



IAPD Report

JOHN MARSHALL MABEE

CRD# 806198

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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

JOHN MARSHALL MABEE (CRD# 806198)

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 **05/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	05/19/1994
IA	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	10/28/1997

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **21** 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
B	EVEREN SECURITIES, INC.	19616	ST. LOUIS, MO	09/04/1990 - 05/26/1994
B	BLUNT ELLIS & LOEWI INCORPORATED	7580	ST. LOUIS, MO	02/22/1985 - 09/04/1990
B	E. F. HUTTON & COMPANY INC	235	ST. LOUIS, MO	03/20/1975 - 03/04/1985

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	4



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 **21** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ROBERT W. BAIRD & CO. INCORPORATED**
Main Address: 777 E. WISCONSIN AVENUE
MILWAUKEE, WI 53202-5391
Firm ID#: 8158

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	05/20/1994
B FINRA	General Securities Representative	Approved	05/20/1994
B FINRA	Municipal Securities Principal	Approved	05/20/1994
B FINRA	Municipal Securities Representative	Approved	05/20/1994
B FINRA	Registered Options Principal	Approved	05/20/1994
B FINRA	General Securities Sales Supervisor	Approved	03/28/2019
B NYSE American LLC	General Securities Representative	Approved	08/17/1994
B NYSE American LLC	Registered Options Principal	Approved	08/17/1994
B NYSE American LLC	Municipal Securities Principal	Approved	10/22/2003
B NYSE American LLC	Municipal Securities Representative	Approved	10/22/2003
B NYSE American LLC	General Securities Principal	Approved	11/24/2003
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/28/2019
B Nasdaq Stock Market	Registered Options Principal	Approved	12/08/2022
B New York Stock Exchange	General Securities Representative	Approved	05/20/1994
B New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B New York Stock Exchange	Municipal Securities Representative	Approved	06/26/2010
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	01/07/1999
B Arizona	Agent	Approved	01/05/1999
B California	Agent	Approved	01/06/1999
B Colorado	Agent	Approved	01/06/1999
B Florida	Agent	Approved	06/19/1997
B Georgia	Agent	Approved	01/07/1999
B Illinois	Agent	Approved	05/23/1994
IA Illinois	Investment Adviser Representative	Approved	10/28/1997
B Indiana	Agent	Approved	04/03/1997
B Iowa	Agent	Approved	01/06/1999
B Kentucky	Agent	Approved	01/06/1999



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	05/12/2026
B Missouri	Agent	Approved	06/16/1997
B New Jersey	Agent	Approved	05/11/2026
B North Carolina	Agent	Approved	05/12/2026
B South Dakota	Agent	Approved	05/11/2026
B Texas	Agent	Approved	05/23/1994
B Utah	Agent	Approved	01/26/1999
B Virginia	Agent	Approved	01/28/1999
B Washington	Agent	Approved	05/11/2026
B West Virginia	Agent	Approved	01/06/1999
B Wisconsin	Agent	Approved	01/06/1999

Branch Office Locations

ROBERT W. BAIRD & CO. INCORPORATED
4617 North Prospect Road
Peoria Heights, IL 61616









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 6 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	04/22/1986
 General Securities Principal Examination (S24)	Series 24	12/03/1985
 Registered Options Principal Examination (S4)	Series 4	08/03/1983
 NYSE Branch Manager Examination (S12)	Series 12	01/18/1980

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	07/09/1978
 General Securities Representative Examination (S7)	Series 7	03/15/1975

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/19/1993



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/21/1980

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
B	09/04/1990 - 05/26/1994	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	02/22/1985 - 09/04/1990	BLUNT ELLIS & LOEWI INCORPORATED	CRD# 7580	
B	03/20/1975 - 03/04/1985	E. F. HUTTON & COMPANY INC	CRD# 235	

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
05/1994 - Present	ROBERT W. BAIRD & CO. INCORPORATED	NOT PROVIDED	Y	PEORIA, IL, 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.

