



## IAPD Report

### DONALD RALPH HANCOCK

CRD# 828811

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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

### DONALD RALPH HANCOCK (CRD# 828811)

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 **01/12/2026**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **0** 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	MOLONEY SECURITIES ASSET MANAGEMENT LLC	282448	MANCHESTER, MO	02/23/2016 - 12/31/2025
IA	MOLONEY INVESTMENT ADVISORY LLC	282140	MANCHESTER, MO	01/28/2016 - 12/31/2016
IA	MOLONEY SECURITIES CO., INC.	38535	MANCHESTER, MO	07/07/2010 - 04/13/2016

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
Regulatory Event	2
Customer Dispute	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 currently registered with 0 jurisdiction(s) and 0 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.**  
Main Address: 4201 42ND STREET NE  
SUITE 100  
CEDAR RAPIDS, IA 52402  
Firm ID#: 13609

#### Branch Office Locations

**BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.**  
13537 BARRETT PARKWAY DRIVE  
#300  
MANCHESTER, MO 63021

#### Employment 2 of 2

Firm Name: **MOLONEY SECURITIES CO., INC.**  
Main Address: 13537 BARRETT PARKWAY DRIVE  
#300  
MANCHESTER, MO 63021  
Firm ID#: 38535

#### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



## 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
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
No information reported.		

#### State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/04/2000

### 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	02/23/2016 - 12/31/2025	MOLONEY SECURITIES ASSET MANAGEMENT LLC	CRD# 282448	MANCHESTER, MO
IA	01/28/2016 - 12/31/2016	MOLONEY INVESTMENT ADVISORY LLC	CRD# 282140	MANCHESTER, MO
IA	07/07/2010 - 04/13/2016	MOLONEY SECURITIES CO., INC.	CRD# 38535	MANCHESTER, MO
IA	06/16/2003 - 07/06/2010	HANCOCK INVESTMENT ADVISORS, LLC	CRD# 117958	ST LOUIS, MO

### 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
01/2026 - Present	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC	CONSULTANT	Y	MANCHESTER, MO, United States
01/2026 - Present	BFC PLANNING, INC.	IAR	Y	MANCHESTER, MO, United States
10/2019 - 01/2026	MOLONEY SECURITIES ASSET MANAGEMENT, LLC	CHIEF EXECUTIVE OFFICER	Y	MANCHESTER, MO, United States
02/2016 - 01/2026	MOLONEY SECURITIES ASSET MANAGEMENT LLC	INVESTMENT ADVISOR	Y	MANCHESTER, MO, United States
07/2010 - 01/2026	MOLONEY SECURITIES CO., INC.	CEO, FINANCIAL OFFICER	Y	MANCHESTER, MO, United States
12/2015 - 12/2016	MOLONEY INVESTMENT ADVISORY LLC	CHIEF EXECUTIVE OFFICER/CHIEF FINANCIAL OFFICER	Y	MANCHESTER, MO, 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.



## 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
Regulatory Event	2
Customer Dispute	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
<b>Sanction(s) Sought:</b>	Cease and Desist
<b>Date Initiated:</b>	09/27/2024
<b>Docket/Case Number:</b>	3-22217
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Moloney Securities Co., Inc.
<b>Product Type:</b>	Debt-Corporate
<b>Allegations:</b>	<p>The Securities and Exchange Commission (Commission) deems it appropriate and in the public interest that public administrative and cease-and-desist proceedings be, and hereby are against Moloney Securities Co., Inc. (Moloney), Donald R. Hancock, David F. La Grange, and Laura B. Barnes (collectively, the Respondents). In anticipation of the institution of these proceedings, Respondents have submitted Offers of Settlement which the Commission has determined to accept. The commission finds that These proceedings arise out of Respondents' failures to comply with Regulation Best Interest (Regulation BI) in connection with recommendations of corporate bonds called L Bonds offered by GWG Holdings, Inc. (GWG) to retail customers between June 30, 2020, the compliance date for Regulation BI, and approximately January 15, 2022 (the Relevant Period). According to GWG's disclosures during the Relevant Period: (a) L Bond investments involved a high degree of risk, including the risk of losing an investor's entire investment; (b) L Bond investments may be considered speculative; (c) L Bond investments were only suitable for investors with substantial financial resources and no need for liquidity in the investment; and (d) GWG would use a</p>



