



## IAPD Report

# JEREMY GERALD TINTLE

CRD# 2817173

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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

### JEREMY GERALD TINTLE (CRD# 2817173)

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 **10/28/2014**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

### QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

**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	OPPENHEIMER & CO. INC.	249	ATLANTA, GA	10/01/2008 - 06/20/2011
IA	MORGAN KEEGAN & COMPANY, INC.	4161	ATLANTA, GA	12/04/2006 - 10/02/2008
IA	CITIGROUP GLOBAL MARKETS INC.	7059	ATLANTA, GA	04/14/2003 - 11/30/2006

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

These disclosure events relate to any Investment Adviser Representative who is not currently registered and who: (1) was the subject of a final regulatory event; (2) was convicted of or pled guilty or nolo contendere to a crime; (3) was the subject of a civil injunction or civil court finding involving a violation of any investment-related statute(s) or regulation(s); or (4) was named as a respondent or defendant or was the subject of an arbitration or civil litigation which resulted in an award, decision or judgment for a customer.

Are there events disclosed about this representative?

**Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	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 not currently registered as an Investment Adviser Representative.



## 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.

No information reported.



### 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	10/01/2008 - 06/20/2011	OPPENHEIMER & CO. INC.	CRD# 249	ATLANTA, GA
IA	12/04/2006 - 10/02/2008	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	ATLANTA, GA
IA	04/14/2003 - 11/30/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ATLANTA, 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
09/2008 - Present	OPPENHEIMER & CO. INC.	FINANCIAL CONSULTANT	Y	ATLANTA, GA, United States



## Disclosure Summary

### Disclosure Information

**What you should know about reported disclosure events:**

**(1) 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, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions are separated by a solid line with the reporting source labeled.

**(2) You may wish to contact the Investment Adviser Representative to obtain further information regarding any of the disclosure events contained in this IAPD report.**



## DISCLOSURE EVENT DETAILS

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	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations.

#### Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	10/24/2014
Docket/Case Number:	<a href="#">13-00461</a>
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	RESPONDENT TINTLE FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.
Current Status:	Final
Resolution:	LETTER
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:	10/24/2014
Sanctions Ordered:	Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No





(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	N/A
Start Date:	10/24/2014

**End Date:****Regulator Statement**

PURSUANT TO ARTICLE VI, SECTION 3 OF FINRA BY-LAWS, AND FINRA RULE 9554, RESPONDENT TINTLE IS SUSPENDED ON OCTOBER 24, 2014 FOR FAILURE TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

**Disclosure 2 of 2****Reporting Source:**

Regulator

**Regulatory Action Initiated By:**

FINRA

**Sanction(s) Sought:**

Other: N/A

**Date Initiated:**

06/17/2013

**Docket/Case Number:**[2010024623501](#)**Employing firm when activity occurred which led to the regulatory action:**

MORGAN KEEGAN &amp; COMPANY, INC.; OPPENHEIMER &amp; CO., INC.

