



**BrokerCheck Report**

**MOSELEY SECURITIES CORPORATION**

CRD# 7908

Report # 560697 generated on Thursday, June 28, 2007.

## Dear Investor:

FINRA has generated the following BrokerCheck report for **MOSELEY SECURITIES CORPORATION**. The information contained within this report has been provided by a FINRA brokerage firm(s) and securities regulators as part of the securities industry's registration and licensing process and represents the most current information reported to the Central Registration Depository (CRD®).

FINRA regulates the securities markets for the ultimate benefit and protection of the investor. FINRA believes the general public should have access to information that will help them determine whether to conduct, or continue to conduct, business with a FINRA member. To that end, FINRA has adopted a public disclosure policy to make certain types of information available to you. Examples of information FINRA provides include: regulatory actions, investment-related civil suits, customer disputes that contain allegations of sales practice violations against brokers, all felony charges and convictions, misdemeanor charges and convictions relating to securities violations, and financial events such as bankruptcies, compromises with creditors, judgments, and liens.

When evaluating this report, please keep in mind that it may include items that involve pending actions or allegations that may be contested and have not been resolved or proven. Such items may, in the end, be withdrawn or dismissed, or resolved in favor of the individual broker, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

The information in this report is not the only resource you should consult. FINRA recommends that you learn as much as possible about the individual broker or firm from other sources, such as professional references, local consumer and investment groups, or friends and family members who already have established investment business relationships.

FINRA BrokerCheck is governed by federal law, Securities and Exchange Commission (SEC) regulations and FINRA rules approved by the SEC. State disclosure programs are governed by state law, and may provide additional information on brokers licensed by the state. Therefore, you should also consider requesting information from your state securities regulator. Refer to [www.nasaa.org](http://www.nasaa.org) for a complete list of state securities regulators.

**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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

## **MOSELEY SECURITIES CORPORATION**

CRD# 7908

SEC# 8-20401

### **Main Office Location**

### **Mailing Address**

## **Report Summary for this Firm**

This firm is no longer registered with FINRA. The firm's registration with FINRA was terminated (e.g., voluntarily withdrawn, cancelled, liquidated, expelled) prior to August 1999 when the enhanced Central Registration Depository System (i.e. Web CRD®) was implemented. As a result, since the firm was not required to update its CRD record via the submission of an electronic Form BD filing to Web CRD, FINRA's BrokerCheck program contains only limited information about this firm.

### **Firm Profile**

---

This firm is classified as CORPORATION.

This firm was formed in Delaware on 9/25/1975.

Its fiscal year ends in Unknown.

### **Firm Operations**

---

This firm is no longer registered with FINRA.

### **Disclosure of Arbitration Awards, Disciplinary and Regulatory Events**

This section includes details regarding disclosure events reported by or about this firm to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events range from disciplinary actions initiated by regulators to certain criminal charges and/or convictions, to financial disclosures such as bankruptcies, and summary information regarding arbitration awards involving securities and commodities disputes between public customers and FINRA-registered firms.



## **Firm Profile**

This firm is classified as a CORPORATION.

This firm was formed in Delaware on 9/25/1975.

Its fiscal year ends in Unknown.

## **Firm Names and Locations**

This section includes details, as reported by the firm on Form BD, regarding the firm's full legal name, business and mailing addresses, the firm's "doing business as" name (i.e. "DBA" name) if different from the full legal name, and any other name by which the firm conducts business and where such name is used.

### **MOSELEY SECURITIES CORPORATION**

**Doing business as MOSELEY SECURITIES CORPORATION**

**CRD#** 7908

**SEC#** 8-20401

### **Main Office Location**

### **Mailing Address**

### **Business Telephone Number**

212-558-0308



## **Firm Profile**

This section provides information relating to Direct Owners and Executive Officers as reported by the firm on Form BD.

### **Direct Owners and Executive Officers**

**Information not available – see Summary Page.**



## **Firm Profile**

This section provides information relating to Indirect Owners, if any, as reported by the firm on Form BD.

## **Indirect Owners**

**Information not available – see Summary Page.**



## **Firm History**

This section provides information relating to successions (e.g. mergers or acquisitions), if any, as reported by the firm on Form BD.