portion of the L Bond proceeds to repay existing L Bond holders. In addition, in November 2021, among other things, GWG disclosed that several enumerated factors raised substantial doubt regarding its ability to continue as a going concern. Despite these disclosures, in recommending the purchase of L Bonds to certain retail customers, Moloney failed to exercise reasonable diligence, care, and skill to understand the potential risks, rewards, and costs associated with the recommendations. Moloney also recommended the purchase of L Bonds to certain retail customers for whom it did not have a reasonable basis to believe that the recommendations were in the customers' best interest based on the customers' investment profiles and the potential risks, rewards, and costs associated with the L Bonds. Moloney also failed to establish written policies and procedures reasonably designed to identify and disclose, mitigate, or eliminate conflicts of interest associated with recommendations and enforce those policies and procedures that it did have and to disclose material conflicts of interest associated with its recommendations of L Bonds created by its Chief Executive Officer's and other employees' personal ownership of GWG securities. Moloney further failed to establish, maintain, and enforce written policies and procedures reasonably designed to achieve compliance with Regulation BI. As a result, Moloney failed to comply with Regulation BI's Care Obligation, Conflict of Interest Obligation, Disclosure Obligation, and Compliance Obligation. During the Relevant Period, Hancock, Moloney's CEO, was responsible for the firm's day-to-day operations and its sales of L Bonds to retail customers and caused Moloney's failures to comply with the Care Obligation, Conflict of Interest Obligation, and Disclosure Obligation, in violation of the General Obligation of Regulation BI. In addition, Hancock, La Grange, and Barnes failed to exercise reasonable diligence, care, and skill to understand the potential risks, rewards, and costs associated with the recommendation of L Bonds to certain retail customers. La Grange and Barnes further recommended the purchase of L Bonds to certain retail customers for whom they did not have a reasonable basis to believe the recommendations were in the customers' best interest based on the customers' investment profiles and the potential risks, rewards, and costs associated with the L Bonds. As a result, Hancock, La Grange, and Barnes failed to comply with the Care Obligation and willfully violated the General Obligation of Regulation BI and Moloney willfully violated the General Obligation of Regulation BI found in Exchange Act Rule 15I-1(a)(1).

**Current Status:**

Final

**Resolution:**

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:**

09/27/2024

**Sanctions Ordered:**

Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)  
Disgorgement  
Monetary Penalty other than Fines

**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?**

Yes

**(1) willfully violated any**

Yes



**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?**

No

No

#### **Monetary Sanction 1 of 3**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$50,000.00

**Portion Levied against individual:** \$50,000.00

**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:****Monetary Sanction 2 of 3**

**Monetary Related Sanction:** Monetary Penalty other than Fines

**Total Amount:** \$1,010.00

**Portion Levied against individual:** \$1,010.00

**Payment Plan:** Prejudgment Interest

**Is Payment Plan Current:****Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:****Monetary Sanction 3 of 3**

**Monetary Related Sanction:** Disgorgement

**Total Amount:** \$7,331.00

**Portion Levied against individual:** \$7,331.00

**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:****Regulator Statement**

As a result, Hancock failed to comply with the Care Obligation and willfully violated the General Obligation of Regulation BI. Accordingly, it is hereby ordered that Moloney, Hancock, La Grange, and Barnes shall cease and desist from committing or causing any violations and any future violations of Rule 15l-1(a)(1) of the Exchange Act, are censured, and Respondent Hancock shall pay disgorgement of \$7,331, prejudgment interest of \$1,010, and a civil money penalty of \$50,000.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:** Cease and Desist

