

FORM U4 UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

BUTTONWOOD FINANCIAL GROUP, LLC(151164)

Rev. Form U4 (05/2009)

Individual Name: MCGRAW, JON MICHAEL (2056654)

U4 Amendment - Filing ID: 57310348

Filing Date: 10/12/2021

1. General Information

First Name:	Middle Name:	Last Name:	Suffix:
JON	MICHAEL	MCGRAW	
Firm CRD #:	Firm Name:	Employment Date (MM/DD/YYYY):	
151164	BUTTONWOOD FINANCIAL GROUP, LLC	08/19/2009	
Firm Billing Code:	Individual CRD #:	Individual SSN:	
	2056654	xxx-xx-xxxx	

Do you have an independent contractor relationship with the above named firm?:

Yes No

Office of Employment Address:

CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address	Private Residence	Type of Office	Start Date	End Date
IA Main			3013 MAIN STREET KANSAS CITY, MO 64108-3323 United States	No	Located At	08/19/2009	

2. Fingerprint Information

Electronic Filing Representation

- By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules; or
Fingerprint card barcode
- By selecting this option, I represent that I have been employed continuously by the *filing firm* since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,
- By selecting this option, I represent that I have been employed continuously by the *filing firm* and my fingerprints have been processed by an SRO other than FINRA. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

Exceptions to the Fingerprint Requirement

- By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/*filing firm* currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:
 - Rule 17f-2(a)(1)(i)
 - Rule 17f-2(a)(1)(iii)

Investment Adviser Representative Only Applicants

- I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this *firm* to become a broker-dealer representative. If this radio button/box is selected, continue below.
 - I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or

- I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the *jurisdictions* for processing pursuant to applicable *jurisdiction* rules.

3. Registration With Unaffiliated Firms

Some *jurisdictions* prohibit "dual registration", which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more *firms* (either BD or IA *firms*) that are not affiliated. *Jurisdictions* that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage *firm* A to maintain a registration with brokerage *firm* B if *firms* A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the *jurisdictions* with which you seek registration for prohibitions on dual registrations or any liability provisions.

Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a *firm* (either BD or IA) that is not affiliated with the individual's current employing *firm*. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established).

- Answer "yes" or "no" to the following questions: **Yes** **No**
- A.** Will *applicant* maintain registration with a broker-dealer that is not *affiliated* with the *filing firm*? If you answer "yes", list the *firm*(s) in Section 12 (Employment History).
 - B.** Will *applicant* maintain registration with an investment adviser that is not *affiliated* with the *filing firm*? If you answer "yes", list the *firm*(s) in Section 12 (Employment History).

4. SRO Registrations

Select appropriate *SRO* Registration requests.

Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or rescheduling an exam, skip this section and complete Section 7 (EXAMINATION REQUESTS).

REPRESENTATIVE LEVEL REGISTRATION CATEGORIES

REGISTRATION CATEGORIES	FINRA	NYSE	NYSE-AMER	NYSE-ARCA	NYSE-CHI	NYSE-NAT	CBOE	CBOE C2	CBOE BYX	CBOE BZX	CBOE EDGA	CBOE EDGX	NQX	BX	ISE	ISE GEMX	ISE MRX	PHLX	MIAX Emerald	MIAX Options	MIAX PEARL	BOX	IEX	LTSE	MEMX
IR - Investment Company and Variable Contracts Products Rep. (S6TO)	<input type="checkbox"/>																								
GS - Full Registration/General Securities Representative (S7TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DR - Direct Participation Program Representative (S22TO)	<input type="checkbox"/>																								
MR - Municipal Securities Representative (S52TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>																			
TD - Securities Trader (S57TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Georgia	<input type="checkbox"/>	<input type="checkbox"/>	Minnesota	<input type="checkbox"/>	<input type="checkbox"/>	Oklahoma	<input type="checkbox"/>	<input type="checkbox"/>	Washington	<input type="checkbox"/>	<input type="checkbox"/>
Hawaii	<input type="checkbox"/>	<input type="checkbox"/>	Mississippi	<input type="checkbox"/>	<input type="checkbox"/>	Oregon	<input type="checkbox"/>	<input type="checkbox"/>	West Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Idaho	<input type="checkbox"/>	<input type="checkbox"/>	Missouri	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Pennsylvania	<input type="checkbox"/>	<input type="checkbox"/>	Wisconsin	<input type="checkbox"/>	<input type="checkbox"/>
									Wyoming	<input type="checkbox"/>	<input type="checkbox"/>

AGENT OF THE ISSUER REGISTRATION (AI) **Indicate 2 letter jurisdiction code(s):** _____

6. Registration Requests with Affiliated Firms

Will *applicant* maintain registration with *firm(s)* under common ownership or control with the *filing firm*? Yes No
 If "yes", fill in the details to indicate a request for registration with additional *firm(s)*.

