

## BrokerCheck Report

# JEFFREY ALLAN BROTEN

CRD# 1006678

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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.



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)

**Thank you for using FINRA BrokerCheck.**

**JEFFREY A. BROTEN**

CRD# 1006678

This broker is not currently registered.

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

**This broker is not currently registered.**

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

**Registration History**

**This broker was previously registered with the following securities firm(s):**

- B NEWBRIDGE SECURITIES CORPORATION**  
CRD# 104065  
MORRISTOWN, NJ  
08/2019 - 12/2019
- B FIRST STANDARD FINANCIAL COMPANY LLC**  
CRD# 168340  
RED BANK, NJ  
02/2018 - 08/2019
- B NATIONAL SECURITIES CORPORATION**  
CRD# 7569  
TINTON FALLS, NJ  
12/2009 - 03/2018

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	2
Customer Dispute	5
Judgment/Lien	3

**Investment Adviser Representative Information**

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Foreign Currency Options Examination	Series 15	03/11/1985
<b>B</b> General Securities Representative Examination	Series 7	10/17/1981

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	06/25/1983

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 08/2019 - 12/2019	NEWBRIDGE SECURITIES CORPORATION	104065	MORRISTOWN, NJ
<b>B</b> 02/2018 - 08/2019	FIRST STANDARD FINANCIAL COMPANY LLC	168340	RED BANK, NJ
<b>B</b> 12/2009 - 03/2018	NATIONAL SECURITIES CORPORATION	7569	TINTON FALLS, NJ
<b>B</b> 10/2006 - 12/2009	GUNNALLEN FINANCIAL, INC	17609	EATONTOWN, NJ
<b>B</b> 11/2000 - 10/2006	CITIGROUP GLOBAL MARKETS INC.	7059	SHREWSBURY, NJ
<b>B</b> 02/1995 - 11/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
<b>B</b> 03/1983 - 02/1995	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
<b>B</b> 11/1981 - 03/1983	R. E. BOLTON & CO., INC.	8289	

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
08/2019 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	MORRISTOWN, NJ, United States
02/2018 - 08/2019	First Standard Financial	Registered Representative	Y	Red Bank, NJ, United States
12/2009 - 02/2018	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	TINTON FALLS, NJ, United States



## Registration and Employment History

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

- 1) FSF Insurance Agency; non-investment related; Red Bank, NJ; Fixed Insurance business; Insurance Agent, Start 10/2018; Approx 2 hours a week; Sell Fixed Insurance products.
  - 2) Black River Wealth Management (DBA): Morristown, NJ, Registered Representative.
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## Disclosure Events

### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
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 broker is required to disclose a particular criminal event.
  - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all 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.
  - o
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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Customer Dispute	1	4	N/A
Judgment/Lien	3	N/A	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	10/13/2020
<b>Docket/Case Number:</b>	<a href="#">2019064752401</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	First Standard Financial Company LLC
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Without admitting or denying the findings, Broten consented to the sanction and to the entry of findings that he refused to provide on-the-record testimony requested by FINRA in connection with its investigation into his potentially unsuitable and unauthorized trading while associated with a member firm.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)



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

No

**Resolution Date:**

10/13/2020

**Sanctions Ordered:**

Bar (Permanent)

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

<b>Sanction Type:</b>	Bar (Permanent)
<b>Capacities Affected:</b>	All Capacities
<b>Duration:</b>	Indefinite
<b>Start Date:</b>	10/13/2020
<b>End Date:</b>	



