BrokerCheck Report

CAPITAL BROKERAGE CORPORATION

CRD# 10465

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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.

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 https://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.
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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.

CAPITAL BROKERAGE CORPORATION

CRD# 10465

SEC# 8-26614

Main Office Location

11011 WEST BROAD STREET
BUILDING 2
GLEN ALLEN, VA 23060
Regulated by FINRA Philadelphia Office

Mailing Address

11011 WEST BROAD STREET
BUILDING 2
GLEN ALLEN, VA 23060

Business Telephone Number

804-513-3172

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Washington on 07/01/1981.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 2 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3
Arbitration	1

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Washington on 07/01/1981.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

CAPITAL BROKERAGE CORPORATION

Doing business as CAPITAL BROKERAGE CORPORATION

CRD# 10465

SEC# 8-26614

Main Office Location

11011 WEST BROAD STREET
BUILDING 2
GLEN ALLEN, VA 23060

Regulated by FINRA Philadelphia Office

Mailing Address

11011 WEST BROAD STREET
BUILDING 2
GLEN ALLEN, VA 23060

Business Telephone Number

804-513-3172

Other Names of this Firm

Name	Where is it used
GENWORTH FINANCIAL BROKERAGE CORPORATION	IN, MN, NM, TX

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Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	GNA CORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER COMMON
Position Start Date	07/1985
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BERRY, ALEXANDER BARNETT 4494834
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	04/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	

Legal Name & CRD# (if any):	NAMORATO, JAMES JOSEPH 2944112
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	04/2016

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Firm Profile

Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TABB, MARIA ODONNELL 1309483
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT AND CHIEF EXECUTIVE OFFICER
Position Start Date	07/2020
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	GENWORTH FINANCIAL, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	GENWORTH HOLDINGS, INC.
Relationship to Direct Owner	SHAREHOLDER COMMON
Relationship Established	04/2013
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Legal Name & CRD# (if any):	GENWORTH HOLDINGS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	GNA CORPORATION
Relationship to Direct Owner	SHAREHOLDER COMMON
Relationship Established	03/2006
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	10/05/1981

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	05/04/1982

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	06/09/1987
Alaska	Approved	06/17/2002
Arizona	Approved	06/17/1987
Arkansas	Limited	07/21/1987
California	Approved	08/06/1984
Colorado	Approved	12/12/1986
Connecticut	Approved	04/03/1987
Delaware	Approved	05/01/1987
District of Columbia	Approved	12/24/1986
Florida	Approved	12/15/1986
Georgia	Approved	02/06/1987
Hawaii	Approved	12/10/1986
Idaho	Approved	01/01/1986
Illinois	Approved	11/26/1984
Indiana	Approved	11/20/1986
Iowa	Approved	06/03/1987
Kansas	Approved	12/03/1986
Kentucky	Approved	01/19/1987
Louisiana	Approved	09/24/1986
Maine	Approved	03/04/1994
Maryland	Approved	01/02/1987
Massachusetts	Approved	01/06/1987
Michigan	Approved	01/13/1987
Minnesota	Approved	11/07/1986
Mississippi	Approved	03/27/1987
Missouri	Approved	01/07/1987
Montana	Approved	09/21/1987
Nebraska	Approved	01/13/1987
Nevada	Approved	04/26/1991
New Hampshire	Approved	02/13/1990
New Jersey	Approved	06/01/1987
New Mexico	Approved	06/01/1988
New York	Approved	09/22/1986
North Carolina	Approved	09/05/1986
North Dakota	Approved	01/06/1987
Ohio	Approved	12/09/1986
Oklahoma	Approved	02/10/1987
Oregon	Approved	05/24/1984
Pennsylvania	Approved	11/24/1986
Puerto Rico	Approved	09/20/2010
Rhode Island	Approved	05/19/1987
South Carolina	Approved	04/29/1987
South Dakota	Approved	10/27/1993
Tennessee	Approved	04/08/1987
Texas	Approved	06/10/1985
Utah	Approved	02/25/1987
Vermont	Approved	10/24/1988
Virgin Islands	Approved	10/14/2008
Virginia	Approved	03/13/1987
Washington	Approved	04/20/1983
West Virginia	Approved	07/10/1989
Wisconsin	Approved	01/08/1988
Wyoming	Approved	08/19/1991

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Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 2 types of businesses.

Types of Business

Mutual fund underwriter or sponsor
Other - OTHER - UNDERWRITER AND/OR SPONSOR OF VARIABLE LIFE INSURANCE PRODUCTS AND VARIABLE ANNUITY PRODUCTS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does not engage in other non-securities business.

Non-Securities Business Description:

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Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

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Firm Operations

Industry Arrangements

This firm does have books or records maintained by a third party.