7. Examination Requests

Scheduling or Rescheduling Examinations Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 (S63) or Series 65 (S65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a *jurisdiction*. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a *jurisdiction* that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a *jurisdiction* that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.

- | | | | | |
|-------------------------------|--------------------------------|------------------------------|--------------------------------|--------------------------------|
| <input type="checkbox"/> SIE | <input type="checkbox"/> S16 | <input type="checkbox"/> S30 | <input type="checkbox"/> S52TO | <input type="checkbox"/> S79TO |
| <input type="checkbox"/> S3 | <input type="checkbox"/> S22TO | <input type="checkbox"/> S31 | <input type="checkbox"/> S53 | <input type="checkbox"/> S82TO |
| <input type="checkbox"/> S4 | <input type="checkbox"/> S23 | <input type="checkbox"/> S32 | <input type="checkbox"/> S54 | <input type="checkbox"/> S86 |
| <input type="checkbox"/> S6TO | <input type="checkbox"/> S24 | <input type="checkbox"/> S34 | <input type="checkbox"/> S57TO | <input type="checkbox"/> S87 |
| <input type="checkbox"/> S7TO | <input type="checkbox"/> S26 | <input type="checkbox"/> S39 | <input type="checkbox"/> S63 | <input type="checkbox"/> S99TO |
| <input type="checkbox"/> S9 | <input type="checkbox"/> S27 | <input type="checkbox"/> S50 | <input type="checkbox"/> S65 | <input type="checkbox"/> S101 |
| <input type="checkbox"/> S10 | <input type="checkbox"/> S28 | <input type="checkbox"/> S51 | <input type="checkbox"/> S66 | <input type="checkbox"/> S201 |
| <input type="checkbox"/> S14 | | | | |

Other _____ (Paper Form Only)
 OPTIONAL: Foreign Exam City _____ Date (MM/DD/YYYY) _____

8. Professional Designations

- Select each designation you currently maintain.**
- Certified Financial Planner**
 - Chartered Financial Consultant (ChFC)**
 - Personal Financial Specialist (PFS)**
 - Chartered Financial Analyst (CFA)**
 - Chartered Investment Counselor (CIC)**

9. Identifying Information/Name Change

First Name: JON	Middle Name: MICHAEL	Last Name: MCGRAW	Suffix:
State of Birth Colorado	Province of Birth	Country of Birth United States	
Date of Birth(MM/DD /YYYY) 05/21/1968	Sex <input checked="" type="radio"/> Male <input type="radio"/> Female	Hair Color Brown	Eye Color Blue
Height (ft) 6	Height (in) 5	Weight (lbs) 250	

10. Other Names

No Information Filed.

11. Residential History

From	To	Street Address
08/1996	PRESENT	115 E. 58TH STREET KANSAS CITY, MO 64113 United States

12. Employment History

From	To	Name of Firm or Company	Address	Investment Related	Position Held
01/2002	PRESENT	BUTTONWOOD FINANCIAL GROUP	KANSAS CITY, MO United States	Yes	President/CCO
11/2009	08/2019	PURSHE KAPLAN STERLING INVESTMENTS	ALBANY, NY United States	Yes	REGISTERED REPRESENTATIVE
01/2002	10/2009	LINSKO PRIVATE LEDGER	SAN DIEGO, CA United States	Yes	BRANCH MANAGER
10/1991	01/2002	QUICK & REILLY, INC.	NEW YORK, NY United States	Yes	AREA MANAGER

13. Other Business

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non *investment-related* activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is *investment-related*, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.

Yes No

If 'Yes', please enter details below.