**Information not available – see Summary Page.**



## Firm Operations

### Registrations

This section provides information about the regulators (e.g. U.S. Securities and Exchange Commission (SEC), self-regulatory organizations, states and U.S. territories) the firm is currently registered with, the category of each registration, and the date on which the registration status became effective, as well as certain information about the firm's SEC registration.

**This firm is no longer registered with FINRA.**

**The firm's registration with FINRA was from 10/16/1936 to 5/11/1988.**

### SEC Registration Questions

This firm was registered with the SEC as:

A broker-dealer only: **Information not available – see Summary Page.**

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

A government securities broker or dealer only: No

The firm has ceased activity as a government securities broker or dealer: Yes





## Types of Business

This section provides the types of business and any other business or other non-securities business the firm is engaged in or is expected to be engaged in as reported by the firm on Form BD.

**This firm conducted 14 types of business.**

Exchange member engaged in exchange commission business other than floor activities	Yes
Exchange member engaged in floor activities	Yes
Broker or dealer making inter-dealer markets in corporate securities over-the-counter	Yes
Broker or dealer retailing corporate equity securities over-the-counter	Yes
Broker or dealer selling corporate debt securities	No
Underwriter or selling group participant (corporate securities other than mutual funds)	Yes
Mutual fund underwriter or sponsor	Yes
Mutual fund retailer	Yes
U.S. government securities dealer	Yes
U.S. government securities broker	Yes
Municipal securities dealer	Yes
Municipal securities broker	Yes
Broker or dealer selling variable life insurance or annuities	Yes
Solicitor of time deposits in a financial institution	No
Real estate syndicator	No
Broker or dealer selling oil and gas interests	No
Put and call broker or dealer or option writer	Yes
Broker or dealer selling securities of only one issuer or associate issuers (other than mutual funds)	No
Broker or dealer selling securities of non-profit organizations (e.g., churches, hospitals)	No
Investment advisory services	No
Broker or dealer selling tax shelters or limited partnerships in primary distributions	Yes
Broker or dealer selling tax shelters or limited partnerships in the secondary market	No
Non-exchange member arranging for transactions in listed securities by exchange member	No
Trading securities for own account	No
Private placements of securities	No
Broker or dealer selling interests in mortgages or other receivables	No
Broker or dealer involved in a networking kiosk or similar arrangement with a bank, savings bank or association, or credit union	No
Broker or dealer involved in a networking kiosk or similar arrangement with a Insurance company or agency	No



### **Other Types of Business**

This firm does not affect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.



## **Clearing Arrangements**

Information not available – see Summary Page

## **Introducing Arrangements**

Information not available – see Summary Page

## **Industry Arrangements**

Information not available – see Summary Page

## **Organization Affiliates**

Information not available – see Summary Page



## Disclosure of Arbitration Awards, Disciplinary and Regulatory Events

Firms are required to answer a series of disclosure questions on Form BD and provide the corresponding details to any reported events as part of the securities industry registration and licensing process. The disclosure questions concern criminal and regulatory events, civil actions, and certain financial disclosures such as bankruptcy or liquidation proceedings filed within the past ten years, bond actions and unpaid judgments and liens. The firm must answer either "yes" or "no" to each question as it applies to the firm itself or to any of its control affiliates (i.e., an individual, partnership, corporation, trust, or other organization that directly or indirectly controls, is under common control with, or is controlled by the firm). This section lists the various disclosure questions and their corresponding answers as reported by the firm on Form BD.



Possible multiple reporting sources – please note:

Disclosure event details may be reported by more than one source (i.e., regulator or firm). When this occurs, all versions of the reported event will appear in the firm's BrokerCheck report.



## Disclosure Event Details

This section provides the specific details for each disclosure event, as reported by the firm on Form BD, that correspond with any "yes" answers to the various Form BD disclosure questions. It also includes summary information regarding arbitration awards in cases where the firm was named as a respondent in the arbitration proceeding, if any.

Nothing will be displayed in this section of the firm's BrokerCheck Report when the firm has no reported disclosure information.

