# IAPD Report

## Grant Kenneth Halls

CRD# 5100445



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

## Grant Kenneth Halls (CRD# 5100445)

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 **03/03/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | CHARLES SCHWAB & CO., INC. | CRD# 5393 | 06/29/2010 |
| IA | CHARLES SCHWAB & CO., INC. | CRD# 5393 | 06/30/2010 |

## QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **25** 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 | EDWARD JONES | 250 | BOULDER, CO | 06/06/2007 - 05/20/2010 |
| B | EDWARD JONES | 250 | BOULDER, CO | 04/18/2006 - 05/20/2010 |

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 | 2 |

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# 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 **25** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **CHARLES SCHWAB & CO., INC.**

Main Address: 425 MARKET STREET
17TH FLOOR
SAN FRANCISCO, CA 94105

Firm ID#: 5393

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 06/29/2010 |
| B | FINRA | General Securities Sales Supervisor | Approved | 12/02/2024 |
| B | Nasdaq Stock Market | General Securities Representative | Approved | 06/29/2010 |
| B | Nasdaq Stock Market | General Securities Sales Supervisor | Approved | 12/02/2024 |
| B | Arizona | Agent | Approved | 03/28/2019 |
| B | Arkansas | Agent | Approved | 12/10/2013 |
| B | California | Agent | Approved | 04/15/2014 |
| B | Colorado | Agent | Approved | 06/21/2013 |
| B | District of Columbia | Agent | Approved | 03/26/2024 |
| B | Florida | Agent | Approved | 01/29/2015 |
| B | Georgia | Agent | Approved | 10/02/2017 |
| B | Idaho | Agent | Approved | 03/28/2019 |
| B | Illinois | Agent | Approved | 03/28/2019 |

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## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Iowa | Agent | Approved | 03/28/2019 |
| B | Kansas | Agent | Approved | 07/02/2010 |
| IA | Kansas | Investment Adviser Representative | Approved | 01/31/2020 |
| B | Maryland | Agent | Approved | 01/31/2011 |
| B | Michigan | Agent | Approved | 10/19/2023 |
| B | Missouri | Agent | Approved | 06/30/2010 |
| B | Montana | Agent | Approved | 01/29/2015 |
| B | Nebraska | Agent | Approved | 03/17/2021 |
| B | Nevada | Agent | Approved | 12/04/2017 |
| B | New Jersey | Agent | Approved | 11/21/2017 |
| B | North Carolina | Agent | Approved | 12/21/2015 |
| B | Oklahoma | Agent | Approved | 11/27/2017 |
| B | Pennsylvania | Agent | Approved | 10/24/2016 |
| B | South Carolina | Agent | Approved | 05/22/2014 |
| B | Texas | Agent | Approved | 06/28/2013 |
| B | Virginia | Agent | Approved | 03/28/2019 |
| B | Wisconsin | Agent | Approved | 06/25/2024 |

### Branch Office Locations

**CHARLES SCHWAB & CO., INC.**
13501 Nall Avenue

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## Qualifications

Leawood, KS  66224-8902

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# 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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | General Securities Sales Supervisor - General Module Examination (S10) | Series 10 | 12/02/2024 |
| B | General Securities Sales Supervisor - Options Module Examination (S9) | Series 9 | 09/23/2024 |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | General Securities Representative Examination (S7) | Series 7 | 04/17/2006 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA B | Uniform Combined State Law Examination (S66) | Series 66 | 06/02/2007 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 05/27/2006 |

## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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# 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 | 06/06/2007 - 05/20/2010 | EDWARD JONES | CRD# 250 | BOULDER, CO |
| B | 04/18/2006 - 05/20/2010 | EDWARD JONES | CRD# 250 | BOULDER, CO |

## 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 |
|---|---|---|---|---|
| 06/2010 - Present | Charles Schwab & Co., Inc. | Investment Adviser Representative/Registered Representative | Y | Leawood, KS, United States |
| 06/2010 - Present | Charles Schwab Bank, SSB | Shared Employee | Y | Leawood, KS, 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.

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# 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.**

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## 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 | 2 |

### 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 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** EDWARD JONES

**Allegations:** 10/14/08; THE CLIENT STATES HE EMAILED THE FA A LIMIT ORDER OF $15 PER SHARE ON SD AND A STOP ORDER AT $14.50. HE STATES THE FA WAS NOT IN THE OFFICE TO RECEIVE THE EMAILS PRIOR TO THE MARKET OPENING AND HE MISSED OUT ON A TARGET PRICE. HE LIQUIDATED AT $13.0936. HE STATES HE ALSO CALLED THE OFFICE, BUT THE FA WAS NOT IN THE OFFICE. THE CLIENT WANTS TO BE REIMBURSED FOR THE DIFFERENCE IN WHAT HE RECEIVED AND WHAT HE WANTED HIS ORDER TO GO IN AT. HE INDICATES DUE TO THE DELAY HE LOST $28000.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** $5,000.00

### Customer Complaint Information

**Date Complaint Received:** 10/16/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 11/24/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** YOUR EMAILS INDICATE YOU WANTED ORDERS AT $14.50 PER SHARE IF

