

BrokerCheck Report

M. E. ALLISON & CO., INC.

CRD# 1047

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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.

• **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.



M. E. ALLISON & CO., INC.

CRD# 1047

SEC# 8-1402

Main Office Location

950 EAST BASSE ROAD
SECOND FLOOR
SAN ANTONIO, TX 78209-1831
Regulated by FINRA Dallas Office

Mailing Address

950 EAST BASSE ROAD
SECOND FLOOR
SAN ANTONIO, TX 78209-1831

Business Telephone Number

210-930-4000

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:
<https://www.adviserinfo.sec.gov>

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 Texas on 03/09/1946.
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
- 16 U.S. states and territories

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

This firm conducts 16 types of businesses.
This firm is not affiliated with any financial or investment institutions.
This firm has 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



Firm Profile

This firm is classified as a corporation.

This firm was formed in Texas on 03/09/1946.

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.

M. E. ALLISON & CO., INC.

Doing business as M. E. ALLISON & CO., INC.

CRD# 1047

SEC# 8-1402

Main Office Location

950 EAST BASSE ROAD
SECOND FLOOR
SAN ANTONIO, TX 78209-1831

Regulated by FINRA Dallas Office

Mailing Address

950 EAST BASSE ROAD
SECOND FLOOR
SAN ANTONIO, TX 78209-1831

Business Telephone Number

210-930-4000



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): ALLISON, CHARLES BENNETT

4615330

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 03/2007

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): ALLISON, CHRISTOPHER RUMSEY

2278380

Is this a domestic or foreign entity or an individual? Individual

Position CEO/CCO

Position Start Date 01/2022

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): MURPHY, LINDE ALLEN

4049529

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT/CCO

Firm Profile



Direct Owners and Executive Officers (continued)

Position Start Date	01/2022
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm Profile

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

Indirect Owners

No information reported.



Firm History

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

No information reported.





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 16 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/10/1947

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	04/28/1947



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	10/31/2014
California	Approved	10/17/2012
Colorado	Approved	12/11/1998
Florida	Approved	02/07/2013
Georgia	Approved	02/07/2022
Hawaii	Approved	03/28/2016
Illinois	Approved	10/14/2015
Kansas	Approved	02/22/2021
Kentucky	Approved	10/05/2015
Louisiana	Approved	01/20/2015
Nebraska	Approved	11/01/2012
New Mexico	Approved	05/13/1993
New York	Approved	06/08/2010
Ohio	Approved	10/05/2015
Texas	Approved	07/22/1983
Virginia	Approved	07/10/2023



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 16 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Broker or dealer selling interests in mortgages or other receivables
Other - 10T FINANCIAL ADVISORY SERVICES - ISSUING MUNICIPAL BONDS, CERTIFICATES OF OBLIGATION, ETC., FOR TEXAS MUNICIPALITIES

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:

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 refer or introduce customers to other brokers and dealers.

Name:	NATIONAL FINANCIAL SERVICES LLC
CRD #:	13041
Business Address:	200 SEAPORT BLVD BOSTON, MA 02210
Effective Date:	12/03/2012
Description:	WE INTRODUCE OUR ACCOUNTS ON A FULLY DISCLOSED BASIS TO NATIONAL FINANCIAL SERVICES.

Firm Operations

Industry Arrangements



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

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
BOSTON, MA 02210
Effective Date: 12/03/2012
Description: WE INTRODUCE OUR ACCOUNTS ON A FULLY DISCLOSED BASIS TO NATIONAL FINANCIAL SERVICES.

This firm does have accounts, funds, or securities maintained by a third party.

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
BOSTON, MA 02210
Effective Date: 12/03/2012
Description: WE INTRODUCE OUR ACCOUNTS ON A FULLY DISCLOSED BASIS TO NATIONAL FINANCIAL SERVICES.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
SAN ANTONIO, MA 02210
Effective Date: 12/03/2012
Description: WE INTRODUCE OUR ACCOUNTS ON A FULLY DISCLOSED BASIS TO NATIONAL FINANCIAL SERVICES.

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.



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



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



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

**Allegations:****Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**Date Initiated:** 01/02/1992**Docket/Case Number:** C06910047**Principal Product Type:****Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Decision**Resolution Date:** 10/09/1992**Sanctions Ordered:** Censure
Monetary/Fine \$7,500.00**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

COMPLAINT NO. C06910047 FILED JANUARY 2, 1992 BY DISTRICT NO. 6 AGAINST RESPONDENT M. E. ALLISON & CO., INC. AND M. E. ALLISON, JR. ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT ALLISON, USED INSTRUMENTALITIES OF INTERSTATE COMMERCE TO ENGAGE IN THE SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL.

DECISION RENDERED OCTOBER 9, 1992, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS MEMBER AND ALLISON WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$7,500, JOINTLY AND SEVERALLY.

\$7,500.00 J&S PAID ON 10/30/92 INVOICE #92-06-934

Reporting Source: Firm**Current Status:** Final**Allegations:** ACCEPTANCE, WAIVER AND CONSENT; CENSURED & FINED \$7,500 BY THE NASD, WITHOUT ADMITTING OR DENYING THE EXISTENCE OF ANY VIOLATIONS, THE FIRM CONSENTED THAT AS A RESULT OF INCLUSION OF



SECURITIES WHICH HAD PREVIOUSLY, FOR 30 YEARS, ACCEPTED AS GOOD CAPITAL BUT ARE NOW BEING DISALLOWED DUE TO LIMITED MARKETABILITY; ADDITIONALLY THE FIRM RELIED ON THE ADVISE OF ITS AUDITORS THAT RECEIVABLES FROM THE US GOVERNMENT WERE AN ALLOWABLE ASSET, ALTHOUGH SUCH RECEIVABLE WERE SUBSEQUENTLY DETERMINED TO BE NON-ALLOWED ASSETS, AN ERROR OCCURED IN COMPUTING THE FIRMS NET CAPITAL