If the firm does have reported disclosure events, please keep the following in mind when evaluating the disclosure event details. Items may involve pending actions or allegations that may be contested and have not been resolved or proven. The items may, in the end, be withdrawn or dismissed, or resolved in favor of the firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD by the firm and/or by securities industry regulators. Some of the specific data fields contained in this section of the report may be blank if the information was not provided to CRD.

Disclosure event details may be reported by more than one source (i.e., regulator and firm). When this occurs, all versions of the reported event will appear in the firm's BrokerCheck report.



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 6/25/1974

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** COMP. AWC-164 FILED 06/25/74. DECISION 06/25/74, CENSURED, FINED \$4,000.00 JOINTLY AND SEVERALLY. COMPLAINT FINAL 06/25/74. FINES & COSTS PAID 07/19/74, \$4,000. FC# 5781



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** SECURITIES AND EXCHANGE COMMISSION

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** ORDER

**Resolution Date:** 7/19/1977

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** ND 77-138 07/19/77 REL 34-13770 AND 13769 PUBLIC ADMINISTRATIVE PROCEEDINGS ORDERED. FIRM CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, TO FINDINGS THAT IT VIOLATED THE BOOKS AND RECORDS PROVISIONS OF THE SECURITIES EXCHANGE ACT OF 1934 AND HAS BEEN ORDERED BY THE COMMISSION TO INSTITUTE CERTAIN



RECORDKEEPING PROCEDURES TO AVOID A REPETITION OF THIS TYPE OF SITUATION.





## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** FLORIDA

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 5/24/1979

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** FLORIDA CRIMINAL ACTION REPORT 05/24/79 PAGE 69 DEALER CENSURE  
LETTER.



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 3/14/1980

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** COMPLAINT NY-1974 FILED 12/29/78 DIST. #12 DECISION 03/14/80: CENSURED;  
FINED \$7,500 J&S 03/14/80: ALL RIGHTS WAIVED 03/14/80: FINAL FINES & COSTS  
04/16/80 FC 7599 PD J&S



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** PHILADELPHIA EXCHANGE BULLETIN

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 6/22/1982

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** PHILADELPHIA EXCHANGE BULLETIN JUNE 28, 1982 ISSUE 82-26 THE BUSINESS CONDUCT COMMITTEE (THE "COMMITTEE") ISSUED A DECISION AND ORDER, EFFECTIVE JUNE 22, 1982, WHICH FINED MOSELEY, HALLGARTEN, ESTABROOK & WEEDEN, INC. ("MOSELEY, HALLGARTEN"), MEMBER ORGANIZATION, IN THE AMOUNT OF \$500 FOR A VIOLATION OF EXCHANGE RULE 132(A). IN THE



COMPLAINT ACTION, MOSELEY, HALLGARTEN MADE AN OFFER OF SETTLEMENT BY WHICH, FOR THE SOLE PURPOSE OF SETTLING THIS PROCEEDING AND WITHOUT EITHER ADMITTING OR DENYING THE CHARGES, MOSELEY, HALLGARTEN CONSENTED TO THE FINDING THAT IT VIOLATED SAID RULE BY EXECUTING AN IN-HOUSE AGENCY CROSS OF 21,400 SHARES OF A SECURITY REGISTERED, LISTED AND EXCLUSIVELY TRADED ON THE EXCHANGE WITHOUT INQUIRY OR INTEACTION WITH THE AUCTION MARKET BOOK MAINTAINED IN THAT SECURITY ON THE EXCHANGE FLOOR.



