



IAPD Report

GUY WILLIAM KEEFER

CRD# 1630892

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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

GUY WILLIAM KEEFER (CRD# 1630892)

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 **12/04/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KEEFER PENSION CONSULTING, INC.	CRD# 150657	07/15/2009

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	El Segundo, CA	07/07/2009 - 10/02/2017
IA	INVESTORS CAPITAL ADVISORY	30613	MARINA DEL REY, CA	05/18/2009 - 07/13/2009
B	INVESTORS CAPITAL CORP.	30613	MARINA DEL REY, CA	05/15/2009 - 07/13/2009

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **KEEFER PENSION CONSULTING, INC.**
Main Address: 400 CONTINENTAL BOULEVARD
6TH FLOOR
EL SEGUNDO, CA 90245
Firm ID#: 150657

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	07/15/2009

Branch Office Locations

KEEFER PENSION CONSULTING, INC.
400 CONTINENTAL BOULEVARD
6TH FLOOR
EL SEGUNDO, CA 90245






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



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	03/05/1993
 General Securities Principal Examination (S24)	Series 24	02/02/1990
 Registered Options Principal Examination (S4)	Series 4	10/12/1987

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/02/2017
 General Securities Representative Examination (S7)	Series 7	02/21/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/30/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/30/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



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	07/07/2009 - 10/02/2017	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	El Segundo, CA
IA	05/18/2009 - 07/13/2009	INVESTORS CAPITAL ADVISORY	CRD# 30613	MARINA DEL REY, CA
B	05/15/2009 - 07/13/2009	INVESTORS CAPITAL CORP.	CRD# 30613	MARINA DEL REY, CA
B	02/13/2008 - 05/15/2009	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	MARINA DEL REY, CA
IA	02/13/2008 - 05/15/2009	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	MARINA DEL REY, CA
B	01/05/1998 - 02/15/2008	WESTERN INTERNATIONAL SECURITIES, INC.	CRD# 39262	LOS ANGELES, CA
B	07/15/1997 - 12/31/1997	SPECTRUM SECURITIES, INC.	CRD# 29305	AROURA HILLS, CA
B	04/19/1995 - 07/10/1997	SMITH CULVER INVESTMENTS	CRD# 24007	SAN FRANCISCO, CA
B	04/16/1987 - 04/05/1995	KENNEDY, CABOT & CO.	CRD# 2417	BEVERLY HILLS, CA
B	02/24/1987 - 08/04/1987	GARY-WHEATON STOCK BROKERAGE, INC.	CRD# 17080	

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
06/2009 - Present	KEEFER PENSION CONSULTING, INC.	PRESIDENT AND CHIEF COMPLIANCE OFFICER	Y	EL SEGUNDO, CA, United States
07/2009 - 10/2017	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, 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.

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: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/20/1998

Docket/Case Number: C02980079

Employing firm when activity occurred which led to the regulatory action: SPECTRUM SECURITIES, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/17/1999

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement COMPLAINT NO. C02980079 FILED NOVEMBER 20, 1998 BY DISTRICT NO. 2 AGAINST RESPONDENTS SPECTRUM SECURITIES, INC, DONALD G.



BROOKS, STEVEN D. PIRRONE, GUY W. KEEFER, DAVID S. CASTLE, AND ADOLF F. KOHN ALLEGING VIOLATIONS OF NASD RULES 1120(b), 2110, AND 3010(a)(3) IN THAT RESPONDENT MEMBER, ACTING UNDER THE DIRECTION AND CONTROL OF RESPONDENTS KOHN AND CASTLE, EFFECTED TRANSACTIONS IN SECURITIES AND/OR INDUCED OR ATTEMPTED TO INDUCE THE PURCHASE OR SALE OF SECURITIES WHEN THE FIRM FAILED TO HAVE AND MAINTAIN SUFFICIENT MINIMUM NET CAPITAL IN VIOLATION OF EXCHANGE ACT RULE 15c3-1; RESPONDENT MEMBER, ACTING UNDER THE DIRECTION AND CONTROL OF RESPONDENTS BROOKS AND KEEFER, FAILED TO DEVELOP AND MAINTAIN A CONTINUING AND CURRENT EDUCATION PROGRAM FOR ITS REGISTERED PERSONS; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS PIRRONE AND KOHN, FAILED TO DESIGNATE A FIRM LOCATION AS AN OFFICE OF SUPERVISORY JURISDICTION. AND KEEFER, FAILED TO DEVELOP AND MAINTAIN A CONTINUING AND

3/30/99GS: ON MARCH 17, 1999, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS PIRRONE, KEEFER, CASTLE, AND KOHN WAS ISSUED; THEREFORE, RESPONDENTS KOHN AND CASTLE ARE CENSURED AND FINED \$2,500, JOINTLY AND SEVERALLY, RESPONDENTS PIRRONE AND KEEFER ARE CENSURED AND FINED \$2,500, JOINTLY AND SEVERALLY, AND RESPONDENTS PIRRONE AND KOHN ARE CENSURED AND FINED \$1,000, JOINTLY AND SEVERALLY.

Reporting Source: Individual

Regulatory Action Initiated By: NASD REGULATION, INC.-DISTRICT 2

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/20/1998

Docket/Case Number: C02980079

Employing firm when activity occurred which led to the regulatory action: SPECTRUM SECURITIES, INC.

Product Type: Other

Other Product Type(s): CONTINUING EDUCATION

Allegations: AS A PRINCIPAL OF SPECTRUM SECURITIES, KEEFER AND OTHERS FAILED TO DEVELOP AND MAINTAIN A CONTINUING AND CURRENT EDUCATION PROGRAM FOR THE FIRM'S REGISTERED PERSONS.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/17/1999

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00



Other Sanctions Ordered:

Sanction Details:

A DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY KEEFER AND OTHER RESPONDENTS. THEREFORE, RESPONDENTS ARE CENSURED AND FINED \$2500 JOINTLY AND SEVERALLY.

Broker Statement

IN THE FIVE MONTHS I WAS AT SPECTRUM SECURITIES, I DID HOLD BI-MONTHLY TRAINING MEETINGS FOR THE REGISTERED REPRESENTATIVES IN THE HOME OFFICE. THIS AMOUNTED TO ABOUT 12 MEETINGS. BUT, IN THE EYES OF THE NASD, IT WAS NOT DOCUMENTED COMPLETELY ENOUGH, NOR WAS A NEEDS ANALYSIS DONE TO THE SATISFACTORY OF THE NASD. I STILL MAINTAIN THAT I DID A COMPETENT JOB DURING THE TIME THAT I WAS THERE.



End of Report

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