



IAPD Report

KIMBERLY ANN GIANNONE

CRD# 2411708

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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

KIMBERLY ANN GIANNONE (CRD# 2411708)

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 **11/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	11/06/2015
IA	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	11/06/2015

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
IA	WELLS FARGO ADVISORS, LLC	19616	GRAND JUNCTION, CO	05/30/2000 - 11/09/2015
B	WELLS FARGO ADVISORS, LLC	19616	GRAND JUNCTION, CO	12/22/1995 - 11/09/2015
B	WHEAT, FIRST SECURITIES, INC.	6124	CHARLOTTE, NC	10/11/1994 - 08/02/1995

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	3



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: **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	11/06/2015
B	NYSE American LLC	General Securities Representative	Approved	11/06/2015
B	Nasdaq Stock Market	General Securities Representative	Approved	11/06/2015
B	New York Stock Exchange	General Securities Representative	Approved	11/06/2015
B	Alabama	Agent	Approved	10/05/2017
B	Arizona	Agent	Approved	11/06/2015
B	Arkansas	Agent	Approved	09/09/2025
B	California	Agent	Approved	11/06/2015
B	Colorado	Agent	Approved	11/06/2015
IA	Colorado	Investment Adviser Representative	Approved	11/06/2015
B	District of Columbia	Agent	Approved	01/28/2020
B	Florida	Agent	Approved	10/10/2018
B	Georgia	Agent	Approved	11/12/2025



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	02/10/2023
B Idaho	Agent	Approved	11/06/2015
B Illinois	Agent	Approved	11/10/2025
B Indiana	Agent	Approved	10/26/2023
B Kentucky	Agent	Approved	08/05/2021
B Maryland	Agent	Approved	11/14/2025
B Michigan	Agent	Approved	11/06/2015
B Missouri	Agent	Approved	08/30/2021
B Montana	Agent	Approved	10/07/2019
B Nevada	Agent	Approved	11/06/2015
B New Hampshire	Agent	Approved	11/12/2025
B New Jersey	Agent	Approved	12/22/2016
B New Mexico	Agent	Approved	11/06/2015
B New York	Agent	Approved	11/06/2015
B North Carolina	Agent	Approved	05/16/2019
B Ohio	Agent	Approved	01/02/2025
B Oklahoma	Agent	Approved	07/31/2020
B Oregon	Agent	Approved	11/28/2016
B Rhode Island	Agent	Approved	09/30/2025



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	11/06/2015
B Tennessee	Agent	Approved	07/10/2025
B Texas	Agent	Approved	11/06/2015
IA Texas	Investment Adviser Representative	Restricted Approval	03/30/2017
B Utah	Agent	Approved	11/06/2015
B Virginia	Agent	Approved	11/18/2016
B Washington	Agent	Approved	11/06/2015
B Wisconsin	Agent	Approved	08/13/2024
B Wyoming	Agent	Approved	06/26/2025

Branch Office Locations

ROBERT W. BAIRD & CO. INCORPORATED
200 Grand Ave
Suite 300
Grand Junction, CO 81501

ROBERT W. BAIRD & CO. INCORPORATED
Grand Junction, 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, 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	09/26/1994
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/2000
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 Uniform Securities Agent State Law Examination (S63)	Series 63	10/06/1994
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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	05/30/2000 - 11/09/2015	WELLS FARGO ADVISORS, LLC	CRD# 19616	GRAND JUNCTION, CO
B	12/22/1995 - 11/09/2015	WELLS FARGO ADVISORS, LLC	CRD# 19616	GRAND JUNCTION, CO
B	10/11/1994 - 08/02/1995	WHEAT, FIRST SECURITIES, INC.	CRD# 6124	CHARLOTTE, NC

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
11/2015 - Present	Robert W. Baird	FA	Y	Grand Junction, CO, 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.

2) Western Colorado Community Foundation; Yes-investment-related; 225 N 5th St., Ste 505; Grand Junction, CO 81502; Charitable, Non-Profit, Foundation; Board Member; Start Date: 5/9/2017; Appx hrs/month: Quarterly meetings (3 hours each). Hrs during trading: All; Set strategic direction, goals & objectives for the organization. Hire & monitor the performance of the Ex Dir. Approval annual budget. Ensure proper stewardship of donations.



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	3

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 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: COLORADO CLIENT CLAIMED THAT HE SPOKE TO THE FA ON OCTOBER 8, 2008 AND THAT THE FA TOLD HIM THAT IT WAS HER PLAN TO GET THE CLIENT OUT OF HIS MUTUAL FUNDS INTO THE CLIENT'S DESIRED CASH POSITION WHEN THE TIME LOOKED RIGHT. THE CLIENT FURTHER CLAIMED THAT THE FA MENTIONED SOMETHING ABOUT THE RISK OF NOT BEING PART OF THE UPWARD TREND ONCE THAT STARTED AND THAT HE TOLD THE FA THAT HE DIDN'T CARE ABOUT THAT, HE JUST CARED ABOUT PROTECTING WHAT HE HAD. THE CLIENT CLAIMED THAT THE FA TOLD HIM THAT SHE WOULD SELL THE CLIENT'S FUNDS THAT DAY. THE CLIENT CLAIMED THAT HE SPOKE TO THE FA ON OCTOBER 9, 2008 AND LEARNED THAT THE FA HAD ONLY SOLD HALF OF HIS EIGHT MUTUAL FUND POSITIONS AND THAT THE FA TOLD HIM SHE WAS WAITING FOR A BETTER TIME TO SELL THE REST. THE CLIENT'S REMAINING FOUR MUTUAL FUNDS WERE SOLD ON OCTOBER 9, 2008. THE CLIENT CLAIMED THAT HE HOPED THE SALE PRICE OF THE MUTUAL FUNDS THAT WERE SOLD ON OCTOBER 9TH WERE NOT LOWER THAN THE CLOSING PRICES ON OCTOBER 8TH. THE PRICE DIFFERENTIAL IS ESTIMATED TO BE \$5,789.63. (10/08/2008 - 10/13/2008)