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** NEW YORK STOCK EXCHANGE

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 2/22/1985

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** NEW YORK STOCK EXCHANGE WEEKLY BULLETIN, DISCIPLINARY ACTIONS, FEBRUARY 22, 1985 (REC'D 3/4/85 ): MOSELEY, HALLGARTEN, ESTABROOK & WEEDEN, INC., SUBMITTED A STIPULATION OF FACTS AND CONSENT TO PENALTY WHICH WAS ACCEPTED BY AN EXCHANGE HEARING PANEL. MOSELEY, WITHOUT ADMITTING OR DENYING GUILT, CONSENTED TO A



FINDING THAT IT VIOLATED: EXCHANGE RULE 38(a)(1) BY FAILING TO OBTAIN SPECIFIED INFORMATION REGARDING A DELIVERY VERSUS PAYMENT ACCOUNT IT SERVICED AND EXCHANGE RULE 342(a) BY FAILING TO ASSURE PROPER SUPERVISION OVER THE FIRM'S PROCESS OF ISSUANCE AND REDEPOSIT OF CHECKS TO AND FROM CUSTOMER ACCOUNTS. THE HEARING PANEL IMPOSED THE PENALTY CONSENTED TO BY THE FIRM OF A CENSURE AND A FINE OF \$7,500. (DECISION 84-99).



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 8/28/1972

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** NASDAQ COMPLAINT N-V-164, FILED 4-13-72 7-14-72: FINED \$25.00 8-4-72: FINE  
PAID 8-28-72: FINAL



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 5/6/1974

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** NASDAQ COMPLAINT N-VS-18, FILED 3-11-74 ACCEPTED: 3-22-74, PAID \$25.00  
FINE FINAL: 5-6-74





## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 6/27/1974

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** NASDAQ COMPLAINT N-VS-40 FILED 5-3-74 ACCEPTED: 5-13-74, PAID \$25.00 FINE  
FINAL: 6-27-74



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 6/5/1975

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** NASDAQ COMPLAINT N-V-396 FILED: 3-10-75 DECISION FINAL: 6-5-75



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 7/7/1975

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** NASDAQ COMPLAINT N-V-399 FILED 4-25-75 DECISION FILED 7-7-75



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)  
**Current Status:** FINAL  
**Allegations:**  
**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.  
**Date Initiated:**  
**Docket/Case Number:**  
**Principal Product Type:**  
**Other Product Type(s):**  
**Principal Sanction(s)/Relief Sought:**  
**Other Sanction(s)/Relief Sought:**  
**Resolution:** DECISION  
**Resolution Date:** 11/18/1976  
**Sanctions Ordered:**  
**Other Sanctions Ordered:**  
**Sanction Details:** NASDA COMPLAINT N-VS-236 FILED 11-18-76



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

<b>Reporting Source:</b>	REGULATOR (U6)
<b>Current Status:</b>	FINAL
<b>Allegations:</b>	
<b>Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Date Initiated:</b>	
<b>Docket/Case Number:</b>	
<b>Principal Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	DECISION
<b>Resolution Date:</b>	12/2/1976
<b>Sanctions Ordered:</b>	
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	NASDAQ COMPLAINT N-VS-253 FILED 12-2-76



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)  
**Current Status:** FINAL  
**Allegations:**  
**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.  
**Date Initiated:**  
**Docket/Case Number:**  
**Principal Product Type:**  
**Other Product Type(s):**  
**Principal Sanction(s)/Relief Sought:**  
**Other Sanction(s)/Relief Sought:**  
**Resolution:** DECISION  
**Resolution Date:** 8/26/1977  
**Sanctions Ordered:**  
**Other Sanctions Ordered:**  
**Sanction Details:** NASDAQ COMPLAINT N-VS-284, FILED 8-26-77



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** VIRGINIA

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 10/14/1986

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** RESPONDENT REGISTERED 200 UNITS FOR EACH OF FOUR OFFERINGS AND PAID THE MINIMUM FEE BUT SUBSEQUENTLY OVERSOLD EACH OFFERING WITHOUT FILING THE APPROPRIATE AMENDMENTS AND PAYING THE ADDITIONAL FEES. RESPONDENT WAS FINED \$2,000. CASE NO. SEC 860075.



