

BrokerCheck Report
DOFT & CO., INC.
 CRD# 1660

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 7
Firm History	8
Firm Operations	9 - 14
Disclosure Events	15



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:
 - o 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
 - o 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.



DOFT & CO., INC.
CRD# 1660
SEC# 8-10048

Main Office Location
55 EAST 59TH STREET
12TH FLOOR
NEW YORK, NY 10022
Regulated by FINRA New York Office

Mailing Address
55 EAST 59TH STREET
12TH FLOOR
NEW YORK, NY 10022

Business Telephone Number
212-421-5550

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 New York on 08/03/1961.
Its fiscal year ends in June.

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
- 3 U.S. states and territories

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

This firm conducts 3 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	4



Firm Profile

This firm is classified as a corporation.

This firm was formed in New York on 08/03/1961.

Its fiscal year ends in June.

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.

DOFT & CO., INC.

Doing business as DOFT & CO., INC.

CRD# 1660

SEC# 8-10048

Main Office Location

55 EAST 59TH STREET
12TH FLOOR
NEW YORK, NY 10022

Regulated by FINRA New York Office

Mailing Address

55 EAST 59TH STREET
12TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-421-5550



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): DOFT, ALAN

69360

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

Position DIRECTOR

Position Start Date 06/2022

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): DOFT, JONATHAN ANDREW

2320497

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

Position SECRETARY/DIRECTOR

Position Start Date 04/1998

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): DOFT, JONATHAN ANDREW

2320497

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

Position CHIEF COMPLIANCE OFFICER (CCO)



Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date	06/2016
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):	DOFT, JONATHAN ANDREW 2320497
Is this a domestic or foreign entity or an individual?	Individual
Position	OPERATIONS PRINCIPAL
Position Start Date	10/2021
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):	DOFT, JONATHAN ANDREW 2320497
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	06/2022
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

Firm Profile



Direct Owners and Executive Officers (continued)

Legal Name & CRD# (if any): DOFT, RACHEL ALISON
2320922

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

Position DIRECTOR

Position Start Date 06/2015

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): HAMAOU, ROBERT C
1333905

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

Position VICE PRESIDENT

Position Start Date 04/1998

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): HAMAOU, ROBERT C
1333905

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

Position FINANCIAL PRINCIPAL

Position Start Date 10/2021

Percentage of Ownership Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	No
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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

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 3 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	11/01/1961

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	11/16/1961

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Connecticut	Approved	06/13/1977
Florida	Approved	06/28/2022
New York	Approved	08/24/1981



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 3 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Underwriter or selling group participant (corporate securities other than mutual funds)

Other - 10T BROKER/DEALER ENGAGED IN PROPRIETARY INVESTMENT ACCOUNT ACTIVITIES.
BROKER/DEALER ENGAGED IN EXCHANGE COMMISSION BUSINESS THROUGH DIRECT MARKET ACCESS.

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:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	09/25/2002
Description:	PERSHING LLC -CLEARING BROKER

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

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.



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	4	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:**
 - o 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:**
 - o 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:**
 - o 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.
 - o 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 4

Reporting Source: Regulator

Current Status: Final

**Allegations:**

****11/07/2002**** STIPULATION AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING CONSENTED TO FINDINGS: WITHOUT ADMITTING OR DENYING GUILT, DOFT & CO., INC. CONSENTS TO:

A. FINDINGS BY THE HEARING PANEL THAT IT:

1. ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT, ON ONE OR MORE OCCASIONS: (A) THE FIRM INITIATED, EFFECTED, EXECUTED AND/OR CAUSED TO BE EXECUTED TRADES ON THE FLOOR OF THE EXCHANGE IN ONE OR MORE ACCOUNTS AT THE FIRM IN WHICH THE EXECUTING FLOOR BROKERS AND THE FIRM'S TRADER HAD AN IMPROPER INTEREST, AND/OR (B) THE FIRM INITIATED, EFFECTED, EXECUTED AND/OR CAUSED TO BE EXECUTED TRADES ON THE FLOOR OF THE EXCHANGE IN ONE OR MORE ACCOUNTS IN WHICH ONE OR MORE ASSOCIATED PERSONS OF THE FIRM EXERCISED DISCRETION. 2. ENGAGED IN ACTS DETRIMENTAL TO THE INTEREST OR WELFARE OF THE EXCHANGE IN THAT, ON ONE OR MORE OCCASIONS: (A) THE FIRM INITIATED, EFFECTED, EXECUTED AND/OR CAUSED TO BE EXECUTED TRADES ON THE FLOOR OF THE EXCHANGE IN ONE OR MORE ACCOUNTS AT THE FIRM IN WHICH THE EXECUTING FLOOR BROKERS AND THE FIRM'S TRADER HAD AN IMPROPER INTEREST, AND/OR (B) THE FIRM INITIATED, EFFECTED, EXECUTED AND/OR CAUSED TO BE EXECUTED TRADES ON THE FLOOR OF THE EXCHANGE IN ONE OR MORE ACCOUNTS IN WHICH ONE OR MORE ASSOCIATED PERSONS OF THE FIRM EXERCISED DISCRETION. 3. VIOLATED EXCHANGE RULE 401 IN THAT THE FIRM FAILED TO ADHERE TO THE PRINCIPLES OF GOOD BUSINESS PRACTICE IN THE CONDUCT OF ITS AFFAIRS IN THAT, ON ONE OR MORE OCCASIONS: (A) THE FIRM INITIATED, EFFECTED, EXECUTED AND/OR CAUSED TO BE EXECUTED TRADES ON THE FLOOR OF THE EXCHANGE IN ONE OR MORE ACCOUNTS AT THE FIRM IN WHICH THE EXECUTING FLOOR BROKERS AND THE FIRM'S TRADER HAD AN IMPROPER INTEREST, AND/OR (B) THE FIRM INITIATED, EFFECTED, EXECUTED AND/OR CAUSED TO BE EXECUTED TRADES ON THE FLOOR OF THE EXCHANGE IN ONE OR MORE ACCOUNTS IN WHICH ONE OR MORE ASSOCIATED PERSONS OF THE FIRM EXERCISED DISCRETION.

****CONTINUED IN #13****

Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Date Initiated: 11/07/2002

Docket/Case Number: HPD# 02-241

Principal Product Type: Other

Other Product Type(s):

Principal Sanction(s)/Relief Sought:



Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 01/22/2003

Sanctions Ordered: Censure
Monetary/Fine \$100,000.00

Other Sanctions Ordered:

Sanction Details: **12/23/2002** DECISION 02-241 ISSUED BY NYSE HEARING PANEL. DECISION: INITIATED, EFFECTED, EXECUTED OR CAUSED TO BE EXECUTED TRADES ON THE FLOOR IN FIRM ACCOUNTS IN WHICH THE FLOOR BROKER AND THE FIRM'S TRADER HAD AN IMPROPER INTEREST AND IN WHICH ONE OR MORE ASSOCIATED PERSONS OF THE FIRM EXERCISED DISCRETION; VIOLATED RULE 401 BY FAILING TO ADHERE TO GOOD BUSINESS PRACTICES; VIOLATED SEC REG. 240.17A-3 AND A-4 AND EXCHANGE RULE 440 BY MAINTAINING INACCURATE BOOKS AND RECORDS; AND VIOLATED RULE 342 BY FAILING TO REASONABLY SUPERVISE CERTAIN OF ITS BUSINESS ACTIVITIES -- CONSENT TO CENSURE, \$100,000 FINE AND AN UNDERTAKING.