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THE VALUE DECLINED OR $15.00 PER SHARE IF THE VALUE INCREASED. ORDERS ARE NOT ACCEPTED VIA EMAIL OR VOICEMAIL. ALL ORDERS ENTERED INTO AN ACCOUNT HAVE TO BE VERBALLY CONFIRMED BY THE FINANCIAL ADVISOR. WHILE YOU MADE YOUR INTENTIONS KNOWN IN THE EMAIL, THE ORDER CANNOT BE ACCEPTED WITHOUT FIRST SPEAKING TO THE FINANCIAL ADVISOR. IT IS OUR UNDERSTANDING, THE BRANCH OFFICE ASSISTANT CONTACTED YOU TO LET YOU KNOW THE FA WAS NOT IN THE OFFICE AND SHE COULD PUT YOUR ORDER THROUGH ORDER SERVICES. WHEN SHE CONTACTED YOU BACK, SHE INDICATES SHE WAS INFORMED BY YOU THAT YOU DID NOT WANT TO SELL AND WERE COMING INTO TO THE OFFICE. THE FA PLACED THE MARKET ORDER AT YOUR VERBAL INSTRUCTIONS. SINCE EMAIL INSTRUCTIONS ARE NOT ACCEPTED AND ALL ORDERS HAVE TO BE VERBALLY CONFIRMED WITH THE CLIENT, YOUR REQUEST FOR REIMBURSEMENT OF ANY MARKET DIFFERENT IS RESPECTFULLY DENIED.

### Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | EDWARD JONES |
| **Allegations:** | THE CLIENT STATES HE DEPOSITED 40,000 CTHH IN APRIL 07. THE SHARES WERE RESTRICTED AND HE INDICATES HE WAS INFORMED IT WOULD TAKE 10 DAYS TO GET THEM UNRESTRICTED. THE CLIENT STATES OVER THE NEXT 3 WEEKS, HE PROVIDED THE FA WITH ALL THE NECESSARY INFORMATION. HE STATES DURING THAT TIME, THE PRICE OF THE STOCK FELL AND HE STATED HE DID NOT WANT TO SELL THE SHARES AT THAT TIME. HE STATES IN EARLY JULY, HE CONTACTED THE BRANCH TO LIQUIDATE, BUT FOUND OUT THE SHARES WERE STILL RESTRICTED. HE STATES THE SHARES SHOULD HAVE BEEN UNRESTRICTED BASED OFF THE INFORMATION HE PREVIOUSLY PROVIDED. HE STATES AFTER WAITING ANOTHER 2 WEEKS, THE SHARES DECLINED IN VALUE. THE CLIENT STATES HE EXPECTS THE FA TO COVER THE DIFFERENCE BETWEEN WHAT HE WANTED TO SELL AT, $1.20, AND WHAT HE IS SELLING THE SHARES AT. HALF OF THE SHARES FILLED AT $.95. LOSSES EXCEED $5,000. |
| **Product Type:** | Equity - OTC |
| **Alleged Damages:** | $5,000.00 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 08/13/2007 |
| **Complaint Pending?** | No |
| **Status:** | Denied |
| **Status Date:** | 09/17/2007 |
| **Settlement Amount:** | |
| **Individual Contribution Amount:** | |
| **Broker Statement** | THE CLIENT DEPOSITED 40,000 SHARES OF CTHHE ON APRIL 20, 2007. THE SHARES WERE RESTRICTED AND THE BRANCH STATES THEY WERE WORKING WITH THE CLIENT TO GET THE NECESSARY PAPERWORK. THE CLIENT WAS INFORMED ON MAY 1, 2007, THE COMPANY WAS NOT |

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CURRENT WITH THEIR FINANCIAL FILINGS AND THE RESTRICTION COULD NOT BE REMOVED UNTIL THIS WAS RESOLVED AND ALL THE ADDITIONAL COMPLETED PAPERWORK WAS RECEIVED. IN JUNE 2007, THE FA SPOKE WITH THE CLIENT AND WAS INFORMED THAT SINCE THE SHARES HAD DECLINED IN VALUE HE WANTED TO WAIT TO LIQUIDATE. UNDER RULE 144, UNLESS THERE IS AN IMMEDIATE INTENT TO SELL, THE RESTRICTION CANNOT BE REMOVED FROM THE RESTRICTED STOCK. ON 7/11/07, THE CLIENT CONTACTED THE BRANCH TO LIQUIDATE THE SHARES; HOWEVER, UPDATED PAPERWORK WAS NEEDED AND A LEGAL OPINION WAS REQUIRED. THE RESTRICTION WAS REMOVED FROM THE SHARES ON 7/25/07 AND A LIMIT ORDER WAS PLACED ON THE SHARES. BASED ON OUR REVIEW, THE CLIENT INFORMED THE OFFICE HE WANTED TO HOLD OFF ON LIQUIDATING THE SHARES IN EARLY JUNE 2007. DUE TO RULE 144, THAT STATES UNLESS THERE IS AN IMMEDIATE INTENT TO SELL THE RESTRICTION CANNOT BE REMOVED, THE RESTRICTION ON THE SHARES WAS NOT REMOVED. ONCE THE CLIENT INFORMED THE BRANCH OFFICE OF THE INTENT TO LIQUIDATE IN EARLY JULY 2007, THE PROCESS WAS RESTARTED TO REMOVE THE RESTRICTION FROM THE SHARES. WHILE WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT WITH THE VALUE OF THE SHARES, THE VALUE IS ATTRIBUTED TO CIRCUMSTANCES BEYOND OUR CONTROL AND MARKET FLUCTUATION, WHICH IS A RISK ASSOCIATED WITH INVESTING. IN LIGHT OF THESE CIRCUMSTANCES, THE REQUEST FOR REIMBURSEMENT FOR THE PRICE DIFFERENCE IS RESPECTFULLY DENIED.

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## End of Report

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