IAPD Report

JEFFREY ELLIOTT BOE

CRD# 860769

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JEFFREY ELLIOTT BOE (CRD# 860769)

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 **12/16/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	11/01/2016
IA	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	10/12/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	MOLONEY SECURITIES CO., INC.	38535	MANCHESTER, MO	06/16/2014 - 11/10/2014
B	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	611	ENGLEWOOD, CO	02/07/2013 - 06/12/2014
B	MOLONEY SECURITIES CO., INC.	38535	MANCHESTER, MO	05/31/2007 - 11/28/2012

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
Regulatory Event	1
Termination	1

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

Employment 1 of 1

Firm Name: **MUTUAL OF OMAHA INVESTOR SERVICES, INC.**
Main Address: 3300 MUTUAL OF OMAHA PLAZA
OMAHA, NE 68175-1020
Firm ID#: 611

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/01/2016
B	Colorado	Agent	Approved	11/02/2016
IA	Colorado	Investment Adviser Representative	Approved	10/12/2017

Branch Office Locations

MUTUAL OF OMAHA INVESTOR SERVICES, INC.
600 Grant Street
STE 304
Denver, CO 80203

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	06/26/1991
B	Financial and Operations Principal Examination (S27)	Series 27	06/09/1987
B	General Securities Principal Examination (S24)	Series 24	12/29/1986
B	Registered Options Principal Examination (S4)	Series 4	09/22/1981

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	12/16/1978

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/05/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/25/1986

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

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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
B	06/16/2014 - 11/10/2014	MOLONEY SECURITIES CO., INC.	CRD# 38535	MANCHESTER, MO
B	02/07/2013 - 06/12/2014	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	ENGLEWOOD, CO
B	05/31/2007 - 11/28/2012	MOLONEY SECURITIES CO., INC.	CRD# 38535	MANCHESTER, MO
B	01/18/2006 - 09/06/2006	MOLONEY SECURITIES CO., INC.	CRD# 38535	MANCHESTER, MO
B	06/27/2003 - 08/08/2005	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	04/09/2003 - 06/04/2003	FORESTERS EQUITY SERVICES, INC.	CRD# 18464	SAN DIEGO, CA
B	11/29/2002 - 02/05/2003	ROCKY MOUNTAIN SECURITIES & INVESTMENTS, INC.	CRD# 8350	DENVER, CO
B	06/11/2001 - 12/04/2002	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	MINNEAPOLIS, MN
B	02/28/1989 - 01/02/2001	BOE & COMPANY, INC.	CRD# 23195	AURORA, CO
B	11/22/1989 - 02/22/1990	TRI-BRADLEY INVESTMENTS	CRD# 14208	
B	09/10/1986 - 03/04/1989	FITZGERALD, TALMAN, INC.	CRD# 13699	
B	11/25/1985 - 02/01/1988	PACIFIC RIM SECURITIES, INC.	CRD# 13155	
B	10/11/1984 - 01/14/1986	BUCKINGHAM SECURITIES, LTD.	CRD# 10570	
B	04/23/1984 - 06/19/1984	RLR SECURITIES GROUP, INC.	CRD# 7952	
B	08/09/1982 - 02/04/1983	COUGHLIN AND COMPANY, INC.	CRD# 185	
B	02/22/1982 - 08/05/1982	J DANIEL BELL & COMPANY, INC.	CRD# 6615	

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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
B	05/13/1981 - 01/14/1982	VANTAGE SECURITIES OF COLORADO, INC.	CRD# 8622	
B	01/30/1981 - 06/12/1981	BOETTCHER & COMPANY	CRD# 101	
B	06/29/1979 - 02/26/1981	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	12/27/1978 - 07/27/1979	DAIN, BOSWORTH INCORPORATED	CRD# 7600	

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
10/2016 - Present	Mutual of Omaha Investor Services, Inc.	Registered Representative	Y	CENTENNIAL, CO, United States
10/2015 - Present	MUTUAL OF OMAHA	Insurance Agent	N	CENTENNIAL, CO, 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.

COLORADO INSURANCE BENEFITS INC. JUNE 1,2014 NON INVESTMENT RELATED INSURANCE
LESS THAN 10 HOURS PER MONTH INSURANCE BROKERAGE, AUTO-HOME; BUSINESS; HEALTH INSURANCE - INDEPENDENT AGENT WRITING PROPERTY AND CASUALTY INSURANCE COVERAGE
MUTUAL OF OMAHA Insurance Agent: Life Insurance, Disability Insurance, Long Term Care Insurance, Fixed Annuities, and Medicare Supplement Insurance.

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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.