Name:	MICROSOFT CORPORATION
Business Address:	ONE MICROSOFT WAY REDMOND, WA 98052-6399
Effective Date:	02/02/2022
Description:	MICORSOFT CORPORATION WILL SUPPLY TO CAPITAL BROKERAGE CORPORATION/GENWORTH AN AUTOMATED EMAIL AND INSTANT MESSAGING MONITORING RETRIEVAL AND RETENTION SYSTEM DESIGNED IN ACCORDANCE WITH SEC & FINRA REGULATORY REQUIREMENTS FOR SURVEILLANCE OF ELECTRONIC COMMUNICATIONS, INSTANT MESSAGES AND RECORD RETENTION IN ACCORDANCE WITH SEC RULE 17A-4

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

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Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is not, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

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Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	3	0
Arbitration	N/A	1	N/A

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Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
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 brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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.
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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	AGENTS REGISTERED WITH DEFANDANT OMITTED MATERIAL FACTS, MISREPRESENTED MATERIAL FACTS, SOLD UNREGISTERED SECURITIES, SOLD UNSUITABLE INVESTMENTS AND DEFENDANT FAILED TO EXERCISE DILIGENT SUPERVISION OVER THE SECURITIES ACTIVITIES OF CERTAIN AGENTS.
Initiated By:	VIRGINIA - DIVISION OF SECURITIES
Date Initiated:	06/27/2002
Docket/Case Number:	SEC-000094
URL for Regulatory Action:	
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Restitution
Other Sanction(s)/Relief Sought:	
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/27/2002
Sanctions Ordered:	Disgorgement/Restitution
Other Sanctions Ordered:	RESTITUTION
Sanction Details:	RESTITUTION
Regulator Statement	BY SETTLEMENT ORDER DATED JUNE 27, 2002, DEFENDANT AGREED, WITHOUT ADMITTING NOR DENYING THE ALLEGATIONS, TO MAKE AN OFFER OF RESCISSION TO FOUR VIRGINIA RESIDENTS AND THE ESTATE OF A FIFTH VIRGINIA RESIDENT. THE REIMBURSEMENT OFFER SHALL BE IN AMOUNT EQUAL TO SIXTY FIVE PERCENT OF THE PRINCIPAL AMOUNT, TO PROVIDE EACH INVESTOR A COPY OF THE SETTLEMENT ORDER, EXERCISE DILIGENT SUPERVISION OF ITS AGENTS IN ACCORDANCE WITH THE RULES OF THE COMMISSION, COMPLY WITH THE PROVISIONS OF THE ACT AND RULES PROMULGATED THEREUNDER AND PAY TO THE COMMISSION $7,644 TO DEFRAY THE COST OF THE INVESTIGATION.

Reporting Source:	Firm
Current Status:	Final
Allegations:	AGENTS REGISTERED WITH DEFENDANT OMITTED MATERIAL FACTS, MISREPRESENTED MATERIAL FACTS, SOLD UNREGISTERED SECURITIES,

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	SOLD UNSUITABLE INVESTMENTS AND DEFENDANT FAILED TO EXERCISE DILIGENT SUPERVISION OVER THE SECURITIES ACTIVITIES OF CERTAIN AGENTS.
Initiated By:	VIRGINIA - DIVISION OF SECURITIES
Date Initiated:	06/27/2002
Docket/Case Number:	SEC-000094
Principal Product Type:	Other
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	RESTITUTION
Resolution:	Other
Resolution Date:	06/27/2002
Sanctions Ordered:	Disgorgement/Restitution
Other Sanctions Ordered:	RESTITUTION
Sanction Details:	RESTITUTION
Firm Statement	BY SETTLEMENT ORDER DATED JUNE 27, 2002, DEFENDANT AGREED, WITHOUT ADMITTING NOR DENYING THE ALLEGATIONS, TO MAKE AN OFFER OF RESCISSION TO FOUR VIRGINIA RESIDENTS AND THE ESTATE OF A FIFTH VIRGINIA RESIDENT. THE REIMBURSEMENT OFFER SHALL BE IN AMOUNT EQUAL TO SIXTY-FIVE PERCENT OF THE PRINCIPAL AMOUNT, TO PROVIDE EACH INVESTOR A COPY OF THE SETTLEMENT ORDER, EXERCISE DILIGENT SUPERVISION PF ITS AGENTS IN ACCORDANCE WITH THE RULES PROMULGATED THEREUNDER AND PAY TO THE COMMISSION $7,644 TO DEFRAY THE COST OF THE INVESTIGATION.

Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	FAILURE TO REGISTER BRANCH OFFICES PURSUANT TO THE GEORGIA SECURITIES ACT OF 1973, AS AMENDED.
Initiated By:	GEORGIA SECURITIES DIVISION
Date Initiated:	08/04/1999

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Docket/Case Number:	63-98-1405
URL for Regulatory Action:	
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	REGISTRATION OF BRANCH OFFICES PURSUANT TO RULE 590-4-2-.01(3) UNDER THE GEORGIA SECURITIES ACT OF 1973, AS AMENDED.
Resolution:	Consent
Resolution Date:	08/04/1999
Sanctions Ordered:	Monetary/Fine $1,500.00
Other Sanctions Ordered:	AGREEMENT TO REGISTER BRANCH OFFICES
Sanction Details:	RESPONDENT AGREED TO PAY TO THE COMMISSIONER THE SUM OF $1,500.00 TO REIMBURSE THE COMMISSIONER FOR INVESTIGATIVE EXPENSES.
Regulator Statement	CONTACT GEORGIA SECURITIES DIVISION 404.656.3920

Reporting Source:	Firm
Current Status:	Final
Allegations:	FAILURE TO REGISTER BRANCH OFFICES PURSUANT TO THE GEORGIA SECURITIES ACT OF 1973, AS AMENDED.
Initiated By:	SECURITIES & BUSINESS REGULATION DIVISION, STATE OF GEORGIA
Date Initiated:	04/21/1999
Docket/Case Number:	63-98-1405
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	REGISTRATION OF BRANCH OFFICES PURSUAT TO RULE 590-4-2-01(3) UNDER GEORGIA SECURITIES ACT OF 1973, AS AMENDED.
Resolution:	Consent
Resolution Date:	08/04/1999

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Sanctions Ordered:	Monetary/Fine $1,500.00
Other Sanctions Ordered:	AGREEMENT TO REGISTER BRANCH OFFICES.
Sanction Details:	FINE OF $1,500 PAID JULY 13, 1999 TO REIMBURSE THE STATE'S INVESTIGATIVE EXPENSES.

Disclosure 3 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	Not Provided
Initiated By:	FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*
Date Initiated:	11/02/1994
Docket/Case Number:	2001-S-2/94
URL for Regulatory Action:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Consent
Resolution Date:	11/02/1994
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	ON 11/2/94, FLORIDA ENTERED AN ORDER IN THE MATTER OF GNA SECURITIES, INC. PURSUANT TO THE ORDER, THE STATE AGREED TO APPROVE THE PENDING BRANCH OFFICE APPLICATION FILED BY THE FIRM, SUBJECT TO COMPLAINCE WITH CERTAIN CONDITIONS AS ENUMERATED IN THE ORDER.
Regulator Statement	CONTACT: NANCY WOOD (904) 488-9805

Reporting Source:	Firm

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Current Status:	Final
Allegations:	FLORIDA ENTERED AN ORDER REQUIRING GNA SECURITIES MEET CERTAIN CONDITIONS PRIOR TO SUBMITTING BRANCH REGISTRATION REQUESTS.
Initiated By:	FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECTION
Date Initiated:	11/02/1994
Docket/Case Number:	2001-S-2/94
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	FLORIDA ENTERED AN ORDER AGAINST GNA SECURITIES INC. (PREDECESSOR FIRM TO CAPITAL BROKERAGE CORPORATION.)
Resolution:	Consent
Resolution Date:	11/02/1994
Sanctions Ordered:	
Other Sanctions Ordered:	FLORIDA REQUIRED THAT GNA SECURITIES COMPLY WITH A)INCLUDING SELLING-AWAY INFORMATION IN IT'S SUPERVISORY MANUALS; AND B)MAINTAINENCE OF A ONE TO TEN SUPERVISOR TO FLORIDA RESIDENT REPRESENTATIVE RATIO.
Sanction Details:	11/24/1994, GNA SECURITIES INC. NOTIFIED THE FLORIDA DIVISION OF SECURITIES THAT IT WAS IN COMPLIANCE WITH THE CONDITION SET BY THEM.

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Arbitration Award - Award / Judgment

Brokerage firms are not required to report arbitration claims filed against them by customers; however, BrokerCheck provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and registered securities firms in this section of the report.
The full text of arbitration awards issued by FINRA is available at www.finra.org/awardsonline.

Disclosure 1 of 1

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-OMISSION OF FACTS; ACCOUNT ACTIVITY-SUITABILITY; ACCOUNT RELATED-NEGLIGENCE
Arbitration Forum:	NASD
Case Initiated:	04/09/1996
Case Number:	96-01015
Disputed Product Type:	NO OTHER TYPE OF SEC INVOLVE; GOVERNMENT SECURITIES
Sum of All Relief Requested:	$18,554.89
Disposition:	AWARD AGAINST PARTY
Disposition Date:	06/10/1997
Sum of All Relief Awarded:	$7,816.96

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

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End of Report

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