



IAPD Report

JON JOSEPH BAUMAN

CRD# 5007841

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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

JON JOSEPH BAUMAN (CRD# 5007841)

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 **06/27/2014**.

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	CHASE INVESTMENT SERVICES CORP.	25574	GLENDALE, AZ	11/08/2007 - 01/18/2012
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	PHOENIX, AZ	06/06/2006 - 07/27/2007

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.

This individual has passed 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

B

Uniform Combined State Law Examination (S66)

Series 66

10/11/2005



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	11/08/2007 - 01/18/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	GLENDALE, AZ
IA	06/06/2006 - 07/27/2007	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	PHOENIX, AZ

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

	Position	Investment Related
No information reported.		



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:	ARIZONA CORPORATION COMMISSION SECURITIES DIVISION
Sanction(s) Sought:	Denial
Date Initiated:	11/05/2013
Docket/Case Number:	S-20895A-13-0377
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Allegations:	ON MAY 1,2013, BAUMAN SUBMITTED AN APPLICATION FOR LICENSURE AS AN INVESTMENT ADVISOR REPRESENTATIVE. ON JUNE 11, 2013, BAUMAN PROVIDED SWORN TESTIMONY TO THE SECURITIES DIVISION. BAUMAN WAS LATER ASKED FOR AND PROVIDED A SWORN STATEMENT. THE INFORMATION IN THE SWORN STATEMENT BAUMAN PROVIDED WAS NOT AN ACCURATE PORTRAYAL OF THE FACTS. BAUMAN ADMITTED THE SWORN STATEMENT WAS INACCURATE. IN ADDITION, BAUMAN ADMITTED THAT THE TESTIMONY HE PROVIDED TO THE SECURITIES DIVISION WAS NOT ACCURATE, DID NOT PROVIDE THE INFORMATION REQUESTED AND WAS MISLEADING.
Current Status:	Final
Resolution:	DEFAULT 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:	01/29/2014
Sanctions Ordered:	Denial

**Regulator Statement**

BAUMAN WAS PERSONALLY SERVED WITH A NOTICE OF OPPORTUNITY FOR HEARING ON NOVEMBER 6, 2013. BAUMAN DID NOT FILE A REQUEST FOR A HEARING OR AN ANSWER TO THE NOTICE WITHIN THE RESPECTIVE FILING DEADLINES AND HAS NOT FILED A REQUEST OR ANSWER AS OF THE DATE OF THIS FILING.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	05/29/2012
Docket/Case Number:	2012031088101
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	RESPONDENT BAUMAN FAILED TO RESPOND TO FINRA REQUEST FOR INFORMATION.
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:	09/04/2012
Sanctions Ordered:	Bar (Permanent)
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 2

Sanction Type: Bar (Permanent)

Capacities Affected: All Capacities

Duration: Indefinite

Start Date: 09/04/2012

**End Date:****Sanction 2 of 2**

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: N/A
Start Date: 06/22/2012
End Date: 09/03/2012

Regulator Statement

PURSUANT TO FINRA RULE 9552(H) AND IN ACCORDANCE WITH FINRA'S NOTICE OF SUSPENSION AND SUSPENSION FROM ASSOCIATION LETTERS DATED MAY 29, 2012 AND JUNE 22, 2012, RESPECTIVELY, ON SEPTEMBER 4, 2012, BAUMAN IS BARRED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY. RESPONDENT FAILED TO REQUEST TERMINATION OF HIS SUSPENSION WITHIN THREE MONTHS OF THE DATE OF THE NOTICE OF SUSPENSION, THEREFORE, HE IS AUTOMATICALLY BARRED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY.

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Suspension
Date Initiated: 05/29/2012
Docket/Case Number: 2012031088101

Employing firm when activity occurred which led to the regulatory action: CHASE INVESTMENT SERVICES CORP.

Product Type: No Product
Allegations: BAUMAN FAILED TO RESPOND TO FINRA REQUEST FOR INFORMATION
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: 09/04/2012
Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: N/A
Start Date: 06/22/2012



End Date: 09/03/2012

Broker Statement BAUMAN FAILED TO TERMINATE HIS SUSPENSION (BY NOT RESPONDING TO FINRA'S LETTER)IN A TIMELY FASHION DUE TO HIS PRE-OCCUPATION WITH BEING PRESIDENT AND RUNNING ROTARY 100 (THE LARGEST ROTARY CLUB IN AZ - A NOT FOR PROFIT CHARITY).



End of Report

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