**Date Initiated:** 09/27/2024

**Docket/Case Number:** 3-22217



<b>Employing firm when activity occurred which led to the regulatory action:</b>	Moloney Securities Co., Inc.
<b>Product Type:</b>	Debt-Corporate
<b>Allegations:</b>	The SEC alleged that the Representative failed to comply with Regulation Best Interest in connection with recommendations made related to L Bonds issued by GWG Holdings, Inc., from June 30, 2020, to Jan. 15, 2022. SEC allegations involved issues related to causing the broker-dealer to violate Reg BI's "general obligation," and exercise of reasonable diligence and care, in alleged violation of the "care obligation" and the "general obligation" of Reg BI.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	09/27/2024
<b>Sanctions Ordered:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Monetary Penalty other than Fines
<b>Monetary Sanction 1 of 3</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$50,000.00
<b>Portion Levied against individual:</b>	\$50,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	10/24/2024
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Monetary Sanction 2 of 3</b>	
<b>Monetary Related Sanction:</b>	Disgorgement
<b>Total Amount:</b>	\$7,331.00
<b>Portion Levied against individual:</b>	\$7,331.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	10/24/2024
<b>Was any portion of penalty waived?</b>	No

**Amount Waived:****Monetary Sanction 3 of 3****Monetary Related Sanction:** Monetary Penalty other than Fines**Total Amount:** \$1,010.00**Portion Levied against individual:** \$1,010.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 10/24/2024**Was any portion of penalty waived?** No**Amount Waived:****Broker Statement**  
The Representative agreed to a negotiated settlement and order with the SEC issued on September 27, 2024. The Representative agreed to pay monetary sanctions described above over a one-year payment schedule, but elected to pay the full amount immediately and within thirty days' of the order date, and all monetary sanctions ordered have been paid in full. The Representative will commence the process of payment to identified investors pursuant to the SEC's Fair Fund requirements. The order was entered into by the Representative on a neither admit nor deny basis, and the representative's registration was not revoked, suspended, limited or conditioned as part of the order in any manner, and the representative remains registered and active as of the date of this disclosure. Prior to the subject investigation and order Representative had only a single disciplinary event disclosure (from 2000) over a 48-year career in the industry.**Disclosure 2 of 2****Reporting Source:** Regulator**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 01/18/2000**Docket/Case Number:** C8A000001**Employing firm when activity occurred which led to the regulatory action:** D. R. HANCOCK & COMPANY, INC.**Product Type:** No Product**Other Product Type(s):****Allegations:** NASD RULES 1120, 2110 AND 3010(B) - A FIRM, ACTING THROUGH RESPONDENT HANCOCK, ALLOWED INDIVIDUALS TO ACT IN THE CAPACITY OF GENERAL SECURITIES REPRESENTATIVES DESPITE THE FACT THAT THEIR REGISTRATIONS HAD BECOME INACTIVE BASED ON THEIR FAILURE TO COMPLY WITH THE REGULATORY ELEMENT OF THE CONTINUING EDUCATION REQUIREMENT; AND, FAILED TO ESTABLISH OR MAINTAIN WRITTEN SUPERVISORY PROCEDURES WITH RESPECT TO THE



## REQUIREMENTS OF MEMBERSHIP AND REGISTRATION RULE 1120.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**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:** 01/18/2000

**Sanctions Ordered:** Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DEENYING THE ALLEGATIONS, HANCOCK CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$5,000, JOINTLY AND SEVERALLY.

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**Reporting Source:** Firm

**Regulatory Action Initiated By:** NASD REGULATION, INC.

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 01/18/2000

**Docket/Case Number:** C8A000001

**Employing firm when activity occurred which led to the regulatory action:** D.R. HANCOCK & COMPANY, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** ALLOWED TWO INDIVIDUALS TO ACT AS GENERAL SECURITIES REPRESENTATIVES AND PAID SECURITIES TRANSACTION COMMISSIONS TO THE TWO REPRESENTATIVES WHEN THEIR REGISTRATIONS HAD BECOME INACTIVE BASED ON FAILURE TO COMPLY WITH REGULATORY ELEMENT OF CONTINUING EDUCATION REQUIREMENT IN VIOLATION OF MEMBERSHIP AND REGISTRATION RULE 1120(A) AND CONDUCT RULE 2110; AND FROM 01/98 THRU 07/01/99 FAILED TO ESTABLISH OR MAINTAIN WRITTEN SUPERVISORY PROCEDURES WITH RESPECT TO MEMBERSHIP AND REGISTRATION RULE 1120 IN VIOLATION OF CONDUCT RULES 2110 AND 3010(B).