(1) Buttonwood Foundation; Investment related; 3013 Main St., Kansas City, MO 64108; Managing member and Co-Trustee of Private Family Foundation; Start date 11/09/2004; 3 hrs/mo. (2) Buttonwood 3013 LLC; Investment Related; 3013 Main St., Kansas City, Mo 64108; Managing member of rental real estate property; Start date 03/01/2005; 10 hrs/mo. (3) Buttonwood Art Space, LLC; Investment Related; 3013 Main St., Kansas City, MO 64108; Managing member of community focused art gallery; Start date 12/01/2005; 10 hrs/mo. (4) Buttonwood 3015 LLC; Investment Related; 3013 Main St., Kansas City, Mo 64108; Managing member of rental real estate property; Start date 12/31/2012; <1 hr/mo. (5) Buttonwood 3011 LLC; Investment Related; 3013 Main St., Kansas City, Mo 64108; Managing member of rental real estate parking lot property; Start date 04/06/2017; <1 hr/mo. (6) 31w31, LLC; Investment Related; 31 W 31st St., Kansas City, MO 64108; Managing member and Partner of commercial office and event space for nonprofit organizations; Start date 02/27/2017; 5 hrs/mo. (7) 3931Main, LLC; Investment Related; 3931 Main St., Kansas City, MO 64111; Managing member of commercial office and event space for nonprofit organization; Start date 02/27/2017; 5 hrs/mo. (8) Sister City Assn of Kansas City MO. Not Investment Related. 4600

East 63rd St. Kansas City, MO 64130. Board Member of nonprofit organization. Start date 01/01/1998. 2 hrs/mo. (9) K and R Enterprises. Investment Related. PO Box 963, Cheyenne, WY 82003. Family controlled company formed in 1919. Board Member. Start date 12/31/2006. <1 hr/mo. (10) Union Hill Special Business District. Not Investment Related. 3013 Main St., Kansas City, MO 64108 Treasurer for Political Subdivision of Kansas City, MO. Mayoral Appointed Position. 11/15/2007. 2 hrs/mo. (11) MidTown KC Now. Not Investment Related. 3931 Main St., Kansas City, MO 64111. Board Member of nonprofit organization. Start date 05/01/2006. 4 hrs/mo. (12) Main Street Community Improvement District. Not Investment Related. 3931 Main St., Kansas City, MO 64111. Board Member, Officer of nonprofit organization. Start date 05/01/2006. 4 hrs/mo. (13) International Relations Council. Not Investment Related. 30 W Pershing Rd #201, Kansas City, MO 64108. Board Member, Finance Committee of nonprofit organization. Start date 05/01/2017. 4 hrs/mo. (14) Kansas City Jazz ALIVE. Not Investment Related. 3013 Main St., Kansas City, MO 64108. Board Member, Officer of nonprofit organization. Start date 04/07/2014. 5 hrs/mo. (15) UMKC Jazz Friends. Not Investment Related. 5115 Oak Street, AC 300B, Kansas City, MO 64112. Board Member of nonprofit organization. Start date 04/07/2014. 5 hrs/mo.

14. Disclosure Questions

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

Criminal Disclosure

- 14A. (1) Have you ever:** **Yes No**
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any *felony*?
 - (b) been *charged* with any *felony*?
- (2) Based upon activities that occurred while you exercised control over it, has an organization ever:**
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any *felony*?
 - (b) been *charged* with any *felony*?

- 14B. (1) Have you ever:** **Yes No**
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a *misdemeanor involving*: investments or an *investment-related* business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?
 - (b) been *charged* with a *misdemeanor* specified in 14B(1)(a)?
- (2) Based upon activities that occurred while you exercised control over it, has an organization ever:**
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a *misdemeanor* specified in 14B(1)(a)?
 - (b) been *charged* with a *misdemeanor* specified in 14B(1)(a)?

Regulatory Action Disclosure

- 14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:** **Yes No**
- (1) *found* you to have made a false statement or omission?
 - (2) *found* you to have been *involved* in a violation of its regulations or statutes?
 - (3) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked, or restricted?
 - (4) entered an *order* against you in connection with *investment-related* activity?
 - (5) imposed a civil money penalty on you, or *ordered* you to cease and desist from any activity?
 - (6) *found* you to have willfully violated 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 *found* you to have been unable to comply with any provision of such Act, rule or regulation?

