



IAPD Report

MICHAEL ANDERSON COOMBE

CRD# 2120683

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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

MICHAEL ANDERSON COOMBE (CRD# 2120683)

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 **06/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	01/03/2012
B	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	01/09/2012

QUALIFICATIONS

This representative is currently registered in **4** 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	LEGG MASON INVESTMENT COUNSEL, LLC	133370	BALTIMORE, MD	11/05/2007 - 03/27/2012
IA	SENA WELLER ROHS WILLIAMS LLC	117048	CINCINNATI, OH	01/01/2000 - 09/20/2007
B	RDSC, LLC	7519	CINCINNATI, OH	08/08/1995 - 06/06/2006

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



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 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	01/09/2012
B	NYSE American LLC	General Securities Representative	Approved	01/09/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	01/09/2012
B	New York Stock Exchange	General Securities Representative	Approved	01/09/2012
B	California	Agent	Approved	12/13/2024
B	Indiana	Agent	Approved	10/08/2024
B	Kentucky	Agent	Approved	07/29/2024
IA	Kentucky	Investment Adviser Representative	Approved	03/11/2025
B	Massachusetts	Agent	Approved	01/10/2012
IA	Massachusetts	Investment Adviser Representative	Approved	08/13/2025
B	Michigan	Agent	Approved	01/10/2012
B	Minnesota	Agent	Approved	08/31/2022
B	New Jersey	Agent	Approved	01/10/2012



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	01/10/2012
IA Ohio	Investment Adviser Representative	Approved	01/03/2012
B Ohio	Agent	Approved	01/10/2012
IA Oklahoma	Investment Adviser Representative	Approved	01/03/2012
B South Carolina	Agent	Approved	10/23/2020
IA Texas	Investment Adviser Representative	Approved	01/03/2012
B Virginia	Agent	Approved	11/02/2022
B West Virginia	Agent	Approved	01/10/2012
B Wisconsin	Agent	Approved	03/11/2025
B Wyoming	Agent	Approved	01/10/2012

Branch Office Locations

ROBERT W. BAIRD & CO. INCORPORATED
809 Wrights Summit Parkway, Suite 310
Ft Wright, KY 41011

ROBERT W. BAIRD & CO. INCORPORATED
Cincinnati, OH

ROBERT W. BAIRD & CO. INCORPORATED
Chatham, MA



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, 2 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	01/07/2012
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/09/2012
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Uniform Securities Agent State Law Examination (S63)	Series 63	04/17/1991
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PROFESSIONAL DESIGNATIONS

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

Chartered Financial Analyst

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
IA	11/05/2007 - 03/27/2012	LEGG MASON INVESTMENT COUNSEL, LLC	CRD# 133370	BALTIMORE, MD
IA	01/01/2000 - 09/20/2007	SENA WELLER ROHS WILLIAMS LLC	CRD# 117048	CINCINNATI, OH
B	08/08/1995 - 06/06/2006	RDSC, LLC	CRD# 7519	CINCINNATI, OH
B	10/04/1991 - 01/26/1994	MCDONALD & COMPANY SECURITIES, INC.	CRD# 566	CLEVELAND, OH
B	04/08/1991 - 10/04/1991	GRADISON & COMPANY INCORPORATED	CRD# 859	

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
12/2011 - Present	ROBERT W. BAIRD	REGISTERED REP	Y	CINCINNATI, OH, 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: William Powell Company / 3261 Spring Grove Ave, Cincinnati, OH 45255
 Start Date: 1/11987
 Hours Spent: 0-2 hours/month
 Hours Spent During Trading: 0-1 hours/month
 Role/Responsibility: Board Member
 Non Investment Related

3) NAME AND ADDRESS: MILTONS INVESTMENTS LLC 2600 HANDASYDE AVE CINCINNATI, OH 45208
 NATURE OF ENTITY: LLC CREATED TO POOL INVESTMENTS FOR MY 2 BROTHERS AND ME.
 RESPONSIBILITIES IN THIS ROLE: MANAGING MEMBER
 HOURS DEVOTED: N/A

4)NAME AND ADDRESS: CHARGOT INVESTMENTS LLC 2600 HANDASYDE AVE CINCINNATI, OH 45208
 NATURE OF ENTITY: LLC CREATED TO POOL INVESTMENTS FOR MY 2 BROTHERS AND ME.
 RESPONSIBILITIES IN THIS ROLE: MANAGING MEMBER
 HOURS DEVOTED: N/A