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 01/18/2000

**Sanctions Ordered:** Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**



**Sanction Details:** I AGREE TO PAY THE FINE IMPOSED ON D.R. HANCOCK & COMPANY, INC. UPON NOTICE THAT SUCH PAYMENT IS DUE AND PAYABLE AND HAVE SIGNED AN ELECTION OF PAYMENT FORM SHOWING I WILL PAY THE FINE IMPOSED BY CHECK FOR THE FULL AMOUNT.

**Firm Statement** THE \$5,000.00 FINE WAS PAID IN FULL ON MARCH 7, 2000.

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD REGULATION, INC.

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 01/18/2000

**Docket/Case Number:** C8A000001

**Employing firm when activity occurred which led to the regulatory action:** D.R. HANCOCK & COMPANY, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** ALLOWED TWO INDIVIDUALS TO ACT AS GENERAL SECURITIES REPRESENTATIVES AND PAID SECURITIES TRANSACTION COMMISSIONS TO THE TWO REPRESENTATIVES WHEN THEIR REGISTRATIONS HAD BECOME INACTIVE BASED ON FAILURE TO COMPLY WITH REGULATORY ELEMENT OF CONTINUING EDUCATION REQUIREMENT IN VIOLATION OF MEMBERSHIP AND REGISTRATION RULE 1120(A) AND CONDUCT RULE 2110; AND FROM 01/98 THRU 07/01/99 FAILED TO ESTABLISH OR MAINTAIN WRITTEN SUPERVISORY PROCEDURES WITH RESPECT TO EH MEMBERSHIP AND REGISTRATION RULE 1120 IN VIOLATION OF CONDUCT RULES 2110 AND 3010(B).

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 01/18/2000

**Sanctions Ordered:** Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**

**Sanction Details:** I AGREE TO PAY THE FINE IMPOSED ON D.R. HANCOCK & COMPANY, INC. UPON NOTICE THAT SUCH PAYMENT IS DUE AND PAYABLE AND HAVE SIGNED AN ELECTION OF PAYMENT FORM SHOWING I WILL PAY THE FINE IMPOSED BY CHECK FOR THE FULL AMOUNT.

**Broker Statement** THE \$5,000.00 FINE WAS PAID IN FULL ON MARCH 7,2000.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	MOLONEY SECURITIES CO., INC.
<b>Allegations:</b>	Suitability/negligence. 2011-2021
<b>Product Type:</b>	Debt-Corporate Direct Investment-DPP & LP Interests Oil & Gas Real Estate Security
<b>Alleged Damages:</b>	\$500,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Claimant stated a range of damages from \$100k-\$500k.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	25-01687
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	08/14/2025

## Customer Complaint Information

<b>Date Complaint Received:</b>	08/19/2025
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	10/23/2025
<b>Settlement Amount:</b>	\$47,500.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	The broker dealer settled the matter for business purposes without admitting any wrongdoing or liability. I still refute the allegations of the claims.

### Disclosure 2 of 2



**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MOLONEY SECURITIES CO., INC.  
**Allegations:** Suitability/negligence. 2021  
**Product Type:** Debt-Corporate  
**Alleged Damages:** \$359,325.61  
**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:** FINRA  
**Docket/Case #:** 24-02039  
**Filing date of arbitration/CFTC reparation or civil litigation:** 09/23/2024

### Customer Complaint Information

**Date Complaint Received:** 09/30/2024  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 07/18/2025  
**Settlement Amount:** \$161,667.50  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** The broker dealer settled the matter for business purposes without admitting any wrongdoing or liability. I still refute the allegations of the claims.



## End of Report

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