User Guidance

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# IAPD Report

# FREDERICK PETER BAERENZ

CRD# 2388453



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

## FREDERICK PETER BAERENZ (CRD# 2388453)

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 **12/05/2025**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| IA | F L PUTNAM INVESTMENT MANAGEMENT CO. | CRD# 106223 | 03/06/2025 |

## 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 |
|---|---|---|---|---|
| IA | AOG WEALTH MANAGEMENT | 159026 | RESTON, VA | 05/03/2013 - 06/30/2025 |
| B | KALOS CAPITAL, INC. | 44337 | GREAT FALLS, VA | 05/01/2013 - 07/31/2019 |
| IA | CETERA ADVISORS LLC | 10299 | GREAT FALLS, VA | 02/28/2012 - 05/02/2013 |

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

### Employment 1 of 1

Firm Name: **F L PUTNAM INVESTMENT MANAGEMENT CO.**

Main Address: 6 KIMBALL LANE
LYNNFIELD, MA 01940

Firm ID#: 106223

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Virginia | Investment Adviser Representative | Approved | 03/06/2025 |

### Branch Office Locations

**F L PUTNAM INVESTMENT MANAGEMENT CO.**
11911 FREEDOM DRIVE
SUITE 730
RESTON, VA 20190

 

# 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, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Investment Company Products/Variable Contracts Principal Examination (S26) | Series 26 | 02/28/1997 |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | General Securities Representative Examination (S7) | Series 7 | 06/29/2004 |
| B | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 04/13/1995 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 07/09/2004 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 04/13/1995 |

## 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 |
|---|---|---|---|---|
| IA | 05/03/2013 - 06/30/2025 | AOG WEALTH MANAGEMENT | CRD# 159026 | RESTON, VA |
| B | 05/01/2013 - 07/31/2019 | KALOS CAPITAL, INC. | CRD# 44337 | GREAT FALLS, VA |
| IA | 02/28/2012 - 05/02/2013 | CETERA ADVISORS LLC | CRD# 10299 | GREAT FALLS, VA |
| B | 12/23/2011 - 05/02/2013 | CETERA ADVISORS LLC | CRD# 10299 | GREAT FALLS, VA |
| IA | 02/09/2012 - 02/28/2012 | PACIFIC WEST FINANCIAL CONSULTANTS INC | CRD# 108728 | RENTON, WA |
| IA | 09/09/2004 - 12/23/2011 | PACIFIC WEST FINANCIAL CONSULTANTS INC | CRD# 108728 | GREAT FALLS, VA |
| B | 09/09/2004 - 12/23/2011 | PACIFIC WEST SECURITIES, INC. | CRD# 6390 | GREAT FALLS, VA |
| IA | 07/13/2004 - 09/09/2004 | H. BECK, INC. | CRD# 1763 | RESTON, VA |
| B | 08/13/2001 - 09/09/2004 | H. BECK, INC. | CRD# 1763 | ROCKVILLE, MD |
| B | 02/19/1999 - 08/14/2001 | UNITED SECURITIES ALLIANCE, INC. | CRD# 36487 | GREENWOOD VILLAGE |
| B | 04/18/1995 - 11/19/1998 | PFS INVESTMENTS INC. | CRD# 10111 | DULUTH, GA |

## 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 |
|---|---|---|---|---|
| 02/2025 - Present | F. L. PUTNAM INVESTMENT MANAGEMENT COMPANY | MANAGING DIRECTOR | Y | RESTON, VA, United States |
| 05/2000 - 02/2025 | ALPHA OMEGA GROUP, INC. | PRESIDENT | Y | RESTON, VA, United States |
| 05/2013 - 07/2019 | KALOS CAPITAL, INC. | REGISTERED REPRESENTATIVE | Y | ALPHARETTA, GA, 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.