**Product Type:**

Other: PRIVATE SECURITIES TRANSACTION

**Allegations:**

FINRA RULE 2010, NASD RULES 2110, 2310, 2330(A), 3040, AND INTERPRETATIVE MATERIAL-2310-2: TINTLE PARTICIPATED IN A PRIVATE SECURITIES TRANSACTION OUTSIDE OF HIS ASSOCIATION WITH HIS MEMBER FIRM, WITHOUT PROVIDING THE FIRM PRIOR WRITTEN NOTICE OF THE PROPOSED TRANSACTION, HIS PROPOSED ROLE IN IT, OR THE SELLING COMPENSATION HE MAY RECEIVE FROM THE TRANSACTION. TINTLE PROPOSED TO THE FIRM THAT THE FIRM APPROVE A LIMITED PARTNERSHIP THAT WAS FORMED TO INVEST SUBSTANTIALLY ALL OF ITS ASSETS IN A MASTER FUND, FOR SALE THROUGH THE FIRM. THE OFFERING MATERIALS FOR THE ENTITY STATED THAT AN INVESTMENT IN THE ENTITY WAS SPECULATIVE, ILLIQUID, AND INVOLVED A HIGH DEGREE OF RISK, AND INVESTORS IN THE ENTITY WERE REQUIRED TO BE ACCREDITED. THE ENTITY WAS NEVER APPROVED BY THE FIRM FOR SALE THROUGH THE FIRM. TINTLE SUBMITTED THE FIRM'S ANNUAL COMPLIANCE QUESTIONNAIRE AND FALSELY REPRESENTED THAT HE HAD NOT PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS AWAY FROM THE FIRM WITHOUT PRIOR APPROVAL FROM THE FIRM. TINTLE RECOMMENDED AN INVESTMENT IN THE ENTITY TO A CUSTOMER OF HIS AT THE FIRM. TINTLE PARTICIPATED IN THE SALE OF THE ENTITY'S SECURITIES TO THE CUSTOMER, AND AT TINTLE'S DIRECTION, \$1 MILLION WAS WIRED OUT OF THE CUSTOMER'S INDIVIDUAL RETIREMENT ACCOUNT (IRA) ACCOUNT AT THE FIRM TO A THIRD-PARTY ACCOUNT IN THE NAME OF THE ENTITY. TINTLE RECOMMENDED THAT A CUSTOMER INVEST IN THE ENTITY WITHOUT REASONABLE GROUNDS TO BELIEVE THAT THE RECOMMENDATION WAS SUITABLE, AS ITS SPECULATIVE AND ILLIQUID NATURE WAS INCONSISTENT WITH THE CUSTOMER'S OTHER SECURITY HOLDINGS, FINANCIAL SITUATION, AND NEEDS. THE CUSTOMER INVESTED \$1 MILLION IN THE ENTITY THAT CONSTITUTED OF MORE THAN 70 PERCENT OF HER LIQUID NET WORTH, RESULTING IN AN UNSUITABLE CONCENTRATION OF HER LIQUID ASSETS. THE CUSTOMER'S UNSUITABLE CONCENTRATED POSITION IN THE ENTITY EXPOSED HER TO A RISK OF LOSS THAT EXCEEDED HER RISK TOLERANCE AND INVESTMENT OBJECTIVES. THE CUSTOMER SUFFERED A LOSS OF APPROXIMATELY



\$153,396 ON HER INVESTMENT IN THE ENTITY. AT VARIOUS TIMES, WHILE WITH SEPARATE MEMBER FIRMS, TINTLE MISUSED AND CONVERTED CUSTOMERS' FUNDS BY INDUCING THE CUSTOMERS TO WITHDRAW FUNDS FROM THEIR BROKERAGE ACCOUNTS AND WIRE THE FUNDS TO THIRD-PARTY BANK ACCOUNTS AS DIRECTED BY HIM. THE FUNDS WERE NOT APPLIED TO THE PURCHASE OF THE SECURITIES, A NON-TRADED REIT AND A MUTUAL FUND, AS INTENDED BY THE CUSTOMERS, BUT WERE RETAINED BY THE TRANSFEREES. THE CUSTOMERS' ALLEGED INVESTMENTS WERE NOT REFLECTED IN THEIR ACCOUNTS' STATEMENTS WITH THESE FIRMS. FOR ONE OF THESE CUSTOMERS, WHEN NO FUNDS WERE RETURNED TO HER ACCOUNT FROM EITHER THE BANK ACCOUNT OF THE THIRD-PARTY ENTITY OR THE NON-TRADED REAL ESTATE INVESTMENT TRUST (REIT), SHE COMPLAINED TO TINTLE'S ASSOCIATED MEMBER FIRM, AND THE FIRM REIMBURSED HER THE \$45,300 THAT HAD BEEN WIRED OUT OF HER ACCOUNT. AT TINTLE'S DIRECTION, FOR ANOTHER CUSTOMER, FUNDS, TOTALING \$27,500, WERE WIRED OUT OF HIS ACCOUNT AT ANOTHER OF TINTLE'S ASSOCIATED MEMBER FIRM TO A BANK ACCOUNT FOR A THIRD PARTY FOR ALLEGED INVESTMENTS WITH THE FIRM. TINTLE NEVER GAVE AN EXPLANATION TO THE CUSTOMER WHY THE ALLEGED INVESTMENTS WERE NOT REFLECTED ON HIS ACCOUNT STATEMENTS. AFTER TINTLE WAS TERMINATED FROM THE FIRM, THE CUSTOMER QUESTIONED THE FIRM ABOUT THE FUNDS THAT HAD BEEN WIRED FROM HIS ACCOUNT AND ULTIMATELY LEARNED THAT THE FUNDS HAD BEEN RETAINED BY A THIRD PARTY AND NOT INVESTED IN THE FIRM'S MUTUAL FUND AS TINTLE HAD LED HIM TO BELIEVE.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	03/04/2014
<b>Sanctions Ordered:</b>	Bar (Permanent)
<b>If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?</b>	No