(7) *found* you to have 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?

(8) *found* you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation 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?

14D. (1) Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever: **Yes No**

(a) *found* you to have made a false statement or omission or been dishonest, unfair or unethical?

(b) *found* you to have been *involved* in a violation of *investment-related* regulation(s) or statute(s)?

(c) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked or restricted?

(d) entered an *order* against you in connection with an *investment-related* activity?

(e) denied, suspended, or revoked your registration or license or otherwise, by *order*, prevented you from associating with an *investment-related* business or restricted your activities?

(2) Have you been subject to any final order of a state securities commission (or any agency or officer performing like functions), state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency, or the National Credit Union Administration, that:

(a) bars you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities; or

(b) constitutes a *final order* based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

14E. Has any self-regulatory organization ever: **Yes No**

(1) *found* you to have made a false statement or omission?

(2) *found* you to have been *involved* in a violation of its rules (other than a violation designated as a "*minor rule violation*" under a plan approved by the U.S. Securities and Exchange Commission)?

(3) *found* you to have been the cause of an *investment-related* business having its authorization to do business denied, suspended, revoked or restricted?

(4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?

(5) *found* you to have willfully violated 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 *found* you to have been unable to comply with any provision of such Act, rule or regulation?

(6) *found* you to have 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?

(7) *found* you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation 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?

14F. Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?

14G. Have you been notified, in writing, that you are now the subject of any: **Yes No**

(1) regulatory complaint or *proceeding* that could result in a "yes" answer to any part of 14C, D or E? (If "yes", complete the *Regulatory Action* Disclosure Reporting Page.)

(2) *investigation* that could result in a "yes" answer to any part of 14A, B, C, D or E? (If "yes", complete the *Investigation* Disclosure Reporting Page.)

Civil Judicial Disclosure

14H. (1) Has any domestic or foreign court ever: **Yes No**

(a) *enjoined* you in connection with any *investment-related* activity?

(b) *found* that you were *involved* in a violation of any *investment-related* statute(s) or regulation(s)?

(c) dismissed, pursuant to a settlement agreement, an *investment-related* civil action brought against you by a state or *foreign financial regulatory authority*?

(2) Are you named in any pending *investment-related* civil action that could result in a "yes" answer to any part of 14H(1)?

Customer Complaint/Arbitration/Civil Litigation Disclosure

14I. (1) Have you ever been named as a respondent/defendant in an *investment-related*, consumer-initiated arbitration or civil litigation which alleged that you were *involved* in one or more *sales practice violations* and which: **Yes No**

(a) is still pending, or;

(b) resulted in an arbitration award or civil judgment against you, regardless of amount, or;

(c) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or;

(d) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?

(2) Have you ever been the subject of an *investment-related*, consumer-initiated (written or oral) complaint, which alleged that you were *involved* in one or more *sales practice violations*, and which:

(a) was settled, prior to 05/18/2009 for an amount of \$10,000 or more, or;

(b) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?

(3) Within the past twenty four (24) months, have you been the subject of an *investment-related*, consumer-initiated, written complaint, not otherwise reported under question 14I(2) above, which:

(a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the complaint must be reported unless the *firm* has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;

(b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities?

Answer questions (4) and (5) below only for arbitration claims or civil litigation filed on or after 05/18/2009.

(4) Have you ever been the subject of an *investment-related*, consumer-initiated arbitration claim or civil litigation which alleged that you were *involved* in one or more *sales practice violations*, and which:

(a) was settled for an amount of \$15,000 or more, or;

(b) resulted in an arbitration award or civil judgment against any named respondent(s)/defendant(s), regardless of any amount?

(5) Within the past twenty four (24) months, have you been the subject of an *investment-related*, consumer-initiated arbitration claim or civil litigation not otherwise reported under questions 14I(4) above, which:

(a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the arbitration claim or civil litigation, must be reported unless the *firm* has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;

(b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities?

(b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities?

Termination Disclosure

14J. Have you ever voluntarily resigned, been discharged or permitted to resign after allegations were made that accused you of: **Yes No**

(1) violating *investment-related* statutes, regulations, rules, or industry standards of conduct?

(2) fraud or the wrongful taking of property?

(3) failure to supervise in connection with *investment-related* statutes, regulations, rules or industry standards of conduct?