NAME AND ADDRESS: RENTAL PROPERTY 119 E EMBERT PLACE PEORIA, IL 61603
NATURE OF ENTITY: RENTAL PROPERTY
RESPONSIBILITIES IN THIS ROLE: OWNER
HOURS DEVOTED: N/A



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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROBERT W. BAIRD & CO. INCORPORATED
Allegations:	ALLEGED UNSUITABLE PURCHASE AND FAILURE TO RECOMMEND SALE OF BONDS (AFTER CLIENTS TRANSFERRED ACCOUNT)
Product Type:	Debt - Corporate
Alleged Damages:	\$53,000.00

Customer Complaint Information

Date Complaint Received:	02/23/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	03/30/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD-DR CASE NUMBER 01-00811
Date Notice/Process Served:	02/23/2001



Arbitration Pending? No
Disposition: Settled
Disposition Date: 08/01/2002
Monetary Compensation Amount: \$3,500.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: UNAUTHORIZED AND EXCESSIVE TRADING IN EQUITIES AND STOCK OPTIONS BY INVESTMENT BROKER - EDWARD TUERK.
JOHN MABEE AS BRANCH MANAGER WAS NAMED AS RESPONDENT. DAMAGES CLAIMED WERE \$15,400. THIS MATTER OCCURRED WHILE AT KEMPER SECURITIES.

Product Type:

Alleged Damages: \$15,400.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-00573

Date Notice/Process Served: 02/02/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/14/1993

Monetary Compensation Amount: \$14,400.00

Individual Contribution Amount: \$0.00

Broker Statement THIS MATTER SETTLED FOR \$14,4000 PRIOR TO THE ARBITRATION PROCEEDING. EDWARD TUERK WAS ASKED TO CONTRIBUTE



\$3,000 TOWARD SETTLEMENT SINCE THERE WAS NO WRONG DOING ON THE PART OF JOHN MABEE, HE WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT. THIS MATTER SETTLED FOR \$14,400 PRIOR TO THE ARBITRATION PROCEEDING. EDWARD TUERK WAS ASKED TO CONTRIBUTE \$3,000 TOWARD SETTLEMENT. JOHN MABEE DID NOT CONTRIBUTE TO THE SETTLEMENT. HE WAS NAMED BECAUSE HE WAS BRANCH MANAGER OF THE OFFICE AT THE TIME & NO ALLEGATIONS WERE BROUGHT AGAINST MABEE.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CLAIMS INCLUDE UNAUTHORIZED TRADING AND SUITABILITY ISSUES RESULTING IN DAMAGES IN THE AMOUNT OF \$15,500.00

Product Type:

Alleged Damages: \$15,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: New York Stock Exchange; 1992-002560

Date Notice/Process Served: 09/27/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/25/1993

Monetary Compensation Amount: \$15,500.00

Individual Contribution Amount:

Broker Statement CLAIM WAS SETTLED IN THE AMOUNT OF \$15,500.00 PRIOR TO THE COMPLETION OF THE ARBITRATION PROCEEDINGS.



ARBITRATION PROCEEDINGS AGAINST JOHN MABEE HAVE BEEN DISMISSED AS HE WAS NAMED AS A RESPONDENT BECAUSE OF HIS POSITION AS BRANCH MANAGER. SPECIFIC ALLEGATIONS WERE NEVER BROUGHT AGAINST MABEE.
Not Provided

Disclosure 4 of 4**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

E.F. HUTTON

Allegations:

WHILE EMPLOYED AT E. F. HUTTON CUSTOMER FILED COMPLAINT ALLEGING \$30,000 IN DAMAGES AND THAT THE CUSTOMER DID NOT UNDERSTAND THE RISKS OF OPTIONS TRADING.

Product Type:**Alleged Damages:**

\$30,000.00

Customer Complaint Information**Date Complaint Received:**

08/01/1983

Complaint Pending?

No

Status:

Settled

Status Date:**Settlement Amount:**

\$12,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

TO AVOID TIME & EXPENSE OF LITIGATION E. F. HUTTON SETTLED CLAIM FOR \$12,000. MABEE WAS NOT ASKED TO CONTRIBUTE TO SETTLEMENT SINCE HE WAS NOT GUILTY OF ANY MISCONDUCT.
TO AVOID TIME & EXPENSE OF LITIGATION, E. F. HUTTON SETTLED CLAIM FOR \$12,000. MABEE WAS NOT ASKED TO CONTRIBUTE TO SETTLEMENT SINCE HE WAS NOT GUILTY OF ANY MISCONDUCT.



End of Report

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