Registration & Employment History



OTHER BUSINESS ACTIVITIES

5) NAME AND ADDRESS: JMPC INVESTMENTS LLC 2600 HANDASYDE AVE CINCINNATI, OH 45208
NATURE OF ENTITY: MANAGING ENTITY OF CHARGOT INVESTMENTS LLC AND MILTONS INVESTMENTS LLC.
LLC CREATED TO POOL INVESTMENTS FOR MY 2 BROTHERS AND ME.
RESPONSIBILITIES IN THIS ROLE: MANAGING MEMBER
HOURS DEVOTED: N/A

6)NAME AND ADDRESS: SPRING GROVE CEMETERY AND ARBORETUM 4521 SPRING GROVE AVENUE CINCINNATI, OH 45232
NATURE OF ENTITY: CEMETERY, FUNERAL HOME AND ARBORETUM
RESPONSIBILITIES IN THIS ROLE: BOARD MEMBER
HOURS DEVOTED:4 HOURS PER MONTH. NONE DURING SECURITIES TRADING HOURS.

7)WILLIAM P ANDERSON FDTN 201 EAST FIFTH STREET CINCINNATI, OH 45202
NATURE OF ENTITY: PRIVATE FOUNDATION
RESPONSIBILITIES IN THIS ROLE: THE TRUSTEES ALLOCATE FUNDS ONCE A YEAR PER GRANT APPLICATIONS FROM 501C3 ORGANZIATIONS. I AM ON THE EXECUTIVE COMMITTEE.
HOURS DEVOTED: N/A

Name: Aprecia Pharmaceuticals Corp; Not investment-related; Address: 10901 Kenwood Road, Cincinnati, OH 45242; Nature: Private Company; Role: Board Member; Start Date: 2/15/2018; Appx hrs: 8 hours per year; Hrs during trading: 8; Duties: The only real job of these board members will be 1) to distribute as dividends any profits that flow into the Corp from the LLC; 2) sign any tax returns; and 3) whatever else needs to be done.

Name and Address: Sears Point Summer LLC 8905 Old Indian Hill Road Cincinnati OH 45243
Start Date: 1/31/21 Hours Spent: 0-2 hours/month Hours Spent during trading hours: Zero
Role/Responsibility: LLC Owner/Member Non Investment Related

Name/Address: Lorika Ltd / 8905 Old Indian Hill Rd, Cincinnati, OH 45243
Start Date: April 2024
Hours Spent: 0-5 hours/month
Hours Spent During Trading: 0-1 hours/month
Role/Responsibility: LLC Member
Non 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

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:	Regulator
Employing firm when activities occurred which led to the complaint:	Robert W. Baird & Co., Incorporated
Allegations:	Michael Coombe was named in a customer complaint that asserted the following causes of action: failure to treat Claimant in a just and equitable manner, negligence and negligent misrepresentation/omission, breach of contract, breach of fiduciary duty, and negligent supervision.
Product Type:	Other: Unspecified securities
Alleged Damages:	\$4,420,158.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #22-00198
Date Notice/Process Served:	01/28/2022
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	10/19/2023
Disposition Detail:	Respondent Michael Coombe is jointly and severally liable for and shall pay to claimants the sum of \$2,608,302.00 in compensatory damages, plus interest. Michael Coombe is jointly and severally liable for and shall pay to claimants the sum of \$16,866.24 in costs, representing one-half of the court reporting services for the transcript ordered and paid for by claimants in the amount of \$33,732.49.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROBERT W. BAIRD & CO. INCORPORATED

Allegations: Claimants, who are trust beneficiaries, allege the FA failed to reinvest trust assets on the date agreed upon by the Trustee and the Beneficiaries, and that such failure resulted in the Trust missing out on market gains.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): \$5,000 or more/Cannot determine

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/12/2022

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 01/28/2022

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [22-00198](#)

Date Notice/Process Served: 02/03/2022

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/19/2023

Monetary Compensation Amount: \$2,625,168.24

Individual Contribution Amount: \$0.00

Broker Statement A Motion to Vacate the Arbitration Award was filed on November 20, 2023 in the Court of Common Pleas of Hamilton County, Ohio, and is currently pending.



End of Report

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