IAPD Report

MICHAEL JAMES BURKE

CRD# 730482

Section Title | **Page(s)**

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

MICHAEL JAMES BURKE (CRD# 730482)

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 **12/08/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BOLTON GLOBAL CAPITAL	CRD# 15650	11/15/2006
IA	BOLTON GLOBAL ASSET MANAGEMENT	CRD# 129376	11/15/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	HOUSTON, TX	03/31/2005 - 11/21/2006
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	HOUSTON, TX	03/31/2005 - 11/21/2006
IA	LOCKWOOD FINANCIAL SERVICES, INC	40655	HOUSTON, TX	10/06/2000 - 04/26/2005

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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **BOLTON GLOBAL CAPITAL**

Main Address: 579 MAIN STREET
BOLTON, MA 01740

Firm ID#: 15650

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/15/2006
B	FINRA	Municipal Securities Representative	Approved	11/15/2006
B	Alabama	Agent	Approved	01/08/2007
B	Arizona	Agent	Approved	09/08/2009
B	California	Agent	Approved	11/15/2006
B	Colorado	Agent	Approved	11/15/2006
B	Florida	Agent	Approved	11/15/2006
B	Illinois	Agent	Approved	11/15/2006
B	Louisiana	Agent	Approved	11/16/2006
B	Michigan	Agent	Approved	04/04/2017
B	Minnesota	Agent	Approved	07/14/2014
B	Missouri	Agent	Approved	11/15/2006
B	New Mexico	Agent	Approved	05/12/2015

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	04/11/2013
B	Texas	Agent	Approved	11/15/2006

Branch Office Locations

12510 CUTTEN ROAD
HOUSTON, TX 77066

Employment 2 of 2

Firm Name: **BOLTON GLOBAL ASSET MANAGEMENT**

Main Address: 579 MAIN STREET
BOLTON, MA 01740

Firm ID#: 129376

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	11/15/2006

Branch Office Locations

BOLTON GLOBAL ASSET MANAGEMENT
12510 CUTTEN ROAD
HOUSTON, TX 77066

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

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	05/16/1981
B	Municipal Securities Representative Examination (S52)	Series 52	02/16/1980

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/31/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/18/1982

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.

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	03/31/2005 - 11/21/2006	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	HOUSTON, TX
B	03/31/2005 - 11/21/2006	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	HOUSTON, TX
IA	10/06/2000 - 04/26/2005	LOCKWOOD FINANCIAL SERVICES, INC	CRD# 40655	HOUSTON, TX
B	10/06/2000 - 04/26/2005	LOCKWOOD FINANCIAL SERVICES, INC.	CRD# 40655	MALVERN, PA
B	05/18/1981 - 10/11/2000	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

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
11/2006 - Present	BOLTON GLOBAL ASSET MANAGEMENT	REGISTERED INVESTMENT ADVISOR AGENT	Y	BOLTON, MA, United States
11/2006 - Present	BOLTON GLOBAL CAPITAL INC	REGISTERED REPRESENTATIVE	Y	BOLTON, MA, United States
11/2005 - Present	BAINBRIDGE PROMOTIONAL SERVICE, INC.	OWNER	N	HOUSTON, TX, 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)Investment Advisor Representative of Bolton Global Asset Management, doing business as Bainbridge Financial Services, LTD. Acting as founder and Managing Partner. Providing investment advisory services. Investment related. Mike us approved for providing advisory services through John Hancock's platform which is outside his regular course of business. Conducted from branch location. Activity began upon association with current firm in 11/2006. This represents registered representative's full-time job, hours per month will vary and balanced with management duties. 2)Owner of Bainbridge Asset Management, LLC, an entity set up to act as General Partner of Bainbridge Financial Services, LTD. Not investment related. Conducted from branch location. Hours spent during trading hours and outside trading hours will vary, but typically less than 1 hour per month. Began upon association with current firm. 3)Owner of Bainbridge Financial Services, LTD, an entity set up to operate securities and investment advisory business. Not investment related. Conducted from branch location. Hours spent during trading hours and outside trading hours will vary, but typically less than 1 hour per month. Began upon association with current firm. 4)Receiving trails from prior