## Disclosure 2 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	New Jersey Bureau of Securities
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s) Denial Revocation
<b>Date Initiated:</b>	02/06/2020
<b>Docket/Case Number:</b>	N/A
<b>URL for Regulatory Action:</b>	<a href="https://www.njconsumeraffairs.gov/Actions/Brotten_Summary_denial_revocation_penalty_6Feb2020.pdf">https://www.njconsumeraffairs.gov/Actions/Brotten_Summary_denial_revocation_penalty_6Feb2020.pdf</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	First Standard Financial Company, LLC (CRD No. 168340)
<b>Product Type:</b>	No Product
<b>Allegations:</b>	BROTTEN MADE UNTRUE STATEMENTS AND OMITTED TO STATE MATERIAL FACTS NECESSARY IN ORDER TO MAKE THE STATEMENTS MADE, IN LIGHT OF THE CIRCUMSTANCES UNDER WHICH THEY ARE MADE, NOT MISLEADING. BROTTEN ENGAGED IN AN ACT, PRACTICE, OR COURSE OF BUSINESS WHICH OPERATES OR WOULD OPERATE AS A FRAUD OR DECEIT UPON ANY PERSON. BROTTEN ENGAGED IN DISHONEST OR UNETHICAL PRACTICES IN THE SECURITIES BUSINESS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	02/06/2020
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Denial Revocation



Other: All exemptions contained in N.J.S.A. 49:3-50 subsections (a) paragraph 9, 10, and 11 and subsection (b); are hereby DENIED as to Broten. All exemptions to the registration requirements provided by N.J.S.A. 49:3-56(b), N.J.S.A. 49:3-56(c) and N.J.S.A. 49:3-56(g) are hereby DENIED as to Broten.

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$100,000.00

**Portion Levied against individual:** \$100,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement**

While registered as an agent of First Standard, Broten engaged in a pattern of, excessive, unsuitable and unauthorized trading activity in customer accounts. This trading resulted in large realized investment account losses to Broten's customers, and large commissions and fees being generated for himself and First Standard.



## Customer Dispute - Award / Judgment

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 1

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** NEGLIGENCE IN THE TRANSFER OF A LIMITED PARTNERSHIP

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** New York Stock Exchange; 91-000876

**Date Notice/Process Served:** 05/01/1991

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 05/01/1992

**Monetary Compensation Amount:** \$48,591.00

**Individual Contribution Amount:**



**Broker Statement**

AWARD OF \$48,591.00  
SEE ATTACHED





## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
<b>Allegations:</b>	BREACH OF FIDUCIARY DUTY, UNSUITABILITY, FALSE REPRESENTATIONS, CHURNING, FRAUD, NEGLIGENCE, UNAUTHORIZED TRADING, BREACH OF CONTRACT AND VIOLATIONS OF STATE AND FEDERAL SECURITIES LAW.
<b>Product Type:</b>	Equity - OTC
<b>Alleged Damages:</b>	\$325,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/04/2002
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	10/04/2002
<b>Settlement Amount:</b>	

**Individual Contribution Amount:**

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD CASE NO. 02-05339
<b>Date Notice/Process Served:</b>	10/04/2002
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	12/02/2003
<b>Monetary Compensation Amount:</b>	\$49,500.00
<b>Individual Contribution Amount:</b>	\$0.00



**Firm Statement** SETTLED

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** SALOMON SMITH BARNEY

**Allegations:** BREACH OF FIDUCIARY DUTY, UNSUITABLE, EXCESSIVE AND UNAUTHORIZED TRADING OF STOCK, FRAUD, MISREPRESENTATION, NEGLIGENCE, BREACH OF CONTRACT, VIOLATION OF NASD AND NYSE RULES. 11/28/00 - 7/16/02.

**Product Type:** Equity - OTC

**Alleged Damages:** \$352,000.00

### Customer Complaint Information

**Date Complaint Received:** 10/04/2002

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 10/04/2002

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD CASE NUMBER 02-05339

**Date Notice/Process Served:** 10/04/2002

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 11/18/2003

**Monetary Compensation Amount:** \$87,000.00

**Individual Contribution Amount:**



**Broker Statement** CLAIMANT DISMISSED ALL CLAIMS AGAINST FC AS PART OF THE SETTLEMENT. SSB SETTLED THE CLAIMS FOR \$87,000.

### Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

**Allegations:** CUSTOMER ALLEGES FC MADE UNSUITABLE INVESTMENTS RECOMMENDATIONS.

**Product Type:** Equity - OTC

**Alleged Damages:** \$80,000.00

### Customer Complaint Information

**Date Complaint Received:** 03/01/2001

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/31/2001

**Settlement Amount:** \$57,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** SETTLED BY MERRILL LYNCH TO AVOID COSTS OF LITIGATION.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER AND SMITH INC.

**Allegations:** CUSTOMER ALLEGES FC MADE UNSUITABLE INVESTMENTS.

**Product Type:** Equity - OTC

**Alleged Damages:** \$80,000.00

### Customer Complaint Information

**Date Complaint Received:** 03/01/2001



<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/31/2001
<b>Settlement Amount:</b>	\$57,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	SETTLED BY MERRILL LYNCH TO AVOID COSTS OF LITIGATION.



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	SALOMON SMITH BARNEY
<b>Allegations:</b>	THE CLIENT ALLEGED THAT THE FC DID NOT CONSULT WITH HER BEFORE MAKING TRADES. DECEMBER 2000 THROUGH NOVEMBER 2001. ALLEGED DAMAGES UNSPECIFIED.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Other Product Type(s):</b>	EQUITY - OTC
<b>Alleged Damages:</b>	

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/23/2001
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	04/03/2002
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	THE CLIENT'S CLAIM WAS DENIED.



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	NATIONAL SECURITIES CORP & FIRST STANDARD FINANCIAL CO. LLC
<b>Allegations:</b>	SUITABILITY
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$100,000.00

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	20-00850
<b>Date Notice/Process Served:</b>	05/24/2020
<b>Arbitration Pending?</b>	Yes



## Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	AMERICAN EXPRESS CENTURION BAN
<b>Judgment/Lien Amount:</b>	\$50,000.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	12/15/2017
<b>Date Individual Learned:</b>	12/30/2017
<b>Type of Court:</b>	MONMOUTH COUNTY SUPERIOR COURT
<b>Name of Court:</b>	MONMOUTH COUNTY SUPERIOR COURT
<b>Location of Court:</b>	MONMOUTH COUNTY, NJ
<b>Docket/Case #:</b>	L00449817
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	RECEIVED FROM A COLLECTION AGENCY AND I HAVE BEEN MAKING MONTHLY PAYMENTS THRU A DEBT COLLECTION FIRM SINCE DECEMBER 2017 IN THE AMOUNT OF \$1450.00.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	SUMMIT BANK
<b>Judgment/Lien Amount:</b>	\$1,500.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	03/18/1999
<b>Date Individual Learned:</b>	03/25/1999
<b>Type of Court:</b>	NEW JERSEY SUPERIOR COURT
<b>Name of Court:</b>	NEW JERSEY SUPERIOR COURT, CHANCERY DIVISION
<b>Location of Court:</b>	CHANCERY DIVISION, NEW JERSEY
<b>Docket/Case #:</b>	F 04738 99



**Judgment/Lien Outstanding?** Yes

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### Disclosure 3 of 3

**Reporting Source:** Broker

**Judgment/Lien Holder:** AMERICAN EXPRESS NATIONAL BANK

**Judgment/Lien Amount:** \$13,286.00

**Judgment/Lien Type:** Civil

**Date Filed with Court:** 02/04/2019

**Date Individual Learned:** 02/09/2019

**Type of Court:** MONMOUTH COUNTY SPECIAL CIVIL PART

**Name of Court:** MONMOUTH COUNTY SPECIAL CIVIL PART

**Location of Court:** MONMOUTH COUNTY, NJ

**Docket/Case #:** DC00114619

**Judgment/Lien Outstanding?** Yes

**Broker Statement** I HAVE A DEBT RESOLUTION COMPANY THAT I MAIL FUNDS TO EVERY MONTH WHO HAVE NEGOTIATED WITH CREDITORS TO THEIR SATISFACTION.



## End of Report



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