Real Asset Advisor; is investment-related; 2010 Crow Canyon Place, Suite 455, San Ramon, CA 94583; publisher of investment related newsletters and other written/digital material for information on real estate, infrastructure and real assets investment industries; advisor board member; started June 2018; approximately 3 hours/month and 1 hr/month during securities trading hours; serve on the advisory board and receive no direct or indirect compensation for the position

# 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 | 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 2

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Employing firm when activities occurred which led to the complaint:** | Kalos Capital, Inc. |
| **Allegations:** | Breach of Fiduciary duty, misrepresentations and ommissions of material facts, failure to conduct due diligence, and unsuitable recommendations. |
| **Product Type:** | Other: Alternative Investments |
| **Alleged Damages:** | $0.00 |
| **Alleged Damages Amount Explanation (if amount not exact):** | Unspecified amount |
| **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:** | 08/20/2020 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 08/20/2020 |
| **Settlement Amount:** | $14,000.00 |

 

| | |
|---|---|
| **Individual Contribution Amount:** | $0.00 |

### Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Regulator |
| **Employing firm when activities occurred which led to the complaint:** | KALOS CAPITAL, INC.; PACIFIC WEST SECURITIES, INC. |
| **Allegations:** | Breach of contract and breach of implied contract, violation of Rule 10(b)-5 of the Securities Exchange Act of 1934, negligence, common law fraud, breach of the standard and customs of the securities industry as evidenced by violation of FINRA rules and regulations, unsuitable trading, and negligent misrepresentation. |
| **Product Type:** | Other: various securities |
| **Alleged Damages:** | $1,075,607.68 |

## Arbitration Information

| | |
|---|---|
| **Arbitration/Reparation Claim filed with and Docket/Case No.:** | FINRA - CASE #15-00443 |
| **Date Notice/Process Served:** | 02/23/2015 |
| **Arbitration Pending?** | No |
| **Disposition:** | Award |
| **Disposition Date:** | 07/11/2016 |
| **Disposition Detail:** | Respondent is liable for unsuitable trading and shall pay to Claimants compensatory damages in the amount of $331,000.00. |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | PACIFIC WEST SECURITIES, INC. |
| **Allegations:** | UNSUITABLE TRADING AND NEGLIGENCE |
| **Product Type:** | Equipment Leasing<br>Oil & Gas<br>Real Estate Security |
| **Alleged Damages:** | $1,000,000.00 |
| **Alleged Damages Amount Explanation (if amount not exact):** | ASKING FOR DAMAGES "IN EXCESS OF $1,000,000 PLUS INTEREST, COSTS, ETC." |
| **Is this an oral complaint?** | No |
| **Is this a written complaint?** | No |
| **Is this an arbitration/CFTC reparation or civil litigation?** | Yes |
| **Arbitration/Reparation forum or court name and location:** | FINRA ARBITRATION |
| **Docket/Case #:** | 15-00443 |

| | |
|---|---|
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 02/23/2015 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 03/02/2015 |
| **Complaint Pending?** | No |
| **Status:** | Evolved into Arbitration/CFTC reparation (the individual is a named party) |
| **Status Date:** | 02/23/2015 |
| **Settlement Amount:** | |
| **Individual Contribution Amount:** | |

## Arbitration Information

| | |
|---|---|
| **Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** | FINRA |
| **Docket/Case #:** | 15-00443 |
| **Date Notice/Process Served:** | 02/23/2015 |
| **Arbitration Pending?** | No |
| **Disposition:** | Award to Customer |
| **Disposition Date:** | 07/11/2016 |
| **Monetary Compensation Amount:** | $331,000.00 |
| **Individual Contribution Amount:** | $331,000.00 |
| **Broker Statement** | Re: this JAMS Case Number 1110025999 - In a Final Award letter dated October 21, 2021, a FINRA arbitrator ordered the following:<br>?all reference to unsuitable trading or any other purported transgression of suitability obligation under FINRA Rules 2311 and 2111 with regard to this complaint be expunged from Mr. Baerenz's CRD record;<br>?all reference to negligence with regard to this complaint be expunged from Mr. Baerenz's CRD record; and<br>?any other mention of a complaint or negative allegation regarding the relationship with this complaint's claimants be expunged from Mr. Baerenz's CRD record.<br><br>As of 4/15/2022, the expungement process is still underway. |

 

## End of Report

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