firm Name: **MONERE WEALTH MANAGEMENT, INC.**

Main Address: 20 N. MARTINGALE ROAD
SUITE 450
SCHAUMBURG, IL 60173

Firm ID#: 173076

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	05/22/2015
IA	Louisiana	Investment Adviser Representative	Approved	01/11/2023
IA	Nevada	Investment Adviser Representative	Approved	01/27/2023
IA	North Carolina	Investment Adviser Representative	Approved	01/13/2023
IA	Ohio	Investment Adviser Representative	Approved	06/29/2022
IA	South Carolina	Investment Adviser Representative	Approved	01/11/2023
IA	Wisconsin	Investment Adviser Representative	Approved	01/10/2023

Branch Office Locations

MONERE WEALTH MANAGEMENT, INC.

20 N. MARTINGALE ROAD
SUITE 450
SCHAUMBURG, IL 60173

Employment 2 of 2

Firm Name: **MONERE INVESTMENTS, INC.**

Main Address: 20 N. MARTINGALE ROAD
SUITE 450
SCHAUMBURG, IL 60173

Firm ID#: 105487



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/22/2015
B	Arkansas	Agent	Approved	05/27/2015
B	California	Agent	Approved	01/11/2023
B	Colorado	Agent	Approved	01/11/2023
B	Florida	Agent	Approved	06/08/2015
B	Illinois	Agent	Approved	05/22/2015
B	Indiana	Agent	Approved	05/27/2015
B	Louisiana	Agent	Approved	05/27/2015
B	Michigan	Agent	Approved	05/27/2015
B	Nevada	Agent	Approved	10/19/2020
B	North Carolina	Agent	Approved	05/27/2015
B	Ohio	Agent	Approved	06/29/2022
B	South Carolina	Agent	Approved	10/07/2020
B	Tennessee	Agent	Approved	01/05/2022
B	Texas	Agent	Approved	06/13/2016
B	Washington	Agent	Approved	05/27/2015
B	Wisconsin	Agent	Approved	01/03/2022

Branch Office Locations

1111 West 22nd Street



Qualifications

Suite 630
Oak Brook, IL 60523



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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	12/27/1988

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	07/16/1988

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/11/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/06/1988



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	08/18/2008 - 06/02/2015	DAVID A. NOYES & COMPANY	CRD# 205	OAK PARK, IL
B	03/26/1996 - 06/02/2015	DAVID A. NOYES & COMPANY	CRD# 205	OAK PARK, IL
B	11/09/1993 - 03/26/1996	LAUGHLIN GROUP ADVISORS, INC.	CRD# 18272	LINCOLN, NE
B	02/24/1993 - 11/09/1993	ABN AMRO INVESTMENT SERVICES, INC.	CRD# 20373	CHICAGO, IL
B	02/05/1991 - 01/26/1993	GNA SECURITIES, INC.	CRD# 10465	GLEN ALLEN, VA
B	03/15/1989 - 12/31/1990	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	10/31/1988 - 02/23/1989	ALLIED CAPITAL GROUP, INC.	CRD# 13146	
B	07/19/1988 - 11/03/1988	GRAYSTONE NASH, INC.	CRD# 10635	

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
05/2015 - Present	MONERE INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, 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.

No information reported.



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:	ILLINOIS SECURITIES DEPARTMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/08/1990
Docket/Case Number:	89000734
Employing firm when activity occurred which led to the regulatory action:	GRAYSTONE NASH, INC.
Product Type:	
Other Product Type(s):	
Allegations:	THE ILLINOIS SECURITIES DEPARTMENT ISSUED A CONSENT ORDER OF PROHIBITION AND CENSURE AGAINST RESPONDENT MICHAEL FRANCIS BURKE. RESPONDENT MICHAEL FRANCIS BURKE NEITHER ADMITTED NOR DENIED THAT HE HAD VIOLATED THE ILLINOIS SECURITIES LAW. THAT RESPONDENT MICHAEL FRANCIS BURKE IS PROHIBITED FROM OFFERING FOR SALE OR SELLING SECURITIES IN THE STATE OF ILLINOIS OR TO ANY ILLINOIS RESIDENTS OTHER THAN IN COMPLIANCE WITH THE ILLINOIS SECURITIES LAW OF 1953 ILL. REV. STAT. THEN CURRENT AND REGULATIONS PROMULGATED THEREUNDER THEN IN EFFECT.
Current Status:	Final



Resolution: Consent
Resolution Date: 06/11/1990
Sanctions Ordered: Censure
Other Sanctions Ordered:
Sanction Details: CONSENT ORDER OF PROHIBITION AND CENSURE
Regulator Statement Not Provided

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Reporting Source: Individual
Regulatory Action Initiated By: STATE OF ILLINOIS/SECURITIES DEPT.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/08/1990

Docket/Case Number: 89000734

Employing firm when activity occurred which led to the regulatory action: GRAYSTONE NASH, INC.

Product Type:

Other Product Type(s):

Allegations: WHILE REPRESENTING GRAYSTONE NASH, IN STATE OF ILLINOIS I MADE THE FOLLOWING STOCK TRANSACTIONS WITH LOWELL JURGENS ON 8/29/88, BOT 1000 SHARE'S OF CAPITAL INVESTMENT DUNLOT CORP. (CIDC) AT \$2.50 AND ON 10/21/88 SOLD 1000 CIDC AT \$1.25 PER SHARE, I MADE THE FOLLOWING STATEMENTS TO JURGENS REGARDING CIDC: A) GRAYSTONE WAS GOING TO MERGE WITH CIDC OR GRAYSTONE WOULD BUY THEM (CIDC). B) THAT CIDC WOULD BE WORTH \$5.00 PER SHARE AND C) CIDC WOULD TRADE ON THE AMEX. THAT BY VIRTUE OF FOREGOING I VIOLATED SECTION 12A, 12F & 12G OF ILL SEC. LAW 1953 ILL. REV. STAT CH 121 1/2 SEC. 137.1 ET. SEQ.

Current Status: Final

Resolution: Consent

Resolution Date: 06/11/1990

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: CONSENTED TO AN ORDER OF PROHIBITION FROM OFFERING FOR SALE OR SELLING ANY SECURITIES IN THE STATE OF ILLINOIS OR TO ILLINOIS RESIDENTS OR IN ANY WAY ENGAGING IN THE SECURITIES BUSINESS OTHER THAN IN COMPLIANCE WITH THE ILLINOIS SECURITIES LAW OF 1953 & AN ORDER OF PUBLIC CENSURE.

Broker Statement Not Provided



End of Report

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