Regulator Statement

4. VIOLATED SEC REG. 240.17A-3 AND 17A-4 AND EXCHANGE RULE 440 BY MAINTAINING INACCURATE BOOKS AND RECORDS.

5. VIOLATED EXCHANGE RULE 342 IN THAT IT FAILED TO REASONABLY SUPERVISE OR CONTROL CERTAIN OF ITS BUSINESS ACTIVITIES AND TO PROVIDE FOR APPROPRIATE PROCEDURES OF SUPERVISION AND CONTROL, AND TO ESTABLISH A SEPARATE SYSTEM OF FOLLOW-UP AND REVIEW WITH REGARD TO: (A) BOOKS AND RECORDS, (B) ENTRY OF ORDERS TO THE FLOOR OF THE EXCHANGE, (C) PAYMENTS TO FLOOR BROKERS AND FIRM EMPLOYEES FOR THEIR ORDER EXECUTIONS, AND (D) USE OF DISCRETION IN CUSTOMER ACCOUNTS. B. THE IMPOSITION BY THE EXCHANGE OF: 1. A CENSURE; 2. A \$100,000 FINE; AND 3. AN UNDERTAKING SUCH THAT WITHIN 45 DAYS OF THE DATE THAT THE HEARING PANEL DECISION IN THIS MATTER BECOMES FINAL, THE FIRM SHALL HAVE AN INDEPENDENT CONSULTANT, NOT UNSATISFACTORY TO THE EXCHANGE, WHO SHALL SUBMIT A DETAILED STATEMENT, TO THE EFFECT THAT THE FIRM'S WRITTEN PROCEDURES AND SYSTEMS ARE REASONABLY DESIGNED TO ENSURE COMPLIANCE WITH THE APPLICABLE RULES OF THE EXCHANGE TO PREVENT RECURRENCE OF THE VIOLATIONS SET FORTH IN THE STIPULATION AND CONSENT. **01/22/2003** THE DECISION IS NOW FINAL AND IS EFFECTIVE IMMEDIATELY. CONTACT: PEGGY GERMINO (212) 656-8450.



Reporting Source: Firm

Current Status: Final

Allegations: THE FIRM 1)ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE 2)ENGAGED IN ACTS DETRIMENTAL TO THE INTEREST OF THE EXCHANGE 3)VIOLATED EXCHANGE RULE 401 IN THAT THE FIRM FAILED TO ADHERE TO THE PRINCIPLES OF GOOD BUSINESS PRACTICE 4)MAINTAINED INACCURATE BOOKS/RECORDS AND 5)FAILED TO REASONABLY SUPERVISE CERTAIN BUSINESS ACTIVITIES

Initiated By: NYSE

Date Initiated: 11/07/2002

Docket/Case Number: D-NYSE-03-82

Principal Product Type: Other

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: CENSURE,\$100,000.00 FINE AND AN UNDERTAKING.

Resolution: Decision

Resolution Date: 01/22/2003

Sanctions Ordered: Censure
Monetary/Fine \$100,000.00

Other Sanctions Ordered: AN UNDERTAKING SUCH THAT WITHIN 45 DAYS OF THE FINAL DECISION,THE FIRM SHALL HAVE AN INDEPENDENT CONSULTANT SUBMIT A STATEMENT, TO THE EFFECT THAT THE FIRM'S WRITTEN SUPERVISORY PROCEDURES ARE DESIGNED TO ENSURE COMPLIANCE WITH APPLICABLE RULES OF THE EXCHANGE TO PREVENT RECURRENCE OF THESE VIOLATIONS.

Sanction Details: \$100000.00 FINE

Disclosure 2 of 4

Reporting Source: Regulator

Current Status: Final

Allegations: **8/21/2001**STIPULATION AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING.CONSENTED TO:FINDINGS THAT DOFT & CO., INC. VIOLATED:1.EXCHANGE RULE 342 BY FAILING TO