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** MASSACHUSETTS

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 4/5/1988

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** THE ORDER FOUND THAT STEVEN J. HEKAROS, WHILE EMPLOYED BY MOSELEY SECURITIES CORPORATION, WAS SELLING SECURITIES WITHOUT PROPERLY BEING REGISTERED TO DO SO IN THE COMMONWEALTH OF MASSACHUSETTS. MOSELEY WAS FINED \$1,000 AND ORDERED TO PAY COSTS OF \$1,000, AND IT ALSO VOLUNTARILY AGREED TO WITHDRAW REGISTRATION AS A BROKER-





DEALER IN MASSACHUSETTS. HEKAROS WAS DISMISSED FROM MOSELEY.  
DOCKET/CASE NO. E-88-32, DATED APRIL 5, 1988. <><><> PER THE STATE,  
HEKAROS WAS DISMISSED FROM THIS ACTION WITH PREJUDICE, AND HIS  
PENDING APPLICATION WITH ANOTHER MEMBER WILL BE GRANTED.



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** AMERICAN STOCK EXCHANGE

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 12/30/1987

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** MOSELEY SECURITIES CORPORATION, A REGULAR MEMBER ORGANIZATION, WAS DISCIPLINED BY AN EXCHANGE DISCIPLINARY PANEL FOR VIOLATING: EXCHANGE RULE 320 IN THAT IT PERMITTED A BRANCH OFFICE TO BE SUPERVISED BY A NONRESIDENT BRANCH OFFICE MANAGER ("BOM")/REGISTERED OPTIONS PRINCIPAL ("ROP") FROM THE PERIOD JANUARY



1,1983 TO APRIL 19, 1983; AND EXCHANGE RULE 922(c) IN THAT IT PERMITTED THE BRANCH TO BE SUPERVISED DURING THE PERIOD APRIL 19, 1983 THROUGH APRIL 30, 1985 BY A BOM WHO WAS NOT ROP QUALIFIED, WHILE THE BRANCH EMPLOYED MORE THAN THREE REGISTERED REPRESENTATIVES WHO ENGAGED IN A PUBLIC OPTIONS BUSINESS. MOSELEY WAS CENSURED, FINED \$7,500 AND REQUIRED THAT WITHIN 30 DAYS OF RECEIPT OF THE FINAL DECISION, THE FIRM WILL PROVIDE THE EXCHANGE WITH ITS WRITTEN POLICY REGARDING ITS QUALIFICATION PROCEDURES OF ITS BRANCH OFFICE MANAGERS AS REGISTERED OPTIONS PRINCIPALS. THE FIRM SETTLED THE CHARGES WITHOUT ADMITTING OR DENYING THE EXCHANGE'S ALLEGATIONS. <><><> NOTE: PER THE EXCHANGE, THIS SANCTION WAS IMPOSED ON DECEMBER 30, 1987.



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** MISSOURI

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** ORDER

**Resolution Date:** 10/31/1988

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** MOSELEY SECURITIES CORPORATION WAS ISSUED A CEASE AND DESIST ORDER FOR ALLOWING AN UNREGISTERED AGENT TO SELL SECURITIES IN THE STATE OF MISSOURI. DOCKET/CASE NO. CD-88-46, DATED OCTOBER 31, 1988.



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** ILLINOIS

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** ORDER

**Resolution Date:** 9/8/1989

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** THE ILLINOIS SECURITIES DEPARTMENT ISSUED A NOTICE OF HEARING AGAINST KENNETH ANTHONY SCRIBA, MOSLEY SECURITIES CORPORATION AND DREXEL BURNHAM LAMBERT, INC. BETWEEN JULY, 1977 AND FEBRUARY 1987, RESPONDENT KENNETH ANTHONY SCRIBA WAS A REGISTERED REPRESENTATIVE OF RESPONDENT DREXEL BURNHAM LAMBERT INC. WHILE



