

BrokerCheck Report

KEVIN MARK REED

CRD# 2467725

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Events	6

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**KEVIN M. REED**

CRD# 2467725

Currently employed by and registered with the following Firm(s):**PACKERLAND BROKERAGE SERVICES, INC.**

432 SECURITY BLVD.
GREEN BAY, WI 54313
CRD# 37031

Registered with this firm since: 08/01/2016

PACKERLAND BROKERAGE SERVICES, INC.

12606 Great Pines Cove
Ft Wayne, IN 46845
CRD# 37031

Registered with this firm since: 08/01/2016

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 3 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):****FIFTH THIRD SECURITIES, INC.**

CRD# 628
FT. WAYNE, IN
05/2010 - 07/2016

PRIMEVEST FINANCIAL SERVICES, INC.

CRD# 15340
FT WAYNE, IN
12/2003 - 04/2010

FISERV INVESTOR SERVICES, INC.

CRD# 34637
HOUSTON, TX
05/2000 - 12/2003

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	2
Termination	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <http://www.adviserinfo.sec.gov>



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **PACKERLAND BROKERAGE SERVICES, INC.**

Main Office Address: **432 SECURITY BLVD.
GREEN BAY, WI 54313**

Firm CRD#: **37031**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	08/01/2016
FINRA	Invest. Co and Variable Contracts	APPROVED	08/01/2016

U.S. State/ Territory	Category	Status	Date
Florida	Agent	APPROVED	09/23/2016
Indiana	Agent	APPROVED	08/02/2016
Ohio	Agent	APPROVED	08/16/2016

Branch Office Locations

PACKERLAND BROKERAGE SERVICES, INC.

12606 Great Pines Cove
Ft Wayne, IN 46845



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 2 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
Investment Company Products/Variable Contracts Representative Examination	Series 6	05/16/2000
General Securities Representative Examination	Series 7	04/08/2004

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	05/12/2000
Uniform Investment Adviser Law Examination	Series 65	07/23/2009

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
05/2010 - 07/2016	FIFTH THIRD SECURITIES, INC.	628	FT. WAYNE, IN
12/2003 - 04/2010	PRIMEVEST FINANCIAL SERVICES, INC.	15340	FT WAYNE, IN
05/2000 - 12/2003	FISERV INVESTOR SERVICES, INC.	34637	HOUSTON, TX
04/1994 - 06/1995	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN
04/1994 - 06/1995	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
07/2016 - Present	Packerland Brokerage Services	Green Bay, WI
05/2010 - 07/2016	FIFTH THIRD SECURITIES	FT. WAYNE, IN
12/2003 - 04/2010	PRIMEVEST FINANCIAL SERVICES, INC	ST. CLOUD, MN
01/2000 - 04/2010	LAKE CITY BANK	FT. WAYNE, IN

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

KEVIN REED
 12606 GREAT PINES COVE FT WAYNE, IN 46845
 TITLE: INSURANCE SALES
 DUTIES: LIFE, ANNUITIES, AND LTC
 HOURS DEVOTED: 12 HOURS, ALSO DURING SECURITY TRADING HOURS

Registration and Employment History



Other Business Activities, continued

START DATE: 08/01/2016

INVESTMENT AND INSURANCE RELATED



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	1	0	0



Customer Dispute	0	2	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Pending

This type of disclosure event involves a pending formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory agency such as the Securities and Exchange Commission, foreign financial regulatory body) for alleged violations of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: Michigan

Sanction(s) Sought: Denial

Date Initiated: 08/26/2016

Docket/Case Number: 330152

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Allegations: The Administrator intends to DENY the SECURITIES AGENT AND INVESTMENT ADVISER REPRESENTATIVE REGISTRATION APPLICATIONS OF KEVIN M. REED, under section 412(1) of the Act, MCL 451.2412(1), because Applicant engaged in dishonest and unethical practices within the last 10 years, which supports the denial of his registration applications under the above-cited provisions of the Michigan Uniform Securities Act (2002), 2008 PA 551, MCL 451.2101 et seq.

Current Status: Pending



Reporting Source: Broker

Regulatory Action Initiated By: Michigan

Sanction(s) Sought: Denial

Date Initiated: 09/01/2016

Docket/Case Number: 330152

Employing firm when activity occurred which led to the regulatory action: Fifth Third Securities, Inc.

Product Type: No Product

Allegations: Michigan alleges that certain acts committed by Kevin Reed during his employment at Fifth Third constitutes dishonest and unethical acts in violation of Michigan statutes. Accordingly, it intends to deny Mr. Reed's registration as a securities agent and investment adviser.

Current Status: Pending

Broker Statement I believe that the actions alleged to have been committed were not fully investigated by the state of Michigan prior to its issuance of its intent to deny. Michigan is now allowing me to show it facts that were not discovered during its preliminary inquiry. I believe that once Michigan is aware of all the facts, it will withdraw its intent to deny since no customers were harmed with respect to the alleged acts.



Customer Dispute - Closed-No Action/Withdrawn/Dismissed/Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITIES, INC.
Allegations:	THE CUSTOMER'S POWER OF ATTORNEY, LORI BOATRIGHT, ALLEGES THE REGISTERED REPRESENTATIVE MADE AN UNSUITABLE RECOMMENDATION OF A MUTUAL FUND WHICH LED TO A PURCHASE IN NOVEMBER 2012.
Product Type:	Mutual Fund
Alleged Damages:	\$5,035.46
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:	01/31/2013
Complaint Pending?	No
Status:	Denied
Status Date:	08/08/2013
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: PRIMEVEST FINANCIAL SERVICES

Allegations: CLIENT ALLEGES UNSUITABILITY OF COLE CREDIT PROPERTY TRUST II, INC.

Product Type: Real Estate Security

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): UNKNOWN DAMAGES AMOUNT OVER \$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: 08/16/2010

Complaint Pending? No

Status: Denied

Status Date: 08/25/2010

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRIMEVEST FINANCIAL SERVICES

Allegations: CLIENT ALLEGES UNSUITABILITY OF COLE CREDIT PROPERTY TRUST II, INC.

Product Type: Real Estate Security

Alleged Damages: \$5,000.00



Alleged Damages Amount Explanation (if amount not exact): UNKNOWN DAMAGES AMOUNT OVER \$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: 08/16/2010

Complaint Pending? No

Status: Denied

Status Date: 08/25/2010

Settlement Amount:

Individual Contribution Amount:



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Employer Name: FIFTH THIRD SECURITIES
Termination Type: Discharged
Termination Date: 07/08/2016
Allegations: FIFTH THIRD SECURITIES TERMINATED THE REGISTERED REPRESENTATIVE FOR ALTERING CUSTOMER DOCUMENTATION
Product Type: Annuity-Variable

Reporting Source: Broker
Employer Name: Fifth Third Securities
Termination Type: Discharged
Termination Date: 07/08/2016
Allegations: Altered Customer Documentation
Product Type: Annuity-Variable

End of Report



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