



IAPD Report

WILLIAM DONALD RAMIRES

CRD# 1865403

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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

WILLIAM DONALD RAMIRES (CRD# 1865403)

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 **11/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	B.B. GRAHAM & COMPANY, INC.	CRD# 41533	06/10/2024
IA	B.B. GRAHAM & COMPANY, INC.	CRD# 41533	06/10/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	LPL FINANCIAL LLC	6413	LAKE FOREST, CA	05/08/2024 - 06/21/2024
IA	LPL FINANCIAL LLC	6413	LAKE FOREST, CA	05/01/2024 - 06/21/2024
B	CROWN CAPITAL SECURITIES, L.P.	6312	LAKE FOREST, CA	10/01/2019 - 05/08/2024

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

Employment 1 of 1

Firm Name: **B.B. GRAHAM & COMPANY, INC.**
Main Address: 1700 W. KATELLA AVE.
ORANGE, CA 92867
Firm ID#: 41533

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/10/2024
B	FINRA	General Securities Representative	Approved	06/10/2024
B	Alaska	Agent	Approved	06/10/2024
B	Arizona	Agent	Approved	06/10/2024
IA	Arizona	Investment Adviser Representative	Approved	06/24/2024
B	California	Agent	Approved	06/10/2024
IA	California	Investment Adviser Representative	Approved	06/11/2024
B	Colorado	Agent	Approved	06/10/2024
B	Hawaii	Agent	Approved	06/10/2024
B	Illinois	Agent	Approved	06/10/2024
B	Maine	Agent	Approved	06/10/2024
B	Michigan	Agent	Approved	06/10/2024
B	Missouri	Agent	Approved	06/10/2024



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	06/10/2024
B Oregon	Agent	Approved	06/10/2024
B Rhode Island	Agent	Approved	06/10/2024
IA Rhode Island	Investment Adviser Representative	Approved	06/21/2024
B Texas	Agent	Approved	06/10/2024
B Utah	Agent	Approved	06/10/2024
B Wyoming	Agent	Approved	06/10/2024

Branch Office Locations

B.B. GRAHAM & COMPANY, INC.
27 Orchard RD STE 102
Lake Forest, CA 92630




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
 General Securities Principal Examination (S24)	Series 24	06/20/1997

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/20/1988

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/30/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/19/1989

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	05/08/2024 - 06/21/2024	LPL FINANCIAL LLC	CRD# 6413	LAKE FOREST, CA
IA	05/01/2024 - 06/21/2024	LPL FINANCIAL LLC	CRD# 6413	LAKE FOREST, CA
B	10/01/2019 - 05/08/2024	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	LAKE FOREST, CA
IA	10/01/2019 - 05/01/2024	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	LAKE FOREST, CA
IA	08/02/1999 - 10/01/2019	CADARET GRANT & CO INC	CRD# 10641	Lake Forest, CA
B	11/30/1995 - 10/01/2019	CADARET, GRANT & CO., INC.	CRD# 10641	Lake Forest, CA
B	08/23/1988 - 12/17/1995	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, NY

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
06/2024 - Present	B.B. GRAHAM & COMPANY	Registered Representative	Y	ORANGE, CA, United States
01/2021 - Present	TEACH YOURSELF SOCCER	CEO	N	IRVINE, CA, United States
05/2024 - 06/2024	LPL FINANCIAL LLC	Registered Representative	Y	LAKE FOREST, CA, United States
01/2024 - 05/2024	AYSO	ASSISTANT COACH ADMINISTRATOR	N	IRVINE, CA, United States
10/2019 - 05/2024	CROWN CAPITAL SECURITIES, LP	REGISTERED REPRESENTATIVE	Y	ORANGE, CA, United States
11/1995 - 09/2019	CADARET, GRANT & CO., INC.	REGISTERED REPRESENTATIVE	Y	Lake Forest, CA, 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- Teach Yourself Soccer / Business Owner / Non Investment Related /7700 Irvine Center Drive Irvine, CA 92618/ 10 hrs month / start 12/22/2021
- 2- IHM Financial LLC / DBA for investment business and DBA branch office of BB Graham and Company. /27 Orchard Ste. 102 Lake Forest CA 92630/ Investment Related / Owner/160 hrs month / 8 hrs during trading / start 04/01/2016



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:	07/24/1996
Docket/Case Number:	C8B960042
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	VIOLATIONS OF NASD RULES 2110, 2440, AND 3010 (FORMERLY ARTICLE III, SECTIONS 1, 4, AND 27 OF THE RULES OF FAIR PRACTICE)
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	03/24/1997
Sanctions Ordered:	Censure Monetary/Fine \$4,000.00
Other Sanctions Ordered:	
Sanction Details:	REQUALIFY AS A GENERAL SECURITIES PRINCIPAL WITHIN 90 DAYS OF THE DATE OF THIS DECISION.



