



IAPD Report

ROBERT CHARLES FIX

CRD# 209247

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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

ROBERT CHARLES FIX (CRD# 209247)

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 **09/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WILLIAM BLAIR	CRD# 1252	07/14/1970
IA	WILLIAM BLAIR & COMPANY L.L.C.	CRD# 1252	09/20/2006

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
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No information reported.

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

Employment 1 of 1

Firm Name: **WILLIAM BLAIR & COMPANY L.L.C.**
Main Address: 150 NORTH RIVERSIDE PLAZA
CHICAGO, IL 60606
Firm ID#: 1252

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/14/1970
B FINRA	General Securities Principal	Approved	11/26/1977
B NYSE American LLC	General Securities Representative	Approved	04/03/1988
B Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	04/27/1985
B New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B Alaska	Agent	Approved	04/13/2022
B Arizona	Agent	Approved	11/10/2005
B Arkansas	Agent	Approved	07/09/2024
B California	Agent	Approved	03/24/1984
B Colorado	Agent	Approved	02/04/1986
B District of Columbia	Agent	Approved	07/31/2020



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	05/09/1983
B Georgia	Agent	Approved	09/19/2018
B Hawaii	Agent	Approved	12/20/2021
B Illinois	Agent	Approved	07/10/1970
IA Illinois	Investment Adviser Representative	Approved	09/20/2006
B Indiana	Agent	Approved	11/07/2005
B Kansas	Agent	Approved	07/17/2025
B Kentucky	Agent	Approved	11/23/1983
B Louisiana	Agent	Approved	08/22/2022
B Maryland	Agent	Approved	08/08/1988
B Massachusetts	Agent	Approved	12/09/2015
B Michigan	Agent	Approved	11/15/2011
B Minnesota	Agent	Approved	01/07/2018
B Missouri	Agent	Approved	12/16/2021
B Montana	Agent	Approved	12/21/2023
B Nevada	Agent	Approved	05/30/2024
B New Jersey	Agent	Approved	03/21/1990
B New Mexico	Agent	Approved	08/11/2022
B New York	Agent	Approved	06/21/1999



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	05/27/2016
B Ohio	Agent	Approved	02/20/2015
B Pennsylvania	Agent	Approved	08/15/2012
B South Carolina	Agent	Approved	10/25/2005
B Tennessee	Agent	Approved	09/30/2022
B Texas	Agent	Approved	03/22/2006
B Vermont	Agent	Approved	04/21/2014
B Virginia	Agent	Approved	12/22/2015
B Washington	Agent	Approved	11/25/2009
B Wisconsin	Agent	Approved	08/26/1983
B Wyoming	Agent	Approved	02/19/2015

Branch Office Locations

WILLIAM BLAIR & COMPANY L.L.C.
THE WILLIAM BLAIR BUILDING
150 NORTH RIVERSIDE
CHICAGO, IL 60606

WILLIAM BLAIR & COMPANY L.L.C.
CHICAGO, IL



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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	01/02/2023
Registered Principal Examination (S40)	Series 40	11/16/1977

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
AMEX Put and Call Exam (PC)	PC	06/14/1977
Registered Representative Examination (S1)	Series 1	08/10/1964

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	12/18/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	03/13/1980

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:

No information reported.

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
07/1970 - Present	WILLIAM BLAIR & COMPANY L.L.C.	WEALTH ADVISOR	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
Customer Dispute	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: 03/28/2001

Docket/Case Number: C8A010019

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

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: NASD RULE 2110 - RESPONDENT FIX, IN CONTRAVENTION OF IM-2110-1, SOLD SHARES OF STOCK THAT TRADED AT A PREMIUM IN THE IMMEDIATE AFTERMARKET, TO A RESTRICTED ACCOUNT.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No



Resolution Date: 03/28/2001
Sanctions Ordered: Censure
Monetary/Fine \$1,000.00
Other Sanctions Ordered:
Sanction Details: WITHOUT ADMITTING OR DNEYING THE ALLEGATIONS, FIX CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED \$1,000.

Reporting Source: Individual
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought: Censure
Other Sanction(s) Sought: FINE OF \$1000.00
Date Initiated: 01/17/2001
Docket/Case Number: AWC NO. C8A010019
Employing firm when activity occurred which led to the regulatory action: WILLIAM BLAIR & COMPANY, L.L.C.

Product Type: Equity - OTC
Other Product Type(s): NONE

Allegations: IN THE AWC, NASD REGULATION ALLEGED THAT ON FIVE OCCASIONS BETWEEN APRIL 24, 1998 AND MAY 19, 1999, ROBERT C. FIX SOLD SHARES OF "HOT ISSUE" SECURITIES TO A CUSTOMER WHO WAS CONSIDERED RESTRICTED UNDER THE TERMS OF THE "FREE-RIDING AND WITHHOLDING INTERPRETATION" AND WHO WAS THUS PRECLUDED FROM PURCHASING SHARES OF ANY OFFERING THAT TRADED AT A PREMIUM IN THE IMMEDIATE AFTERMARKET.

Current Status: Final
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 03/28/2001
Sanctions Ordered: Censure
Monetary/Fine \$1,000.00
Other Sanctions Ordered: NONE

Sanction Details: FINE OF \$1000.00 PAID IN FULL BY ROBERT C. FIX.

Broker Statement IN DECEMBER 1993, CUSTOMER "CH" OPENED AN ACCOUNT WITH WILLIAM BLAIR & COMPANY AND ROBERT C. FIX. IN FEBRUARY 1997, CUSTOMER "CH" BECAME REGISTERED WITH THE NASD, ALTHOUGH HE DID NOT INFORM ROBERT C. FIX OR WILLIAM BLAIR & COMPANY OF THAT REGISTRATION. ON FIVE OCCASIONS BETWEEN APRIL 24, 1998 AND MAY 19, 1999, ROBERT C. FIX SOLD SHARES OF "HOT ISSUE" SECURITIES TO CUSTOMER "CH" WHO WAS CONSIDERED A RESTRICTED PERSON UNDER THE TERMS OF THE NASD "FREE-RIDING AND WITHHOLDING INTERPRETATION" AND WAS THUS PRECLUDED FROM PURCHASING SHARES OF ANY OFFERING THAT TRADED AT A PREMIUM IN THE



IMMEDIATE AFTERMARKET. AT THE TIME OF THE SALES, MR. FIX WAS UNAWARE THAT CUSTOMER "CH" WAS A RESTRICTED PERSON UNDER THE TERMS OF THE NASD "FREE-RIDING AND WITHHOLDING INTERPRETATION."



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: Individual

Employing firm when activities occurred which led to the complaint: WILLIAM BLAIR AND COMPANY, L.L.C.

Allegations: MR. RYAN ALLEGED A HIGH LEVEL OF TRADING ACTIVITY LEADING TO HIGH EXPENSES DURING THE LIFETIME OF HIS ACCOUNT, SINCE 1995.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/14/2004

Complaint Pending? No

Status: Denied

Status Date: 04/28/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement MR. RYAN COMPLAINED THAT HIS ACCOUNT HAD PAID A HIGH RATE OF COMMISSIONS SINCE ITS INCEPTION IN 1995, AND REQUESTED A REIMBURSEMENT OF "SEVERAL HUNDRED THOUSAND DOLLARS". AFTER REVIEWING MR RYAN'S ALLEGATIONS AND THE ACTIVITY OVER THE LIFE OF THE ACCOUNT, THE FIRM DENIED MR. RYAN'S CLAIMS.



End of Report

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