



IAPD Report

Jeremy David Kees

CRD# 5400066

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

Jeremy David Kees (CRD# 5400066)

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 **09/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	QUASAR DISTRIBUTORS, LLC	CRD# 103848	05/17/2024
IA	BAHL & GAYNOR INC	CRD# 106139	01/07/2025

QUALIFICATIONS

This representative is currently registered in **1** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	12/21/2012 - 04/15/2024
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	12/19/2012 - 04/15/2024
IA	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	124446	COLUMBUS, OH	04/09/2012 - 11/26/2012

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	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 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **BAHL & GAYNOR INC**
Main Address: 255 EAST FIFTH STREET
SUITE 2700
CINCINNATI, OH 45202
Firm ID#: 106139

	Regulator	Registration	Status	Date
IA	Delaware	Investment Adviser Representative	Approved	01/07/2025
IA	New Jersey	Investment Adviser Representative	Approved	01/07/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	01/07/2025

Branch Office Locations

BAHL & GAYNOR INC
Cedar Grove, NJ

Employment 2 of 2

Firm Name: **QUASAR DISTRIBUTORS, LLC**
Main Address: 190 MIDDLE STREET
SUITE 301
PORTLAND, ME 04101
Firm ID#: 103848

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/17/2024
B	FINRA	General Securities Representative	Approved	05/17/2024
B	Delaware	Agent	Approved	05/17/2024
B	New Jersey	Agent	Approved	05/17/2024



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	05/17/2024

Branch Office Locations

N. Caldwell, NJ



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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	02/23/2018

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	09/26/2007

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/11/2007



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	12/21/2012 - 04/15/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	12/19/2012 - 04/15/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
IA	04/09/2012 - 11/26/2012	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	COLUMBUS, OH
B	04/05/2012 - 11/26/2012	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	COLUMBUS, OH
IA	10/31/2007 - 04/09/2012	EDWARD JONES	CRD# 250	GRANVILLE, OH
B	09/27/2007 - 04/09/2012	EDWARD JONES	CRD# 250	GRANVILLE, OH

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
05/2024 - Present	Quasar Distributors, LLC	Registered Representative	Y	N. Caldwell, NJ, United States
04/2024 - Present	BG IS, LLC	Institutional Portfolio Consultant	Y	N. Caldwell, NJ, United States
12/2012 - 04/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	VP; INTERNAL PRODUCT SPECIALIST	Y	PENNINGTON, NJ, 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) BG IS, LLC; Investment Related; N. Caldwell, NJ; Investment distribution; Institutional Portfolio Consultant; represent Bahl & Gaynor in the field and distribute their products to financial professionals; 04/2024; 160 hrs/mo.

In addition to being an Investment Advisor Representative of BG IS, LLC, this associate is a Registered Representative of Quasar Distributors, LLC, an unaffiliated Broker Dealer. The associate is a Registered Representative for purposes of Quasar Distributors, LLC.



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
Customer Dispute	1

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: EDWARD JONES

Allegations: CLIENT ALLEGES THE FINANCIAL ADVISOR RECOMMENDED HE LIQUIDATE AN ANNUITY TO PURCHASE MUTUAL FUNDS. CLIENT STATES THE ANNUITY WAS THE ONLY "LIFE INSURANCE" HE HAD AND HE LOST A DEATH BENEFIT OF \$15,000.00. CLIENT SUGGESTS THE CHANGES TO HIS PORTFOLIO WERE NOT IN HIS BEST INTEREST AND BELIEVES THE FINANCIAL ADVISOR MADE HIS RECOMMENDATIONS BASED ON THE COMMISSIONS HE WOULD RECEIVE FROM THE TRANSACTIONS. CLIENT WOULD LIKE TO HAVE THE MUTUAL FUND TRADES CANCELLED AND THE FUNDS RETURNED TO HIM. CLIENT DOES NOT BELIEVE HE HAS A CHANCE OF RECOUPING THE \$15,000.00 DEATH BENEFIT. CLIENT QUESTIONS WHY COMPLIANCE DID NOT CHALLENGE THE TRANSACTIONS.

Product Type: Mutual Fund

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5000.00.