**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

**Sanction Type:** Bar (Permanent)

**Capacities Affected:** All Capacities

**Duration:** Indefinite

**Start Date:** 03/04/2014



**End Date:**

**Regulator Statement**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, TINTLE CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS THAT HE PARTICIPATED IN A PRIVATE SECURITIES TRANSACTION OUTSIDE THE SCOPE OF HIS ASSOCIATION WITH HIS MEMBER FIRM WITHOUT PROVIDING THE FIRM PRIOR WRITTEN NOTICE OF THE PROPOSED TRANSACTION, HIS PROPOSED ROLE IN IT, OR THE SELLING COMPENSATION HE MAY RECEIVE FROM IT. ON TINTLE'S FIRM'S ANNUAL COMPLIANCE QUESTIONNAIRE, HE FALSELY REPRESENTED THAT HE HAD NOT PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS AWAY FROM HIS FIRM WITHOUT PRIOR APPROVAL FROM THE FIRM. THE FINDINGS STATED THAT TINTLE RECOMMENDED THAT A CUSTOMER INVEST IN A LIMITED PARTNERSHIP WITHOUT REASONABLE GROUNDS TO BELIEVE THAT THE RECOMMENDATION WAS SUITABLE AS ITS SPECULATIVE AND ILLIQUID NATURE WAS INCONSISTENT WITH THE CUSTOMER'S OTHER SECURITY HOLDINGS, FINANCIAL SITUATION, AND NEEDS. THE CUSTOMER'S UNSUITABLE CONCENTRATED POSITION IN THE INVESTMENT EXPOSED HER TO A RISK OF LOSS THAT EXCEEDED HER RISK TOLERANCE AND INVESTMENT OBJECTIVES. THE FINDINGS ALSO STATED THAT AT A DIFFERENT MEMBER FIRM, TINTLE MISAPPLIED CUSTOMER FUNDS BY INDUCING CUSTOMERS TO WITHDRAW FUNDS FROM THEIR BROKERAGE ACCOUNTS AND WIRE THE FUNDS TO THIRD PARTIES AS DIRECTED BY TINTLE. THE FUNDS WERE NOT APPLIED TO THE PURCHASE OF SECURITIES AS INTENDED BY THE CUSTOMERS BUT WERE RETAINED BY THE TRANSFEREES. ONE OF THE CUSTOMERS COMPLAINED TO TINTLE'S FIRM AND THE FIRM REIMBURSED HER THE \$45,300 THAT HAD BEEN WIRED OUT OF HER ACCOUNT. ANOTHER CUSTOMER REPEATEDLY ASKED TINTLE WHY THE ALLEGED INVESTMENTS WERE NOT REFLECTED ON HIS FIRM ACCOUNT STATEMENTS, TO WHICH TINTLE NEVER GAVE HIM AN EXPLANATION. AFTER TINTLE WAS TERMINATED FROM HIS FIRM, THE CUSTOMER LEARNED FROM THE FIRM THAT THE FUNDS HAD NOT BEEN INVESTED IN A FIRM FUND AS TINTLE HAD LED HIM TO BELIEVE.



## End of Report

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