Financial Disclosure

14K. Within the past 10 years: **Yes No**

(1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

(2) based upon events that occurred while you exercised *control* over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

(3) based upon events that occurred while you exercised *control* over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act?

14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?

14M. Do you have any unsatisfied judgments or liens against you?

15. Signatures

Please Read Carefully

All signatures required on this Form U4 filing must be made in this section.

A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

15A INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT

This section must be completed on all initial or Temporary Registration form filings.

15B FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS

This section must be completed on all initial or Temporary Registration form filings.

15C TEMPORARY REGISTRATION ACKNOWLEDGMENT

This section must be completed on Temporary Registration form filings to be able to receive Temporary Registration.

15D INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT

This section must be completed on any amendment filing that amends any information in Section 14 (Disclosure Questions) or any Disclosure Reporting Page (DRP).

15E FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

This section must be completed on all amendment form filings.

15F FIRM/APPROPRIATE SIGNATORY CONCURRENCE

This section must be completed to concur with a U4 filing made by another *firm* (IA/BD) on behalf of an individual that is also registered with that other *firm* (IA/BD).

15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT

If an *applicant* has been registered in a *jurisdiction* or self regulatory organization (SRO) in the 30 days prior to the date an application for registration is filed with the Central Registration Depository or Investment Adviser Registration Depository, he or she may qualify for a Temporary Registration to conduct securities business in that *jurisdiction* or SRO if this acknowledgment is executed and filed with the Form U4 at the *applicant's firm*.

This acknowledgment must be signed only if the *applicant* intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each *jurisdiction* and/or SRO requested on this Form U4, while my registration with the *jurisdiction(s)* and/or SRO(s) requested is under review;

I am requesting a Temporary Registration with the *firm* filing on my behalf for the *jurisdiction(s)* and/or SRO(s) noted in Section 4 (SRO REGISTRATION) and/or Section 5 (JURISDICTION REGISTRATION) of this Form U4;

I understand that I may request a Temporary Registration only in those *jurisdiction(s)* and/or SRO(s) in which I have been registered with my prior *firm* within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a *jurisdiction* and/or SRO until I have received notice from the CRD or IARD that I have been granted a Temporary Registration in that *jurisdiction* and/or SRO;

I agree that until the Temporary Registration has been replaced by a registration, any *jurisdiction* and/or SRO in which I have applied for registration may withdraw the Temporary Registration;

If a *jurisdiction* or SRO withdraws my Temporary Registration, my application will then be held pending in that *jurisdiction* and/or SRO until its review is complete and the registration is granted or denied, or the application is withdrawn;

I understand and agree that, in the event my Temporary Registration is withdrawn by a *jurisdiction* and/or SRO, I must immediately cease any securities activities requiring a registration in that *jurisdiction* and/or SRO until it grants my registration;

I understand that by executing this Acknowledgment I am agreeing not to challenge the withdrawal of a Temporary Registration; however, I do not waive any right I may have in any *jurisdiction* and/or SRO with respect to any decision by that *jurisdiction* and/or SRO to deny my application for registration.

Date (MM/DD/YYYY)

Signature of Applicant

Signature _____

15D. AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT

Date (MM/DD/YYYY)

Signature of Applicant

10/12/2021

Jon McGraw

Signature _____

15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

Date (MM/DD/YYYY)

Signature of Appropriate Signatory

10/12/2021

Jon McGraw

Signature _____

Bankruptcy / SIPC / Compromise with Creditors

No Information Filed

Bond DRP

No Information Filed

Civil Judicial DRP

No Information Filed

Criminal DRP

No Information Filed

Customer Complaint DRP

No Information Filed

Investigation DRP

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

Investigation

Rev. DRP (05/2009)

 14G(2)[Click here to view question text](#)

Complete this DRP only if you are answering "yes" to Item 14G(2). If you answered "yes" to Item 14G(1), complete the Regulatory Action DRP. If you have been notified that the *investigation* has been concluded without formal action, complete items 4 and 5 of this DRP to update. One event may result in more than one *investigation*. If more than one authority is investigating you, use a separate DRP to provide details.