MAINTAIN APPROPRIATE PROCEDURES FOR SUPERVISION AND CONTROL OF ITS FLOOR BROKER'S ACTIVITIES AND A SYSTEM OF FOLLOW-UP AND REVIEW, TO ASSURE COMPLIANCE WITH APPLICABLE EXCHANGE RULES.2.EXCHANGE RULE 123 ON ONE OR MORE OCCASIONS BY FAILING TO MAINTAIN REQUIRED RECORDS OF ORDERS EITHER EXECUTED BY THE FIRM'S FLOOR BROKER OR EXECUTED BY OTHER FLOOR BROKERS AFTER HAVING BEEN TRANSFERRED FROM THE FIRM'S FLOOR BROKER.3.EXCHANGE RULE 410 ON ONE OR MORE OCCASIONS BY FAILING TO MAINTAIN FOR AT LEAST THREE YEARS A RECORD OF THE TIME AND TERMS OF ORDERS RECEIVED FOR EXECUTION ON THE FLOOR.4.SEC RULE 240.17A-3 AND 17A-4 AND EXCHANGE RULE 440 ON ONE OR MORE OCCASIONS BY FAILING TO MAINTAIN REQUIRED BOOKS AND RECORDS OF TRANSACTIONS EXECUTED ON THE FLOOR.THE IMPOSITION BY THE EXCHANGE OF THE PENALTY OF A CENSURE AND A \$10,000 FINE.

Initiated By: NYSE DIVISION OF ENFORCEMENT

Date Initiated: 08/21/2001

Docket/Case Number: HPD# 01-202

Principal Product Type: Other

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 12/20/2001

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00

Other Sanctions Ordered:

Sanction Details: **11/07/2001** DECISION HPD 01-202 ISSUED BY NYSE HEARING PANEL RESPONDENT, DOFT & CO. INC., CONSENTED TO A FINDING THAT IT VIOLATED EXCHANGE RULE 342 BY FAILING TO MAINTAIN APPROPRIATE PROCEDURES FOR SUPERVISION AND CONTROL, EXCHANGE RULE 123 BY FAILING TO MAINTAIN REQUIRED RECORDS, EXCHANGE RULE 410 BY FAILING TO MAINTAIN FOR THREE YEARS RECORDS OF EXECUTIONS ON THE FLOOR AND SEC RULES 240.17A-3 AND 17A-4 AND EXCHANGE RULE 440 BY FAILING TO MAINTAIN REQUIRED BOOKS AND RECORDS. THE PENALTY OF A CENSURE AND A \$10,000 FINE.

**Regulator Statement**

****12/20/2001**** THE DECISION IS NOW FINAL AND EFFECTIVE IMMEDIATELY.
CONTACT: PEGGY GERMINO 212-656-8450.

Reporting Source:

Firm

Current Status:

Final

Allegations:

8/21/2001* STIPULATION AND CONSENT TO PENALTY FILED BY NYSE
DIVISION OF ENFORCEMENT AND PENDING. CONSENTED TO: FINDINGS
THAT DOFT & CO., INC. VIOLATED EXCHANGE RULES 342,123,410
SEC RULE 240.17A-3 AND 17A-4 AND EXCHANGE RULE 440.
THE IMPOSITION BY THE EXCHANGE OF THE PENALTY OF A CENSURE
AND A \$ 10,000 FINE.

Initiated By:

NYSE

Date Initiated:

08/21/2001

Docket/Case Number:

HPD#01-202

Principal Product Type:

Other

Other Product Type(s):**Principal Sanction(s)/Relief Sought:**

Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

CENSURE

Resolution:

Decision

Resolution Date:

12/20/2001

Sanctions Ordered:

Censure
Monetary/Fine \$10,000.00

Other Sanctions Ordered:**Sanction Details:**

11/07/2001** DECISION HPD 01-202 ISSUED BY NYSE HEARING
PANEL RESPONDENT, DOFT&CO.,INC.,CONSENTED TO A FINDING
THAT IT VIOLATED EXCHANGE RULE 342 BY FAILING TO MAINTAIN
APPROPRIATE PROCEDURES FOR SUPERVISION AND CONTROL,
EXCHANGE RULE 123 BY FAILING TO MAINTAIN REQUIRED RECORDS,
EXCHANGE RULE 410 BY FAILING TO MAINTAIN FOR THREE YEARS
RECORDS OF EXECUTIONS ON THE FLOOR AND SEC RULES 240.17A-3
AND 17A-4 AND EXCHANGE RULE 440 BY FAILING TO MAINTAIN REQUIRED
BOOKS AND RECORDS. THE PENALTY OF A CENSURE AND A \$ 10,000 FINE.