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:** 04/17/2012**Complaint Pending?** No**Status:** Settled**Status Date:** 05/25/2012**Settlement Amount:** \$2,349.30**Individual Contribution Amount:** \$0.00**Firm Statement**

ACCORDING TO THE FINANCIAL ADVISOR, PRIOR TO SURRENDERING THE ANNUITY, HE AND THE CLIENT DISCUSSED THE POTENTIAL LOSS IN DEATH BENEFIT AND REVIEWED THE EXPENSES ASSOCIATED WITH THE ANNUITY. THE CLIENT CONFIRMED THEY DID DISCUSS THE LOSS OF THE DEATH BENEFIT, BUT DID NOT RECALL WHAT (IF ANY) CONVERSATIONS THEY HAD RELATED TO THE EXPENSES ASSOCIATED WITH THE ANNUITY. AS A RESULT OF THE CLIENT'S CONVERSATION WITH THE FINANCIAL ADVISOR, THE DECISION WAS MADE TO SURRENDER THE ANNUITY AND TO UTILIZE THE PROCEEDS TO PURCHASE HARTFORD FUNDS. ACCORDING TO OUR RECORDS, THE ANNUITY WAS SURRENDERED AND THE PROCEEDS (\$80,207.07) WERE CREDITED TO THE ACCOUNT ON MARCH 22, 2012 AND THE HARTFORD FUNDS WERE PURCHASED ON MARCH 23, 2012. IT IS UNDERSTOOD THE FINANCIAL ADVISOR RECOMMENDED THE HARTFORD FUNDS AS HE BELIEVED THEY WOULD COMPLEMENT THE FRANKLIN FUNDS HELD IN THE CLIENT'S ACCOUNT. AT THE TIME OF THE TRANSACTIONS, THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS. THE CTIVITY WAS ALSO REFLECTED ON THE MARCH 2012 ACCOUNT STATEMENT.

BASED ON A CONVERSATION WITH THE CLIENT, IT APPEARS HIS PRIMARY CONCERNS WERE THAT THE FINANCIAL ADVISOR LEFT EDWARD JONES SHORTLY AFTER THE TRANSACTIONS WERE COMPLETED AND THE CLIENT HAS SINCE DISCOVERED "PART OF HARTFORD IS UP FOR SALE". WHILE WE BELIEVE THE TRANSACTIONS WERE COMPLETED WITH THE CLIENT'S KNOWLEDGE AND AUTHORIZATION, IN AN EFFORT TO RESOLVE THIS SITUATION, WE ARE EXTENDING AN OFFER TO THE CLIENT TO CANCEL THE HARTFORD PURCHASES AT NO LOSS TO THE CLIENT . CLIENT ACCEPTED THE FIRM'S OFFER AND THE TRADES HAVE BEEN CANCELLED. LOSS ASSOCIATED WITH THE CORRECTIONS WAS \$2,349.30.

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

Allegations: CLIENT ALLEGES THE FINANCIAL ADVISOR RECOMMENDED HE LIQUIDATE AN ANNUITY TO PURCHASE MUTUAL FUNDS. CLIENT STATES THE ANNUITY WAS THE ONLY "LIFE INSURANCE" HE HAD AND HE LOST A DEATH BENEFIT OF \$15,000.00. CLIENT SUGGESTS THE CHANGES TO HIS PORTFOLIO WERE NOT IN HIS BEST INTEREST AND BELIEVES THE FINANCIAL ADVISOR MADE HIS RECOMMENDATIONS BASED ON THE COMMISSIONS HE WOULD RECEIVE FROM THE TRANSACTIONS. CLIENT WOULD LIKE TO HAVE THE MUTUAL FUND TRADES CANCELLED AND THE FUNDS RETURNED TO HIM. CLIENT DOES NOT BELIEVE HE HAS A CHANCE OF RECOUPING THE \$15,000.00 DEATH BENEFIT. CLIENT QUESTIONS WHY COMPLIANCE DID NOT CHALLENGE THE TRANSACTIONS



Product Type:	Mutual Fund
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS DAMAGES APPEAR TO BE IN EXCESS OF \$5000.00
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:	04/23/2012
Complaint Pending?	No
Status:	Settled
Status Date:	06/12/2012
Settlement Amount:	\$2,349.30
Individual Contribution Amount:	\$0.00
Broker Statement	I DON'T BELIEVE THIS MATTER IS REPORTABLE BASED ON THE FACT THAT THE ALLEGED COMPENSATORY DAMAGES WERE BELIEVED TO BE MORE THAN \$5000 BUT ACCORDING TO THE U5 FILING THE ACTUAL LOSS ASSOICIATED WITH THE SETTLEMENT WAS ONLY \$2349.30.



End of Report

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