



IAPD Report

MATTHEW THOMAS KLOCKE

CRD# 2912243

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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

MATTHEW THOMAS KLOCKE (CRD# 2912243)

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 **11/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KLOCKE CAPITAL GROUP, LLC	CRD# 156160	02/07/2011

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	PALM BEACH, FL	11/24/2009 - 01/04/2011
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	PALM BEACH, FL	10/05/2009 - 01/04/2011
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	WEST PALM BEACH, FL	06/16/2005 - 10/08/2009

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

Employment 1 of 1

Firm Name: **KLOCKE CAPITAL GROUP, LLC**
Main Address: 324 ROYAL PALM WAY
SUITE 208
PALM BEACH, FL 33480
Firm ID#: 156160

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	05/08/2015
	Florida	Investment Adviser Representative	Approved	02/07/2011
	Texas	Investment Adviser Representative	Approved	04/07/2017

Branch Office Locations

KLOCKE CAPITAL GROUP, LLC
324 ROYAL PALM WAY
SUITE 208
PALM BEACH, FL 33480



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 General Securities Representative Examination (S7)	Series 7	03/18/2005
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B National Commodity Futures Examination (S3)	Series 3	10/27/2004
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State Securities Law Exams

Exam	Category	Date
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B Uniform Securities Agent State Law Examination (S63)	Series 63	03/31/2005
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/13/1997
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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	11/24/2009 - 01/04/2011	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	PALM BEACH, FL
B	10/05/2009 - 01/04/2011	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	PALM BEACH, FL
IA	06/16/2005 - 10/08/2009	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	WEST PALM BEACH, FL
B	03/21/2005 - 10/08/2009	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	WEST PALM BEACH, FL

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
08/2009 - Present	KLOCKE CAPITAL GROUP, LLC	MANAGING MEMBER	Y	PALM BEACH, FL, United States
04/2014 - 07/2016	FASHION FOR HUMANITY, INC.	PRESIDENT	N	PALM BEACH, FL, 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.

No information reported.



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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/01/2015
Docket/Case Number:	0769-S-03/14
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Klocke Capital Group, LLC
Product Type:	No Product
Allegations:	N/A
Current Status:	Final
Resolution:	Order
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:	07/01/2015



Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$4,000.00

Portion Levied against individual: \$4,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 07/01/2015

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement On July 1, 2015, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Matthew Thomas Klocke. Mr. Klocke admits to the findings by the Office. The Office found that Mr. Klocke engaged in prohibited business practices by failing to send clients itemized invoices, timely file audited financial statements, and comply with the custody requirements of the Florida Securities and Investor Protection Act, Chapter 517, F.S. Mr. Klocke agreed to pay an administrative fine in the amount of \$4,000.

Reporting Source: Individual

Regulatory Action Initiated By: THE STATE OF FLORIDA, OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Monetary Penalty other than Fines

Date Initiated: 02/02/2015

Docket/Case Number: 0769-S-03/14

Employing firm when activity occurred which led to the regulatory action: KLOCKE CAPITAL GROUP, LLC

Product Type: No Product

Allegations: KLOCKE CAPITAL GROUP, LLC (KLOCKE) DEDUCTED FEES DIRECTLY FROM CLIENT ACCOUNTS AND, THEREFORE, WAS CONSIDERED TO BE IN CUSTODY OF CLIENT ASSETS DEFINED UNDER RULE 69W-600.0132(1)(A), FLORIDA ADMINISTRATIVE CODE. FOR THE PERIOD 1/1/13-12/31/13, KLOCKE CAPITAL GROUP, LLC DID NOT SEND ITEMIZED INVOICES TO CLIENTS IN ACCORDANCE WITH RULE 69W-600.0131(1)(T), FLORIDA ADMINISTRATIVE CODE. AS SENDING ITEMIZED INVOICES IS PART OF THE SAFEKEEPING REQUIREMENTS, BY NOT SENDING INVOICE, KLOCKE WAS NOT MEETING ALL SAFEKEEPING REQUIREMENTS AND, THEREFORE, THE FIRM WAS NOT ENTITLED TO THE WAIVER FROM ANNUALLY FILING AUDITED FINANCIAL STATEMENTS.

Current Status: Final

Resolution: Stipulation and 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: 06/30/2015

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$4,000.00

Portion Levied against individual: \$4,000.00

Payment Plan: NO PAYMENT PLAN

Is Payment Plan Current: Yes

Date Paid by individual: 06/30/2015

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

In order to waive certain custody requirements, a firm must send itemized invoices to clients at or around the same time that the custodian sends invoices to clients. In the Stipulation and Consent Agreement, The State of Florida OFR found that Klocke Capital Group, LLC failed to do this from the period 1/1/13 - 12/31/13. Matthew Thomas Klocke and Klocke Capital Group, LLC paid a \$4,000 fine to The State of Florida OFR, which was the consideration for the Stipulation and Consent Agreement.



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: Firm

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: MISREPRESENTATION - ACTIVITY DATES FROM 12/14/07 THRU 4/08/08.

Product Type: Other: ARS - CORPORATE DEBT

Alleged Damages: \$31,500.00

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: 10/07/2008

Complaint Pending? No

Status: Settled

Status Date: 08/05/2011

Settlement Amount: \$32,413.50

Individual Contribution Amount: \$0.00

Firm Statement *I WOULD LIKE TO RESTATE THAT THE AUCTION RATE SECURITIES THAT WERE PRESENTED TO THE CUSTOMER WERE PRESENTED IN THE SAME MANNER THAT RAYMOND JAMES & ASSOCIATES PRESENTED THE PRODUCT TO ITS ADVISORS.**THIS SETTLEMENT IS THE RESULT OF A FIRM WIDE AGREEMENT TO REPURCHASE AUCTION RATE SECURITIES (ARS) THAT EXPERIENCED FAILED AUCTIONS AND LIMITED LIQUIDITY THROUGHOUT THE INDUSTRY. THE SETTLEMENT REPURCHASE OF THE ARS WAS EXECUTED AT PAR AND THE FINANCIAL ADVISOR WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: MISREPRESENTATION - ACTIVITY DATES FROM 12/14/07 THRU 4/08/08. PRODUCT IS AUCTION RATE SEC-CORP DEBT.

Product Type: Other: AUCTION RATE SEC-CORP DEBT



Alleged Damages: \$31,500.00

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: 10/07/2008

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/04/2009

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

I WOULD LIKE TO RESTATE THAT THE AUCTION RATE SECURITIES THAT WERE PRESENTED TO THE CUSTOMER WERE PRESENTED IN THE SAME MANNER THAT RAYMOND JAMES & ASSOCIATES PRESENTED THE PRODUCT TO ITS ADVISORS.



End of Report

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