RESPONDENT SCRIBA WAS A REPRESENTATIVE OF RESPONDENT MOSELY SECURITIES CORPORATION FROM FEBRUARY 1, 1987 TO MARCH, 1988. RESPONDENTS DREXEL AND MOSLEY WERE CHARGED WITH THE FAILURE TO PROPERLY SUPERVISE THE SECURITIES ACTIVITY OF THEIR REPRESENTATIVE. THIS IS A VIOLATION OF SECTIONS 8.E(1)(6), 12.A, 12.E, 12.F, 12.G AND 12.I OF THE ACT BY PERFORMING THE FOLLOWING ACTIVITIES: UNAUTHORIZED TRADING IN THE ABOVE REFERENCED ACCOUNTS; UNAUTHORIZED MARGIN ACCOUNT IN THE ACCOUNT OF MYRON S. FIELDS CUSTODIAN FOR DAVID M. FIELDS; UNAUTHORIZED USE OF A MARGIN TRANSACTION IN THE ACCOUNT OF MYRON S. FIELDS M.D.S.C. PENSION PLAN DTD; MISREPRESENTATION OF MATERIAL FACTS TO DR. MYRON S. FIELDS; MISREPRESENTATION OF MATERIAL FACTS TO THE SECRETARY OF STATE OF ILLIONIS; AND INEQUITABLE BUSINESS PRACTICES. DOCKET/CASE NO. 8800028, DATED SEPTEMBER 8, 1989.



## Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Reporting Source:** REGULATOR (U6)

**Current Status:** FINAL

**Allegations:**

**Initiated By:** NEW YORK STOCK EXCHANGE HEARING PANEL

**Date Initiated:**

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** DECISION

**Resolution Date:** 9/27/1990

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** MOSELEY SECURITIES CORPORATION, A FORMER MEMBER ORGANIZATION VIOLATED EXCHANGE RULE 342(b) (1) IN THAT IT FAILED TO PROVIDE FOR APPROPRIATE PROCEDURES OF SUPERVISION AND CONTROL IN ONE OF ITS BRANCH OFFICES---CONSENT TO CENSURE







## Customer Dispute – Award/Judgment

Firms are not required to report arbitration claims filed against them by customers on Form BD; however, FINRA provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and FINRA-registered firms in this section of the report. Note: an arbitration may contain multiple instances of a certain Relief Type (e.g., Actual/Compensatory Damages) requested by or awarded to one or more Claimants.

The full text of arbitration awards issued by FINRA is available at [www.finra.org/awardsonline](http://www.finra.org/awardsonline).

### Disclosure

<b>Reporting Source:</b>	NASD
<b>Type of Event:</b>	ARBITRATION
<b>Allegations:</b>	UNAUTHORIZED TRADING; UNKNOWN TYPE OF CONTROVERSY; UNKNOWN TYPE OF CONTROVERSY; UNKNOWN TYPE OF CONTROVERSY
<b>Arbitration Forum:</b>	NASD
<b>Case Initiated:</b>	08/20/1990
<b>Case Number:</b>	90-02191
<b>Disputed Product Type:</b>	COMMON STOCK; UNKNOWN TYPE OF SECURITIES; UNKNOWN TYPE OF SECURITIES; UNKNOWN TYPE OF SECURITIES
<b>Relief Sought:</b>	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$25,000.00
<b>Disposition:</b>	AWARD AGAINST PARTY
<b>Disposition Date:</b>	07/17/1991
<b>Relief Awarded:</b>	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$25,000.00 JOINTLY AND SEVERALLY



## Customer Dispute – Award/Judgment

Firms are not required to report arbitration claims filed against them by customers on Form BD; however, FINRA provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and FINRA-registered firms in this section of the report. Note: an arbitration may contain multiple instances of a certain Relief Type (e.g., Actual/Compensatory Damages) requested by or awarded to one or more Claimants.

The full text of arbitration awards issued by FINRA is available at [www.finra.org/awardsonline](http://www.finra.org/awardsonline).

### Disclosure

<b>Reporting Source:</b>	NASD
<b>Type of Event:</b>	ARBITRATION
<b>Allegations:</b>	NOT PROVIDED
<b>Arbitration Forum:</b>	NASD
<b>Case Initiated:</b>	05/17/1988
<b>Case Number:</b>	87-02612
<b>Disputed Product Type:</b>	NOT PROVIDED
<b>Relief Sought:</b>	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$42,717.00 JOINTLY AND SEVERALLY
<b>Disposition:</b>	CASE IS CLOSED, BY HEARING
<b>Disposition Date:</b>	07/22/1991
<b>Relief Awarded:</b>	ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL



## Customer Dispute – Award/Judgment

Firms are not required to report arbitration claims filed against them by customers on Form BD; however, FINRA provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and FINRA-registered firms in this section of the report. Note: an arbitration may contain multiple instances of a certain Relief Type (e.g., Actual/Compensatory Damages) requested by or awarded to one or more Claimants.