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Date Initiated: 01/02/1992

Docket/Case Number: NASD COMPLAINT NO. C06910047

Principal Product Type: Debt - Municipal

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought: AND FINE

Resolution: Other

Resolution Date: 10/09/1992

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details: CENSURED AND FINED \$7,500 J&S

Firm Statement FINAL

Disclosure 2 of 3

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 03/24/1988

Docket/Case Number: TEX-564-AWC

Principal Product Type:

**Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Consent**Resolution Date:** 03/24/1988**Sanctions Ordered:** Censure
Monetary/Fine \$8,000.00**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**
ON MARCH 24, 1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. TEX-564-AWC (DISTRICT NO. 6) SUBMITTED BY RESPONDENTS M. E. ALLISON & CO., INC. AND M. E. ALLISON, JR. WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$8,000.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTIONS 1 AND 21 OF THE RULES OF FAIR PRACTICE - ENGAGED IN SECURITIES TRANSACTIONS WHILE FAILING TO MAINTAIN REQUIRED MINIMUM NET CAPITAL; FOCUS REPORTS - PART I FOR DECEMBER 1986 AND JANUARY 1987 WERE NOT ACCURATELY FILED; AND, THE ANNUAL REPORT AS OF DECEMBER 31, 1986 WAS NOT ACCURATELY FILED). ***** \$8,000 PAID J&S 4-4-88.**Reporting Source:** Firm**Current Status:** Final**Allegations:** ACCEPTANCE, WAIVER AND CONSENT:CENSURED AND FINED \$8,000 BY THE NASD FOR VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 21 OF THE RULES OF FAIR PRACTICE. WITHOUT ADMITTING OR DENYING THE EXISTANCE OF ANY VIOLATIONS, THE FIRM CONSENTED TO THE FOLLOWING FINDINGS: DUE TO AN ERROR IN COMPUTING THE FIRM'S NET CAPITAL, THE FIRM ENGAGED IN SECURITIES TRANSACTIONS WHILE FAILING TO MAINTAIN REQUIRED MINIMUM NET CAPITAL, FILED INACCURATE FOCUS PART I REPORTS, AND FILED AN INACCURATE ANNUAL REPORT.**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS**Date Initiated:** 03/02/1987**Docket/Case Number:** NASD COMPLAINT #TEX-564-AWC



Principal Product Type:	Debt - Municipal
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	AND FINE
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/24/1988
Sanctions Ordered:	Censure Monetary/Fine \$8,000.00
Other Sanctions Ordered:	
Sanction Details:	CENSURED & FINED \$8,000 J&S
Firm Statement	FINAL

Disclosure 3 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	NASD RULES OF FAIR PRACTICE, ARTICLE III, SECTIONS 1, 18, 27 - INDIVIDUALS, ACTING THROUGH THE FIRM, PURCHASED SECURITIES FOR THEIR ACCOUNTS AND THEREAFTER VIOLATED SECTIONS 4(C)2 AND 4(C)8 IN CONNECTION WITH SAID TRANSACTIONS; AND FICTITIOUSLY POSTED ENTRIES TO CUSTOMERS' LEDGERS INDICATING THAT PAYMENT FOR THE PURCHASES WAS RECEIVED WITHIN THE SEVEN BUSINESS DAY TIME PERIOD SPECIFIED UNDER 4(C)2 OF REGULATION T OF THE FEDERAL RESERVE BOARD WHEN IN FACT THE DEBIT BALANCES WERE NOT TIMELY PAID AND WERE TRANSFERRED TO RECEIVABLE ACCOUNTS.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	09/06/1973
Docket/Case Number:	TEX-228
Principal Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Principal Sanction(s)/Relief Sought:	


Other Sanction(s)/Relief Sought:

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 02/25/1974

Sanctions Ordered: Censure

Other Sanctions Ordered: COSTS-\$700

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, M.E. ALLISON & CO., INC. CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM IS CENSURED AND ASSESSED COSTS OF \$700.

Reporting Source: Firm

Current Status: Final

Allegations: NASD RULES OF FAIR PRACTICE, ARTICLE III, SECTIONS 1, 18, 27 - INDIVIDUALS, ACTING THROUGH THE FIRM, PURCHASED SECURITIES FOR THEIR ACCOUNTS AND THEREAFTER VIOLATED SECTIONS 4(C)2 AND 4(C)8 IN CONNECTION WITH SAID TRANSACTIONS; AND FICTITIOUSLY POSTED ENTRIES TO CUSTOMERS' LEDGERS INDICATING THAT PAYMENT FOR THE PURCHASES WAS RECEIVED WITHIN THE SEVEN BUSINESS DAY TIME PERIOD SPECIFIED UNDER 4(C)2 OF REGULATION T OF THE FEDERAL RESERVE BOARD WHEN IN FACT THE DEBIT BALANCES WERE NOT TIMELY PAID AND WERE TRANSFERRED TO RECEIVABLE ACCOUNTS.

Initiated By: NASD

Date Initiated: 09/06/1973

Docket/Case Number: TEX-228

Principal Product Type: Other

Other Product Type(s): UNKNOWN TYPE OF SECURITY

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought:

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 02/25/1974

Sanctions Ordered: Censure



Monetary/Fine \$1,000.00

Other Sanctions Ordered:

COST-\$700

Sanction Details:

CENSURED AND ASSESSED COST OF \$700. SEAL WAS CENSURED AND FINED \$1,000.

End of Report



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