1. *Investigation initiated by:*

A. Notice Received From (select appropriate item):

- SRO Foreign Financial Regulatory Authority Jurisdiction
 SEC Other Federal Agency Other

B. Full name of regulator (other than SEC) that initiated the *investigation*:

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

2. Notice Date (MM/DD/YYYY):

05/12/2021 Exact Explanation

If not exact, provide explanation:

3. Describe briefly the nature of the *investigation*, if known. (Your information must fit within the space provided.):

Registrant's firm was subject to a limited scope regulatory compliance examination which began in November of 2018 and was conducted by the Securities and Exchange Commission (SEC). The exam was followed by an investigation process during which the firm received requests for formal statements and additional documents from SEC enforcement staff. On May 12, 2021, the firm and Registrant received a Wells notice letter from SEC staff notifying them that they intend to recommend to the SEC that it file an enforcement action for alleged violations of the Investment Advisers Act of 1940. The firm believes that the primary issues relate to the adequacy of prior disclosures made by the firm related to mutual fund share class selections, ongoing disclosure obligations of the firm, related conflicts of interest, and the firm's compliance policies and procedures related to making and updating regulatory disclosures. The firm and Registrant have been fully cooperating with SEC staff throughout the examination and hope to resolve the matter promptly.

4. Is *investigation* pending? Yes No

If no, complete item 5. If yes, skip to item 6.

5. Resolution Details:

A. Date Closed/Resolved (MM/DD/YYYY):

- Exact Explanation

If not exact, provide explanation:

B. How was *investigation* resolved? (select appropriate item):

- Closed Without Further Action
 Closed – Regulatory Action Initiated
 Other:

6. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the *investigation*, as well as the current status or final disposition and/or finding(s). Your information must fit within the space provided.

Judgment Lien DRP

No Information Filed

Regulatory Action DRP

This Disclosure Reporting Page is an **INITIAL** or **AMENDED** response to report details for affirmative response(s) to **Question(s) 14C, 14D, 14E, 14F and 14G(1)** on Form U4;

Regulatory Action

Rev. DRP (05/2009)

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

- | | | | |
|---------------------------------|------------------------------------|---------------------------------|--|
| <input type="checkbox"/> 14C(1) | <input type="checkbox"/> 14D(1)(a) | <input type="checkbox"/> 14E(1) | <input type="checkbox"/> 14F |
| <input type="checkbox"/> 14C(2) | <input type="checkbox"/> 14D(1)(b) | <input type="checkbox"/> 14E(2) | |
| <input type="checkbox"/> 14C(3) | <input type="checkbox"/> 14D(1)(c) | <input type="checkbox"/> 14E(3) | <input checked="" type="checkbox"/> 14G(1) |
| <input type="checkbox"/> 14C(4) | <input type="checkbox"/> 14D(1)(d) | <input type="checkbox"/> 14E(4) | |
| <input type="checkbox"/> 14C(5) | <input type="checkbox"/> 14D(1)(e) | <input type="checkbox"/> 14E(5) | |
| <input type="checkbox"/> 14C(6) | <input type="checkbox"/> 14D(2)(a) | <input type="checkbox"/> 14E(6) | |
| <input type="checkbox"/> 14C(7) | <input type="checkbox"/> 14D(2)(b) | <input type="checkbox"/> 14E(7) | |
| <input type="checkbox"/> 14C(8) | | | |

[Click here to view question text](#)

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details to each action on a separate DRP.

1. Regulatory Action initiated by:

A. (Select appropriate item):

- SEC Other Federal Agency Jurisdiction SRO CFTC
- Foreign Financial Regulatory Authority Federal Banking Agency National Credit Union Administration Other

B. Full name of regulator (if other than the SEC) that initiated the action:

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

2. Sanction(s) Sought (select all that apply):

- | | | |
|---|--|--|
| <input type="checkbox"/> Bar | <input checked="" type="checkbox"/> Cease and Desist | <input type="checkbox"/> Censure |
| <input checked="" type="checkbox"/> Civil and Administrative Penalty(ies)/Fine(s) | <input type="checkbox"/> Denial | <input checked="" type="checkbox"/> Disgorgement |
| <input type="checkbox"/> Expulsion | <input type="checkbox"/> Monetary Penalty other than Fines | <input type="checkbox"/> Prohibition |
| <input type="checkbox"/> Reprimand | <input type="checkbox"/> Requalification | <input type="checkbox"/> Rescission |
| <input type="checkbox"/> Restitution | <input type="checkbox"/> Revocation | <input type="checkbox"/> Suspension |
| <input type="checkbox"/> Undertaking | | |
| <input type="checkbox"/> Other: | | |

