



IAPD Report

VINTON BILL PERSONS

CRD# 1810271

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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

VINTON BILL PERSONS (CRD# 1810271)

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 **08/01/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	11/21/2006
IA	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	11/17/2010

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **37** 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	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	GRAND RAPIDS, MI	12/23/1999 - 11/29/2006
B	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI	12/23/1999 - 01/01/2002
B	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN	06/01/1998 - 12/02/1999

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	1
Termination	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 **37** 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	11/21/2006
B	FINRA	Invest. Co and Variable Contracts	Approved	11/21/2006
B	NYSE American LLC	General Securities Representative	Approved	11/21/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	11/21/2006
B	New York Stock Exchange	General Securities Representative	Approved	11/21/2006
B	Alabama	Agent	Approved	04/12/2017
B	Arizona	Agent	Approved	01/10/2007
B	California	Agent	Approved	11/21/2006
B	Colorado	Agent	Approved	10/18/2007
IA	Colorado	Investment Adviser Representative	Approved	05/09/2024
B	Connecticut	Agent	Approved	11/21/2006
B	District of Columbia	Agent	Approved	08/02/2024
B	Florida	Agent	Approved	11/21/2006



Qualifications

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/28/2017
B	Georgia	Agent	Approved	07/14/2016
B	Idaho	Agent	Approved	04/12/2017
B	Illinois	Agent	Approved	01/08/2007
B	Indiana	Agent	Approved	11/21/2006
B	Iowa	Agent	Approved	02/12/2008
B	Kansas	Agent	Approved	07/12/2012
B	Kentucky	Agent	Approved	10/21/2009
B	Louisiana	Agent	Approved	08/05/2013
B	Maine	Agent	Approved	09/01/2023
B	Maryland	Agent	Approved	01/02/2013
B	Massachusetts	Agent	Approved	09/13/2021
B	Michigan	Agent	Approved	11/21/2006
IA	Michigan	Investment Adviser Representative	Approved	11/17/2010
B	Minnesota	Agent	Approved	07/19/2010
B	Mississippi	Agent	Approved	04/18/2012
B	Missouri	Agent	Approved	02/28/2013
B	Nevada	Agent	Approved	11/30/2011
B	New Jersey	Agent	Approved	02/09/2011



Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	02/08/2011
B	New York	Agent	Approved	11/21/2006
B	North Carolina	Agent	Approved	11/21/2006
B	Ohio	Agent	Approved	09/02/2010
B	Oregon	Agent	Approved	02/22/2018
B	Pennsylvania	Agent	Approved	02/01/2021
B	South Carolina	Agent	Approved	07/11/2011
B	Tennessee	Agent	Approved	11/21/2006
B	Texas	Agent	Approved	04/17/2007
IA	Texas	Investment Adviser Representative	Restricted Approval	06/01/2017
B	Utah	Agent	Approved	08/19/2020
B	Virginia	Agent	Approved	11/21/2006
B	Washington	Agent	Approved	01/05/2007
B	Wisconsin	Agent	Approved	05/16/2012

Branch Office Locations

ROBERT W. BAIRD & CO. INCORPORATED
333 Bridge St NW
Ste 1000
Grand Rapids, MI 49504

ROBERT W. BAIRD & CO. INCORPORATED
Avon, 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 2 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 General Securities Representative Examination (S7)	Series 7	07/20/2005
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/17/1992

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/08/2010
B Uniform Securities Agent State Law Examination (S63)	Series 63	04/29/1988



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	12/23/1999 - 11/29/2006	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	GRAND RAPIDS, MI
B	12/23/1999 - 01/01/2002	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	06/01/1998 - 12/02/1999	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	02/07/1992 - 06/01/1998	CIGNA FINANCIAL ADVISORS, INC.	CRD# 145	RADNOR, PA

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
11/2006 - Present	ROBERT W. BAIRD	FINANCIAL ADVISOR	Y	GRAND RAPIDS, MI, 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.

