



IAPD Report

DOUGLAS MARK BOSCHERT

CRD# 2638667

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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

DOUGLAS MARK BOSCHERT (CRD# 2638667)

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 **05/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	M HOLDINGS SECURITIES, INC.	CRD# 43285	12/06/2002
IA	M HOLDINGS SECURITIES, INC.	CRD# 43285	12/16/2002

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	UBS PAINWEBBER INC.	8174	CINCINNATI, OH	09/19/2002 - 12/20/2002
B	UBS PAINWEBBER INC.	8174	WEEHAWKEN, NJ	04/28/1997 - 12/20/2002
B	SMITH BARNEY INC.	7059	NEW YORK, NY	10/06/1995 - 05/09/1997

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

Employment 1 of 1

Firm Name: **M HOLDINGS SECURITIES, INC.**

Main Address: 1125 N.W. COUCH STREET
SUITE 900
PORTLAND, OR 97209

Firm ID#: 43285

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/06/2002
B	Arizona	Agent	Approved	01/18/2024
B	California	Agent	Approved	01/12/2007
IA	California	Investment Adviser Representative	Approved	02/01/2023
B	Colorado	Agent	Approved	01/09/2024
B	Connecticut	Agent	Approved	12/01/2021
B	Delaware	Agent	Approved	03/25/2014
B	Florida	Agent	Approved	12/06/2002
B	Georgia	Agent	Approved	07/19/2012
B	Illinois	Agent	Approved	10/04/2021
B	Indiana	Agent	Approved	12/06/2002
IA	Indiana	Investment Adviser Representative	Approved	02/01/2023
B	Iowa	Agent	Approved	08/26/2021



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	12/06/2002
IA Kentucky	Investment Adviser Representative	Approved	09/28/2012
B Massachusetts	Agent	Approved	03/04/2021
B Michigan	Agent	Approved	11/01/2010
B Minnesota	Agent	Approved	01/10/2024
B New Hampshire	Agent	Approved	01/10/2024
B New Jersey	Agent	Approved	11/19/2020
B New Mexico	Agent	Approved	08/26/2021
B New York	Agent	Approved	05/18/2021
B North Carolina	Agent	Approved	11/09/2017
B Ohio	Agent	Approved	12/06/2002
IA Ohio	Investment Adviser Representative	Approved	02/02/2023
B Pennsylvania	Agent	Approved	11/08/2017
B South Carolina	Agent	Approved	12/06/2002
B Texas	Agent	Approved	02/28/2007
B Vermont	Agent	Approved	01/09/2024
B Virginia	Agent	Approved	08/26/2021
B Wyoming	Agent	Approved	08/30/2021

Branch Office Locations



Qualifications

M HOLDINGS SECURITIES, INC.
40 W. 5TH ST.
COVINGTON, KY 41011



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	10/05/1995
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/27/2012
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B Uniform Securities Agent State Law Examination (S63)	Series 63	10/19/1995
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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	09/19/2002 - 12/20/2002	UBS PAINWEBBER INC.	CRD# 8174	CINCINNATI, OH
B	04/28/1997 - 12/20/2002	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	10/06/1995 - 05/09/1997	SMITH BARNEY INC.	CRD# 7059	NEW YORK, 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
12/2002 - Present	M. HOLDINGS SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, 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.

- 1) JD Bullfrog, LLC; 414 Walnut Street, Suite 1220, Cincinnati, OH 45202; 09/07/2001; Owner; Real Estate; Not investment related; 2 hours/month; 2 hours/month during business hours; Passive income.
- 2) 2354 Warsaw, LLC; 414 Walnut Street, Suite 1220, Cincinnati, OH 45202; 09/09/2005; Owner; Real Estate, Not Investment Related; 2 hours/month; 2 hours/month during business hours; Passive income.
- 3) Sunrise Treatment Center; 6460 Harrison Ave, Cincinnati, OH 45247; 2013; Owner; Referral of investment opportunity; Investment related; 10 hours/month; 5 hours/month during business hours; Referrals or Referral fees
- 4) Blue Bagger, Inc.; 40 West 5th Street, Covington, KY 44011; 12/15/2018; Owner; Consulting; Not investment related; 2 hours/month; 1 hour/month during business hours; Ownership, Passive income, Profits.
- 5) Friends of Lauren Hill Memorial Park; 18128 Horizon way, Lawrenceburg, IN 47025; 01/2020; Treasurer; Help founders with financial matters; Not investment related; 2 hours/month; 2 hours/month during business hours; No compensation.
- 6) 40 West 5th Street, LLC; 40 West 5th Street, Covington, KY 44011; 2012; Owner; Entity owns building where Evergreen Advisors is located; Not investment related; 1 hour/month; 0 hours/month during business hours; Ownership.
- 7) Evergreen Advisors, Inc.; 40 W 5th Street, Covington, KY 41011; 12/26/2002; President; Financial Services including Financial Planning, Investment Management, and more; Investment Related; 160 hours/month; 160 hours/month during business hours; Expense Reimbursement, Ownership, Passive Income, Profits, Commissions, Wages/Salary/Tips, Referrals or Referral Fees.
- 8) Elder High School Investment Committee; 3900 Vincent Ave, Cincinnati, OH 45205; Private High School Investment Committee; Investment Related; Committee Member; This committee oversees the managers that run the endowment. The endowment is managed by outside managers and not by the investment committee; 5/01/2025; 1 hr/mo; 1hr/mo during trading hours.