Product Type: Mutual Fund(s)

Alleged Damages: \$5,789.63

Customer Complaint Information

Date Complaint Received: 10/09/2008



Complaint Pending?	No
Status:	Settled
Status Date:	10/09/2008
Settlement Amount:	\$5,789.63
Individual Contribution Amount:	\$2,894.82
Broker Statement	THE COMPLAINT WAS SETTLED IN THE INTEREST OF CLIENT RELATIONS AND, WITHOUT ADMITTING ANY LIABILITY, BY CANCELING THE SELLS THAT WERE DONE ON OCTOBER 9, 2008 AND RE-BILLING THE SALES AS OF OCTOBER 8, 2008. THE COST FOR THE ACCOMMODATION WAS \$5,789.63. THE FA BELIEVED THAT THE CLIENT HAD AGREED WITH HER RECOMMENDATION TO WAIT TO SELL THE REMAINING FOUR MUTUAL FUNDS TO SEE IF A BETTER PRICE COULD BE OBTAINED AND THAT IS THE REASON SHE DID NOT SELL THE REMAINING MUTUAL FUNDS ON OCTOBER 8, 2008.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, INC.
Allegations:	COLORADO RESIDENT AND CO-PERSONAL REPRESENTATIVE ON THE CLIENT'S ESTATE ACCOUNT CLAIMED THAT THE FA SOLD SHARES OF MCKESSON CORPORATION STOCK IN THE ACCOUNT ON MARCH 17, 2003 WITHOUT THE PROPER AUTHORIZATION. NO DAMAGES WERE SPECIFIED, HOWEVER, THE CLIENT SEEKS TO HAVE THE POSITION RE-INSTATED IN THE ACCOUNT OR, IN THE ALTERNATIVE, CREDIT THE ACCOUNT WITH THE DIFFERENCE BETWEEN THE CURRENT MARKET VALUE OF THE STOCK VERSUS THE PRICE AT WHICH THE STOCK WAS SOLD. DAMAGES ARE BELIEVED TO BE IN EXCESS OF \$5,000.
Product Type:	Equity - OTC
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	05/20/2003
Complaint Pending?	No
Status:	Withdrawn
Status Date:	05/21/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	BY LETTER DATED MAY 21, 2003 THE CO-PERSONAL REPRESENTATIVE ON THE ESTATE ACCOUNT WITHDREW THE COMPLAINT. A LETTER WAS SENT BY THE FIRM TO THE CO-PERSONAL REPRESENTATIVE FOR THE ACCOUNT CONFIRMING THAT THE FILE WAS BEING CLOSED WITH RESPECT TO THIS MATTER BASED UPON THE FACT THAT THE COMPLAINT HAD BEEN WITHDRAWN.

**Disclosure 3 of 3**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WHEAT FIRST SECURITIES

Allegations: CLIENT COMPLAINS THAT ACCOUNT ASSIGNED TO INEXPERIENCED BROKERS WHO RECOMMENDED SALE OF LOW COST BASIS EQUITIES WITHOUT REGARD TO TAX CONSEQUENCES. ORIGINALLY SOUGHT \$29,367. MUCH LATER, AMENDED CLAIM TO SEEK AN ADDITIONAL \$210,000.

Product Type:

Alleged Damages: \$210,000.00

Customer Complaint Information

Date Complaint Received: 07/29/1997

Complaint Pending? No

Status: Settled

Status Date: 09/23/1998

Settlement Amount: \$90,000.00

Individual Contribution Amount:

Firm Statement FOR BUSINESS PURPOSES, AND WITHOUT ADMITTING ANY LIABILITY ON THE PART OF THE FIRM, THE MATTER WAS SETTLED IN THE AMOUNT OF \$90,000.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WHEAT FIRST SECURITIES

Allegations: CLIENT COMPLAINED THAT ACCOUNT ASSIGNED TO INEXPERIENCED BROKERS WHO RECOMMENDED SALE OF LOW COST BASIS EQUITIES WITHOUT REGARD TO TAX CONSEQUENCES. ORIGINALLY SOUGHT \$29,367.00 MUCH LATER AMENDED COMPLAINT TO SEEK ADDITIONAL \$210,000.00

Product Type:

Alleged Damages: \$210,000.00

Customer Complaint Information

Date Complaint Received: 07/29/1997

Complaint Pending? No

Status: Settled



Status Date: 09/23/1998

Settlement Amount: \$90,000.00

Individual Contribution Amount:

Broker Statement

FOR BUSINESS PURPOSES AND WITHOUT ADMITTING OR DENYING ANY LIABILITY ON THE PART OF THE FIRM, THE MATTER WAS SETTLED FOR \$90,000.00
CLIENT EXPRESSED DESIRE FOR MORE INCOME. WE SPOKE AT LENGTH ABOUT TAX RAMIFICATIONS OF CHANGE. CLIENT UNDERSTOOD CAPITAL GAINS TAX THAT WOULD BE DUE FROM SALE OF PROCTOR AND GAMBLE STOCK. CLIENT FELT THAT SALE WOULD POSITION PORTFOLIO FOR DESIRED INCOME. I DID NOT RECOMMEND OR EFFECT ANY TRADES FOR ACCOUNT AFTER JULY OF 1995.



End of Report

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