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	1
Termination	1

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	CHICAGO BOARD OF OPTION EXCHANGE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/05/1980
Docket/Case Number:	81-0115
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/04/1981
Sanctions Ordered:	Censure Suspension
Other Sanctions Ordered:	
Sanction Details:	

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Regulator Statement	BEFORE THE BUSINESS CONDUCT COMMITTEE OF THE CHICAGO BOARD OPTIONS EXCHANGE, INC., A LETTER OF CONSENT WAS ISSUED PURSUANT TO EXCHANGE RULE 17.3 IN ORDER TO RESOLVE THIS PROCEEDING. ON AUGUST 20, BOE EFFECTED, FOR THE ACCOUNT OF A PUBLIC CUSTOMER, THE OPENING OF 40 BLY NOV 25 CALL OPTIONS ON A DISCRETIONARY BASIS WITHOUT HAVING OBTAINED PRIOR WRITTEN DISCRETIONARY AUTHORIZATION. BY EFFECTING THE ABOVE-MENTIONED OPENING SALE, BOE EFFECTED AN UNSUITABLE TRANSACTION FOR THE ACCOUNT. THE ACTS, PRACTICES AND CONDUCT DESCRIBED IN THIS LETTER OF CONSENT CONSTITUTE VIOLATIONS OF EXCHANGE RULES 4.1, 4.2, 9.9, AND 9.10(a). BOE CONSENTED TO THE STIPULATION OF THE FACTS AND FINDINGS AND TO A CENSURE AND A FIVE (5) BUSINESS DAY SUSPENSION FROM THE EXCHANGE MEMBERSHIP AND ASSOCIATION WITH ANY EXCHANGE MEMBER (CBOE FILE NO. 81-0115).

Reporting Source:	Individual
Regulatory Action Initiated By:	CHICAGO BOARD OPTIONS EXCHANGE
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	5 BUSINESS DAY SUSPENSION
Date Initiated:	12/05/1980
Docket/Case Number:	81-0115
Employing firm when activity occurred which led to the regulatory action:	MERRILL LYNCH
Product Type:	Options
Other Product Type(s):	
Allegations:	TWO COUNTS OF DISCRETIONARY TRADING WITHOUT HAVING OBTAINED PRIOR WRITTEN DISCRETIONARY AUTHORIZATION; IN VIOLATION OF RULES 4.1, 4.2, 9.9, AND 9.10(A).
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/04/1981
Sanctions Ordered:	Censure Suspension
Other Sanctions Ordered:	
Sanction Details:	LETTER OF CONSENT; A CENSURE AND A FIVE (5) BUSINESS DAY SUSPENSION FROM EXCHANGE MEMBERSHIP AND ASSOCIATION WITH ANY EXCHANGE MEMBER. (SERVED)
Broker Statement	BEFORE THE BUSINESS CONDUCT COMMITTEE OF THE CHICAGO BOARD OPTIONS EXCHANGE, INC. A LETTER OF CONSENT WAS ISSUED PURSUANT TO EXCHANGE RULE 17.3 IN ORDER TO RESOLVE THIS PROCEEDING. ON AUGUST 20, 1980, BOE EFFECTED, FOR THE ACCOUNT OF A PUBLIC CUSTOMER, THE OPENING SALE OF 40 BLY NOV 25 CALL

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OPTIONS ON A DISCRETIONARY BASIS WITHOUT HAVING OBTAINED PRIOR WRITTEN DISCRETIONARY AUTHORIZATION. BY EFFECTING THE ABOVE MENTIONED SALE, BOE EFFECTED AN UNSUITABLE TRANSACTION FOR THE ACCOUNT. THE ACTS, PRACTICES, AND CONDUCT DESCRIBED IN THIS LETTER OF CONSENT CONSTITUTE VIOLATIONS OF EXCHANGE RULES 4.1, 4.2, 9.9, AND 9.10(A) BOE CONSENTED TO THE STIPULATION OF THE FACTS AND FINDINGS AND TO A CENSURE AND A FIVE (S) BUSINESS DAY SUSPENSION FROM THE EXCHANGE MEMBERSHIP AND ASSOCIATION WITH ANY EXCHANGE MEMBER. (CBOC FILE NO. 81-0115)

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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	COUGHLIN & COMPANY
Termination Type:	Discharged
Termination Date:	12/15/1982
Allegations:	LATE PAYMENT ON TRADES EFFECTED IN MY PERSONAL ACCOUNT, SIGNING A STOCK POWER FOR THE BENEFIT OF A CLIENT WITHOUT HAVING ANY WRITTEN AUTHORIZATION TO DO SO.
Product Type:	Options
Other Product Types:	
Broker Statement	THE DISTRICT BUSINESS CONDUCT COMMITTEE OF DISTRICT #3 SENT ME A LETTER OF CAUTION AS A RESULT OF MY ACTIONS AS THEY PERTAINED TO MY TERMINATION FROM COUGHLIN & COMPANY. I FURNISHED A RESPONSE OF MY UNDERSTANDING OF THE PROBLEM AS ELUCIDATED, AND ANY STEPS TAKEN TO PRECLUDE ANY RECURRENCE THEREOF. IN DECEMBER OF 1982, I LEFT COUGHLIN & COMPANY AS A RESULT OF A CLIENT AND FORMER REGISTERED REPRESENTATIVE NAMED DENNIS ROMMEL, WHO HAD OPENED AN OPTIONS ACCOUNT AT THE FIRM. MR. ROMMEL HAD AN UNSECURED DEBIT BALANCE IN HIS ACCOUNT AS A RESULT OF A SELL OUT FOR FAILING TO PAY FOR A TRADE. I WAS HELD RESPONSIBLE FOR THIS. IN THE AFTERMATH, I WAS REQUIRED TO WRITE A LETTER TO THE NASD IN WHICH I AGREED IN ALL FUTURE BUSINESS TO ADHERE CLOSELY TO ALL SECURITIES REGULATIONS OF THE ASSOCIATION'S RULES OF FAIR PRACTICE. THIS I DID, AND HAVE COMPLIED CLOSELY WITH EVER SINCE.

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End of Report

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