3. Date Initiated (MM/DD/YYYY):

09/23/2021 Exact Explanation
If not exact, provide explanation:

4. Docket/Case Number:

4:21-cv-686

5. Employing Firm when activity occurred which led to the regulatory action:

Buttonwood Financial Group, LLC

6. Product Type(s) (select all that apply):

- No Product
- Annuity-Charitable
- Annuity-Fixed
- Annuity-Variable
- Banking Products (other than CDs)
- CD
- Commodity Option
- Debt-Asset Backed
- Debt-Corporate
- Debt-Government
- Debt-Municipal
- Derivative
- Direct Investment-DPP & LP Interests
- Equipment Leasing
- Equity Listed (Common & Preferred Stock)
- Equity-OTC
- Futures Commodity
- Futures-Financial
- Index Option
- Insurance
- Investment Contract
- Money Market Fund
- Mutual Fund
- Oil & Gas
- Options
- Penny Stock
- Prime Bank Instrument
- Promissory Note
- Real Estate Security
- Security Futures
- Unit Investment Trust
- Viatical Settlement
- Other:

7. Describe the allegations related to this regulatory action. (Your information must fit within the space provided.):

According to the SEC's complaint, Registrant's firm invested client assets in generally more expensive mutual funds without adequately disclosing the practice and the related conflict of interest so that the firm could avoid paying certain transaction costs.

Current Status?

- 8. Pending On Appeal Final

9. If pending, are there any limitations or restrictions currently in effect?

- Yes No

If the answer is 'yes', provide details:

10. If on appeal:

A. Action appealed to:

- SEC SRO CFTC Federal Court State Agency or Commission State Court Other:

B. Date appeal filed (MM/DD/YYYY):

- Exact Explanation

If not exact, provide explanation:

C. Are there any limitations or restrictions currently in effect while on appeal?

- Yes No

If the answer is 'yes', provide details:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.

11. Resolution Detail:

A. How was matter resolved? (select appropriate item):

- Acceptance, Waiver & Consent (AWC)
- Decision & Order of Offer of Settlement
- Settled
- Vacated Nunc Pro Tunc/ab initio
- Other:
- Consent
- Dismissed
- Stipulation and Consent
- Withdrawn
- Decision
- Order
- Vacated

B. Resolution Date (MM/DD/YYYY):

- Exact Explanation

If not exact, provide explanation:

12. Does the order constitute a *final order* based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes No

13. Sanction Detail:

A. Were any of the following sanctions ordered? (Select all appropriate items):

- | | | |
|--|--|--|
| <input type="checkbox"/> Bar (Permanent) | <input type="checkbox"/> Bar (Temporary/Time Limited) | <input type="checkbox"/> Cease and Desist |
| <input type="checkbox"/> Censure | <input type="checkbox"/> Civil and Administrative Penalty(ies)/Fine(s) | <input type="checkbox"/> Denial |
| <input type="checkbox"/> Disgorgement | <input type="checkbox"/> Expulsion | <input type="checkbox"/> Letter of Reprimand |
| <input type="checkbox"/> Monetary Penalty other than Fines | <input type="checkbox"/> Prohibition | <input type="checkbox"/> Requalification |
| <input type="checkbox"/> Rescission | <input type="checkbox"/> Restitution | <input type="checkbox"/> Revocation |
| <input type="checkbox"/> Suspension | <input type="checkbox"/> Undertaking | |

B. Other sanctions ordered:

C. If suspended or barred, provide:

No Information Filed.

D. If requalification by exam/retraining was a condition of the sanction, provide:

No Information Filed.

E. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide:

No Information Filed.

14. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or disposition and/or finding(s). Your information must fit within the space provided.
Registrant disputes allegations and inferences made by the SEC in this pending complaint and intends to defend them in court. Registrant and Registrant's firm remain focused on keeping each client's overall investment costs low, providing required disclosures, and fulfilling fiduciary duty in providing investment advice that serves each client's best interest.

Termination DRP

No Information Filed