\$4,000.00 PAID ON 5/15/97, INVOICE #97-8B-338

Regulator Statement

[TOP] COMPLAINT NO. C8B960042 FILED 7/24/96 BY DISTRICT NO. 8 AGAINST DAVID P. KLEBER, JOHN A. CHEPAK, HELMUT MEISTER, JOHN P. MCAULIFFE, DENNIS J. KEOHANE, INNOCENT K. OKEKE, LINDSEY C. RILEY, IGNACIO R. FAILLA, ZEESHAN S. ALI, THOMAS R. GARCIA, TERRY N. JOHNSON, DAVID N. SLAVNY, VICTOR S. DELUCIE, CHRISTOPHER S. BOGGS, JAMES J. PAPPALARDO, JAMES S. COLEMAN, SEAN P. NEVETT, WILLIAM R. GLASER, WILLIAM D. RAMIRES, AND MARK F. REBER ALLEGING VIOLATIONS OF NASD RULES 2110, 2440, AND 3010 (FORMERLY ARTICLE III, SECTIONS 1, 4, AND 27 OF THE RULES OF FAIR PRACTICE) IN THAT MEISTER, MCAULIFFE, KEOHANE, OKEKE, RILEY, FAILLA, ALI, GARCIA, JOHNSON, SLAVNY, DELUCIE, BOGGS, NEVETT, AND GLASER CHARGED RETAIL CUSTOMERS UNFAIR PRICIES, WHICH INCLUDED EXCESSIVE MARKUPS AND GROSS COMMISSIONS OR SALES CREDITS, IN CONNECTION WITH SALES OF XEROGRAPHIC AND/OR INTEGRATED SECURITIES AND THE PROPORTION OF THEIR GROSS COMMISSION OR SALES CREDIT EXCEEDED 10 PERCENT OF THE TOTAL DOLLAR AMOUNT PAID BY THE CUSTOMER IN THE TRANSACTION; KLEBER, CHEPAK, MEISTER, PAPPALARDO, COLEMAN, AND RAMIRES FAILED TO ESTABLISH, IMPLEMENT, AND ENFORCE REASONABLE PROCEDURES DESIGNED TO PREVENT THEIR MEMBER FIRM'S RETAIL CUSTOMERS FROM BEING CHARGED UNFAIR AND FRAUDULENTLY EXCESSIVE MARKUPS AND MARKDOWNS, AND UNFAIR AND EXCESSIVE GROSS COMMISSIONS IN XEROGRAPHIC, INTEGRATED, AND/OR ACQUA COMMON STOCK AND WARRANTS; AND, GLASER AND REBER FAILED TO RESPOND TO NASD REQUESTS FOR INFORMATION MADE PURSUANT TO NASD RULE 8210 ON 3/24/97, THE DECISIONS AND ORDERS OF ACCEPTANCE OF OFFERS OF SETTLEMENT SUBMITTED BY KLEBER, MEISTER, MCCAULIFFE, KEOHANE, OKEKE, RILEY, RAILLA, ALI, JOHNSON, SLVANY, DELUCIE, BOGGS, PAPPALARDO, COLEMAN, AND RAMIRES WAS ISSUED; THEREFORE, RAMIRES IS CENSURED, FINED \$4,000 AND REQUIRED TO REQUALIFY AS A GENERAL SECURITIES PRINCIPAL WITHIN 90 DAYS OF THE DATE OF THIS DECISION. ***\$4,000.00 PAID ON 5/15/97, INVOICE #97-8B-338***

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Reporting Source: Firm

Regulatory Action Initiated By: NASD/DBCC-DISTRICT 8

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/24/1996

Docket/Case Number: C8B960042

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: ALLEGE VIOLATIONS OF CONDUCT RULES 2110 AND 2440

Current Status: Final



Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/24/1997

Sanctions Ordered: Censure
Monetary/Fine \$4,000.00

Other Sanctions Ordered:

Sanction Details: PENDING

Firm Statement Not Provided

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Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/24/1996

Docket/Case Number: C8B960042

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: ALLEGED INADEQUATE SUPERVISION IN VIOLATION OF CONDUCT RULES 2110 AND 3010.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/24/1997

Sanctions Ordered: Censure
Monetary/Fine \$4,000.00

Other Sanctions Ordered:

Sanction Details: I WAS NOT EXPELLED OR SUSPENDED FROM MY MEMBERSHIP, BARRED OR SUSPENDED FROM ANY ASSOCIATION WITH ANY MEMBER FIRM, NOR HAVE ANY OF MY ACTIVITIES BEEN RESTRICTED WHATSOEVER; HOWEVER, I WAS FINED \$4000.00 AND HAD TO REQUALIFY AS A PRINCIPAL.

Broker Statement IN ORDER TO MINIMIZE LITIGATION COSTS, I HAVE SETTLED WITHOUT ADMITTING OR DENYING THE VIOLATION OF FAILURE TO SUPERVISE. I HAD EVERY REASON TO BELIEVE THAT TJA WAS FULLY ADHERING TO ALL APPLICABLE POLICIES AND PROCEDURES SINCE THEIR WRITTEN PROCEDURES WERE DESIGNED SPECIFICALLY TO ADDRESS THESE ISSUES. IN FACT, THE FIRM'S PROCEDURES WERE ANALYZED BY STAFF MEMBERS OF THE SEC AND APPROVED FOR USE BY A UNITED STATES DISTRICT COURT. I DID NOT WORK AS A TRADER IN THE FIRM'S TRADING DEPARTMENT AND HAD NO INVOLVEMENT WITH,



RESPONSIBILITY
FOR, KNOWLEDGE ABOUT OR ANY ROLE WHATSOEVER WITH RESPECT TO
ANY
OF THE FIRM'S TRADING FUNCTIONS, SUCH AS THE EXECUTION OF
RETAIL PURCHASE OR SALE TRANSACTIONS. THE FIRM'S PROCEDURES
DID
NOT DELEGATE ANY MONITORING RESPONSIBILITY ON DOMINATION AND
CONTROL TO ME, AND I WAS NOT RESPONSIBLE FOR MONITORING THE
FIRM'S COMPLIANCE DIRECTOR TO MAKE SURE THAT HE WAS
MONITORING
THE FIRM'S HEAD TRADER.



End of Report

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