The full text of arbitration awards issued by FINRA is available at [www.finra.org/awardsonline](http://www.finra.org/awardsonline).

### Disclosure

<b>Reporting Source:</b>	NASD
<b>Type of Event:</b>	ARBITRATION
<b>Allegations:</b>	MISREPRESENTATION
<b>Arbitration Forum:</b>	NASD
<b>Case Initiated:</b>	01/01/1988
<b>Case Number:</b>	88-01034
<b>Disputed Product Type:</b>	COMMON STOCK
<b>Relief Sought:</b>	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$3,250.00
<b>Disposition:</b>	CASE IS CLOSED, BY PAPERS
<b>Disposition Date:</b>	05/11/1989
<b>Relief Awarded:</b>	ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL



## About this BrokerCheck Report

BrokerCheck reports are part of a FINRA initiative to disclose information about FINRA-registered firms and brokers to help investors determine whether to conduct, or continue to conduct, business with these firms and brokers. The information contained within these reports is collected through the securities industry's registration and licensing process.

### Who provides the information in BrokerCheck?

Information made available through FINRA BrokerCheck is derived from the Central Registration Depository (CRD®) as reported on the industry registration and licensing forms brokerage firms and brokers are required to complete.

The forms used by brokerage firms, Forms BD and BDW, are established by the Securities and Exchange Commission (SEC) and adopted by all state securities regulators and self-regulatory organizations (SROs). FINRA and the North American Securities Administrators Association (NASAA) establish the Forms U4 and U5, the forms that collect broker information. Regulators provide information via Form U6, which is used primarily to report certain history about brokerage firms and brokers. These forms are approved by the SEC.

### How current is the information contained in BrokerCheck?

Brokerage firms and brokers are required to keep this information accurate and up-to-date (updates typically are required not later than 30 days after the broker/brokerage firm learns of an event). The report data is updated when a firm, broker, or regulator submits new or revised information to CRD. Generally, updated information is available on BrokerCheck Monday through Friday.

### What information is NOT disclosed through BrokerCheck?

Information that has not been reported to the CRD system, or that is not required to be reported, is not disclosed through FINRA BrokerCheck. Examples of events that are not required to be reported or are no longer reportable include: judgments and liens originally reported as pending that subsequently have been satisfied and bankruptcy proceedings filed more than 10 years ago. Conversely, certain customer complaint information that is not required to be reported may be disclosed provided certain criteria are met.

Additional information not disclosed through BrokerCheck includes Social Security Numbers, residential history information, and physical descriptive information. On a case-by-case basis, FINRA reserves the right to exclude information that contains confidential customer information, offensive and potentially defamatory language or information that raises significant identity theft or privacy concerns that are not outweighed by investor protection concerns. NASD Interpretive Material 8310-2 describes in detail what information is and is not disclosed through BrokerCheck.

Under FINRA's current public disclosure policy, in certain limited circumstances, most often pursuant to a court order, information is expunged from the CRD system. Further information about expungement from the CRD system is available in NASD Notices to Members 99-09, 99-54, 01-65, and 04-16 at [www.finra.org](http://www.finra.org).

For further information regarding FINRA's BrokerCheck program, please visit FINRA's Web Site at [www.finra.org/brokercheck](http://www.finra.org/brokercheck) or call the FINRA BrokerCheck Hotline at (800) 289-9999. The hotline is open Monday through Friday from 8 a.m. to 8 p.m., Eastern Time (ET).

For more information about the following, select the associated link:

- About BrokerCheck Reports: [http://www.finra.org/brokercheck\\_reports](http://www.finra.org/brokercheck_reports)
- Glossary: [http://www.finra.org/brokercheck\\_glossary](http://www.finra.org/brokercheck_glossary)
- Questions Frequently Asked about BrokerCheck Reports: [http://www.finra.org/brokercheck\\_faq](http://www.finra.org/brokercheck_faq)
- Terms and Conditions: <http://brokercheck.finra.org/terms.aspx>