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:	OHIO DIVISION OF SECURITIES
Sanction(s) Sought:	Suspension
Date Initiated:	05/20/2011
Docket/Case Number:	11-027
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other: REVERSE CONVERTIBLE NOTES
Allegations:	BOSCHERT SHARED COMMISSIONS WITH UNLICENSED SALESPERSONS RELATED TO THE SALE OF REVERSE CONVERTIBLE NOTES.
Current Status:	Final
Resolution:	Consent
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:	06/22/2011



Sanctions Ordered: Suspension
Sanction 1 of 1
Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: 10 DAYS
Start Date: 06/20/2011
End Date: 06/29/2011

Regulator Statement BOSCHERT CONSENTED TO ORDER NO. 11-031 BASED ON A FINDING THAT HE VIOLATED O.R.C. 1707.19(A)(9) AND O.A.C. 1301:6-3-19(A)(7) BY SHARING COMMISSIONS RECEIVED FOR THE SALE OF REVERSE CONVERTIBLE NOTES WITH UNLICENSED INDIVIDUALS.

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF OHIO DEPARTMENT OF COMMERCE, DIVISION OF SECURITIES
Sanction(s) Sought: Suspension
Date Initiated: 06/17/2011
Docket/Case Number: ORDER NO. 11-027
Employing firm when activity occurred which led to the regulatory action: M HOLDINGS SECURITIES, INC.
Product Type: Other: REVERSE CONVERTABLE NOTES
Allegations: ON MAY 17TH, 2011, DOUGLAS BOSCHERT (CRD 2638667) VOLUNTARILY ENTERED INTO A CONSENT AGREEMENT WHEREIN THE STATE OF OHIO FOUND THAT MR. BOSCHERT SOLD REVERSE CONVERTABLE NOTES TO RESIDENTS OF THE STATE OF OHIO. AFTER THE SALE OF REVERSE CONVERTABLE NOTES, MR. BOSCHERT SHARED COMMISSIONS WITH UNLICENSES INDIVIDUALS. EFFECTIVE AS OF JUNE 20TH, 2011, THE STATE OF OHIO IS SUSPENDING MR. BOSCHERT'S SECURITIES LICENSE FOR 10 DAYS.
Current Status: Final
Resolution: Consent
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: 06/16/2011
Sanctions Ordered: Suspension
Sanction 1 of 1
Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES



Duration:	10 DAYS
Start Date:	06/20/2011
End Date:	06/29/2011



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: M HOLDINGS SECURITIES, INC.

Allegations: PLAINTIFFS INVESTED ±\$3.0 MM IN CERTAIN PROMISSORY NOTES. INDIVIDUAL DEFENDANTS ALLEGEDLY REPRESENTED THE INVESTMENTS WERE "HEDGED". ALLEGEDLY THE SUBSTANTIAL RISKS ASSOCIATED WITH THESE PRODUCTS WERE NOT DISCLOSED. THE COMPLAINT SOUGHT DAMAGES OF \$2.55 MM BASED (I) VIOLATIONS OF SECTION 10(B) AND 20(A) OF THE EXCHANGE ACT OF 1934; (II) COMMON LAW FRAUD; (III) NEGLIGENT SUPERVISION; (IV) BREACH OF FIDUCIARY DUTY; (V) NEGLIGENCE; AND (VI) RESPONDENT SUPERIOR LIABILITY. PLAINTIFFS SETTLED ON JUNE 10, 2010 FOR \$1,293,740.

Product Type: Other: STRUCTURED INVESTMENT

Alleged Damages: \$2,550,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 06/10/2010

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: HAMILTON COUNTY COURT OF COMMON PLEAS

Location of Court: CINCINNATI, OH

Docket/Case #: A 0903035

Date Notice/Process Served: 03/27/2009

Litigation Pending? No

Disposition: Settled

Disposition Date: 06/10/2010

Monetary Compensation Amount: \$1,293,740.00

Individual Contribution Amount: \$5,000.00



End of Report

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