Registration & Employment History

OTHER BUSINESS ACTIVITIES

sales of electricity deals brokered through Champion/Incite energy services. Spends zero hours on activity. Not investment related and not conducted at branch location. Began prior to joining current firm. 5) Co-owner and active member of Floridian Villa Partners, LLC, a real estate holding company that owns a residential property located at 13857 SE Marina Place, Palm City, FL 34990. Entity used for rental purposes. Generally 0 hours are spent on this activity per month. Management takes place between owners. Not investment related. Current assignment of interest was signed into effect August, 2017. LLC was initially created October, 2011. 6) Founder and owner of non-profit organization, Round Up Golf Charity, created to allow advisor to make personal charitable donations. Not investment related. Conducted from branch location. Began 07/13/2017. Spends less than 1 hour per month on activity. 7) Rents out 3 offices in Branch to 3 non-branch staff members. Not investment related. Conducted in Branch location. Ongoing since purchasing Branch building. Less than 1 hour spent on activity per month. 8) Co-owner and Director of Champions Golf Club, Inc., a private golf club located in Houston, TX. Not investment related and not located at Branch location. Spends 40 hours per month on activity, 32 hours during trading hours. Began October 1, 2021. Makes high-level decisions for club. https://www.championsgolfclub.com/ is website and telephone is 281.444.6262. 9)Co-owner and authorized party of Champions Acquisition 2021, LLC, an entitiy created to purchase Champions Golf Club, Inc., an approved private securities transaction. Additionally, LLC maintains investment account at Bolton Global Capital for personal investments. Conducted from Branch location. LLC was established on August 6th, 2021. No time spent per month. 10) Co-owner and Manager of Burro Cottages, LLC. Entity is used to own and rent cottages. Not investment. Established June 2022. 1-hour is spent per month outside trading hours. Mike conducts this activity from his Branch location, and is contact person. 11) Co-owner and Manager of Burke-Demaret Holdings, Inc., entity used as parent company for owning Champions Acquisitions 2021, LLC and subsidiaries. Created December 2022 during restructuring. Not investment related and not conducted from Branch location. No hours spent on activity. 12) Co-owner and Manager of Burke-Demaret, LLC, entitiy that is not currently used or active. Not investment related and not conducted from Branch location. No hours spent on activity.

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:	Individual
Employing firm when activities occurred which led to the complaint:	DELTA EQUITY SERVICES CORPORATION
Allegations:	NEGLIGENCE. THE ALLEGATION IS REGARDING THE PURCHASE OF AUCTION RATE SECURITIES ON JANUARY 11 AND 22, 2008.
Product Type:	Other: AUCTION RATE SECURITY
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE PLAINTIFF DOES NOT ALLEGE A SPECIFIC DAMAGE AMOUNT IN THE COMPLAINT.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	HARRIS COUNTY TEXAS DISTRICT COURT
Docket/Case #:	2010 09611
Filing date of arbitration/CFTC reparation or civil litigation:	02/12/2010

Customer Complaint Information

Date Complaint Received:	02/15/2010
Complaint Pending?	No
Status:	Settled
Status Date:	08/25/2011
Settlement Amount:	$80,000.00
Individual Contribution Amount:	$80,000.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	HARRIS COUNTY TEXAS DISTRICT COURT
Location of Court:	HARRIS COUNTY , TEXAS
Docket/Case #:	2010 09611
Date Notice/Process Served:	12/15/2010
Litigation Pending?	Yes
Broker Statement	THIS IS A CIVIL LITIGATION NOT AN ARBITRATION AND THE REGISTERED REPRESENTATIVE WAS NAMED.

End of Report

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