Name/Address: Vinton Persons Trustee

Start Date: 9/9/10 Hours Spent: 0-2 hours/month

Hours Spent During Trading: Zero Role/Responsibility: Trustee

Investment Related



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	1
Termination	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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LINCOLN FINANCIAL ADVISORS
Allegations:	CUSTOMER ALLEGES REP FORGED SIGNATURE ON VARIABLE ANNUITY APPLICATION.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$3,913.45

Customer Complaint Information

Date Complaint Received:	09/12/2002
Complaint Pending?	No
Status:	Denied
Status Date:	09/19/2002

Settlement Amount:

Individual Contribution Amount:

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: LINCOLN FINANCIAL ADVISORS

Allegations: CUSTOMER ALLEGES REP FORGED SIGNATURE ON VARIABLE ANNUITY APPLICATION.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 09/12/2002

Complaint Pending? No

Status: Denied

Status Date: 09/19/2002

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 2

Reporting Source: Firm
Firm Name: NMIS
Termination Type: Discharged
Termination Date: 11/17/2006

Allegations: REPRESENTATIVE JOINTLY PARTICIPATED WITH ANOTHER REPRESENTATIVE IN USING SUPERVISOR'S COMPUTER TO TAKE, AS IF THEY WERE THE SUPERVISOR, A TRAINING EXAMINATION REQUIRED BY THE FIRM BEFORE SUPERVISOR COULD SUPERVISE REPRESENTATIVES' SALE OF CERTAIN INVESTMENT PRODUCTS.

Product Type: No Product

Other Product Types:

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Reporting Source: Individual
Firm Name: NMIS
Termination Type: Discharged
Termination Date: 11/17/2006

Allegations: REPRESENTATIVE WAS PRESENT WHILE ANOTHER REPRESENTATIVE, WITH HIS SUPERVISOR'S CONSENT, TOOK AN INTERNAL NORTHWESTERN COMPUTERIZED PRODUCT TEST. MR. PERSONS DID NOT VIEW THIS AS A PROBLEM BECAUSE THE OTHER REPRESENTATIVE HAD HIS SUPERVISOR'S APPROVAL, AND HE UNDERSTOOD THAT NMIS ALLOWS OPEN BOOK TESTS AND ASSISTANCE FROM OTHER REPS ON SUCH INTERNAL PRODUCT TESTS.

Product Type: No Product

Other Product Types:

Broker Statement NMIS INCORRECTLY REPORTED THIS MATTER ON THE U-5 AS A "YES" ANSWER TO 7B WHICH WAS INAPPLICABLE AS NO INVESTMENT-RELATED STATUTES, REGULATIONS, RULES OR INDUSTRY STANDARDS OF CONDUCT WERE INVOLVED.

Disclosure 2 of 2

Reporting Source: Individual
Firm Name: LINCOLN FINANCIAL ADVISORS CORPORATION
Termination Type: Voluntary Resignation
Termination Date: 11/24/1999

Allegations: 1. FAILURE TO DISCLOSE OUTSIDE BUSINESS ACTIVITIES.
2. FAILURE TO SHARE PRDUCT COMMISSIONS WITH HOME OFFICE, EMANATING FROM CORPORATE SPONSORED STRATEGIC ALLIANCES



Product Type:

WITH OUTSIDE ENTITY.
3. REMOVED, WITHOUT AUTHORIZATION, CLIENT FILES.

Other

Other Product Types:

LIFE INSURANCE

Broker Statement

1. AN OUTSIDE BUSINESS DISCLOSURE WAS FILED WITH LINCOLN FINANCIAL ADVISORS (LFA).
2. THERE WAS NO VIOLATION OF THE CONTRACT CONCERNING SHARING OF PRODUCT COMMISSION FROM CORPORATE SPONSORED ALLIANCE WITH OUTSIDE ENTITIES BECAUSE I HAD BEEN EXCLUDED FROM FORMAL PARTICIPATION IN THE ARRANGEMENT UNTIL JULY 1999. THE LIFE INSURANCE POLICY WAS SUBMITTED TO LFA FOR UNDERWRITING PRIOR TO JULY 1999, AND WAS ULTIMATELY PLACED OUTSIDE OF LFA IN THE BEST INTEREST OF THE CLIENT BECAUSE OF LINCOLN'S NEGATIVE UNDERWRITING RESULTS.
3. ALL CLIENT FILES (PROPERTY) ARE IN LFA'S POSSESSION.



End of Report

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