**Disclosure 3 of 4**

Reporting Source:	Regulator
Current Status:	Final
Allegations:	
Initiated By:	NEW YORK STOCK EXCHANGE
Date Initiated:	03/22/1988
Docket/Case Number:	Unknown
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	03/22/1988
Sanctions Ordered:	Monetary/Fine \$2,500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	2/13/89>SEC LITIGATION, ACTIONS AND PROCEEDINGS BULLETIN FOR THE QUARTER ENDING 06/30/88 (VOL. 54, BULL 02, PAGE 263) DISCLOSES: DOFT & CO. INC. FAILED TO SUBMIT AUDIT TRAIL DATA TO QUALIFIED CLEARING AGENCY REGARDING STOCK TRANSACTIONS FROM NOVEMBER 16 THROUGH NOVEMBER 20, 1987. THE FIRM WAS FINED \$2,500.00 BY THE NEW YORK STOCK EXCHANGE ON MARCH 22, 1988.

Reporting Source:	Firm
Current Status:	Final
Allegations:	VIOLATION OF EXCHANGE RULE 132 REQUIRING ACCURATE AUDIT TRAIL DATA SUBMISSION
Initiated By:	NEW YORK STOCK EXCHANGE
Date Initiated:	06/03/1987

**Docket/Case Number:****Principal Product Type:** Equity Listed (Common & Preferred Stock)**Other Product Type(s):****Principal Sanction(s)/Relief Sought:** Other**Other Sanction(s)/Relief Sought:** FIRST SUMMARY FINE ISSUED - \$1,000.00**Resolution:** Settled**Resolution Date:** 06/03/1987**Sanctions Ordered:** Monetary/Fine \$2,500.00**Other Sanctions Ordered:****Sanction Details:** FINE OF \$1,000.00 WAS PAID - 06/03/1987**Disclosure 4 of 4****Reporting Source:** Regulator**Current Status:** Final**Allegations:****Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**Date Initiated:** 06/30/1964**Docket/Case Number:** NY-926**Principal Product Type:****Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Decision**Resolution Date:** 07/08/1965**Sanctions Ordered:** Censure
Monetary/Fine \$500.00**Other Sanctions Ordered:**

**Sanction Details:****Regulator Statement**

COMPLAINT NY-926 FILED
06/30/64. DECISION 12/31/64
CENSURED AND FINED \$500.
TO BE FINAL 01/30/65. APPEALED
TO BOARD OF GOVERNORS 01/06/65.
ON 06/02/65 BOARD AFFIRMED
FINDINGS. TO BE FINAL 07/08/65.
FINE PAID 06/18/65

Reporting Source:

Firm

Current Status:

Final

Allegations:

VIOLATION OF THE ASSOCIATION'S INTERPRETATION WITH RESPECT
TO " FREE RIDING AND WITHHOLDING".

Initiated By:

NATIONAL ASSOCIATION OF SECURITIES DEALERS

Date Initiated:

06/02/1965

Docket/Case Number:**Principal Product Type:**

Equity - OTC

Other Product Type(s):**Principal Sanction(s)/Relief
Sought:**

Other

**Other Sanction(s)/Relief
Sought:**

CENSURE & FINE -\$500.00

Resolution:

Settled

Resolution Date:

06/02/1965

Sanctions Ordered:

Censure
Monetary/Fine \$500.00

Other Sanctions Ordered:**Sanction Details:**

FINE OF \$500.00 WAS PAID -06/02/1965

End of Report



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