BrokerCheck Report

ALEXANDER SOTIR JOSEPH JR

CRD# 1092307

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

ALEXANDER S. JOSEPH JR

CRD# 1092307

Currently employed by and registered with the following Firm(s):

B **HAZARD & SIEGEL, INC.**
5793 WIDEWATERS PARKWAY
DEWITT, NY 13214
CRD# 2048
Registered with this firm since: 07/02/2003

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 registered with:

- 1 Self-Regulatory Organization
- 14 U.S. states and territories

This broker has passed:

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

Registration History

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

B **LEIGH BALDWIN & CO., LLC**
CRD# 38751
CAZENOVIA, NY
08/1997 - 06/2003

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
Customer Dispute	4

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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 individual is currently registered with 1 SRO and is licensed in 14 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **HAZARD & SIEGEL, INC.**

Main Office Address: **5793 WIDEWATERS PARKWAY**
DEWITT, NY 13214

Firm CRD#: **2048**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	07/02/2003
B	FINRA	Investment Co./Variable Contracts Prin	Approved	04/21/2004
B	FINRA	Operations Professional	Approved	08/05/2015

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/26/2021
B	California	Agent	Approved	02/26/2016
B	Connecticut	Agent	Approved	04/29/2004
B	Florida	Agent	Approved	04/14/2008
B	Kentucky	Agent	Approved	02/05/2020
B	Maine	Agent	Approved	10/18/2023
B	Nebraska	Agent	Approved	12/22/2020
B	Nevada	Agent	Approved	05/24/2010
B	New York	Agent	Approved	07/02/2003
B	Pennsylvania	Agent	Approved	03/03/2004

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Rhode Island	Agent	Approved	07/01/2010
B	Tennessee	Agent	Approved	07/31/2023
B	Texas	Agent	Approved	04/04/2018
B	Vermont	Agent	Approved	05/18/2010

Branch Office Locations

HAZARD & SIEGEL, INC.
5793 WIDEWATERS PARKWAY
DEWITT, NY 13214

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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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination	Series 26	04/20/2004

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	08/15/1997

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	08/12/1997

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/1997 - 06/2003	LEIGH BALDWIN & CO., LLC	38751	CAZENOVIA, NY

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
01/2004 - Present	Hazard & Siegel Advisory Services	Investment Advisor Representative	Y	Dewitt, NY, United States
07/2003 - Present	HAZARD & SIEGEL	REGISTERED REPRESENTATIVE	Y	SYRACUSE, NY, United States
01/1984 - Present	OMEGA, INC.	PRESIDENT - PRESIDENT	N	SYRACUSE, NY, United States
09/1981 - Present	ALEX S JOSEPH ASSOCIATES, INC.	OTHER - VICE-PRESIDENT	N	SYRACUSE, NY, United States

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.

ALEXANDER S JOSEPH ASSOCIATES; NOT INVESTMENT RELATED; 5793 WIDEWATERS PARKWAY, DEWITT, NY 13214; NATURE LIFE INSURANCE; VICE PRES; STARTED 1981; 120 HRS/MONTH; ALL DURING TRADING; BROKERAGE MANAGER FOR LIFE COMPANY OMEGA, INC.; NOT INVESTMENT RELATED; 5793 WIDEWATERS PARKWAY, DEWITT, NY 13214; NATURE LIFE PENSION; PRESIDENT; STARTED 1984; 40 HRS/MONTH; ALL DURING TRADING; PRESIDENT AT OMEGA, INC, SALES & SERVICES OF PENSION PLANS SOLICITOR FOR HAZARD & SIEGEL ADVISORY SERVICES LLC,REFER CLIENT ACCOUNTS TO MONEY MANAGER REGISTERED INVESTMENT ADVISORS 2-20HRS PER MONTH.

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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:**
    - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
    - 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.
    -
3. **Disclosure events in BrokerCheck reports come from different sources:**
    - 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.
    -
4. **There are different statuses and dispositions for disclosure events:**
    - A disclosure event may have a status of *pending, on appeal,* or *final.*
        - A "pending" event involves allegations that have not been proven or formally adjudicated.
        - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
        - A "final" event has been concluded and its resolution is not subject to change.
    - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
        - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
        - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that 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
Customer Dispute	0	4	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

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

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a 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, which was closed without action, withdrawn, or denied.

Disclosure 1 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	HAZARD & SIEGEL INC
Allegations:	[CUSTOMER] ALLEGES THAT MR. JOSEPH FAILED TO SUPERVISE [THIRD PARTY] DURING THE LIQUIDATION AND TRANSFER OF HER ACCOUNT FROM MAINSTAY FUNDS AND NY LIFE SECURITIES
Product Type:	Mutual Fund
Alleged Damages:	$109,128.32
Alleged Damages Amount Explanation (if amount not exact):	CUSTOMER IS REQUESTING AMOUNT TRANSFERRED PLUS INTEREST AND ATTORNEY FEES
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION ARBITRATION
Docket/Case #:	10-03199

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Filing date of arbitration/CFTC reparation or civil litigation:	07/13/2010

Customer Complaint Information

Date Complaint Received:	08/02/2010
Complaint Pending?	No
Status:	Settled
Status Date:	02/14/2012
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	NEW YORK STATE SUPREME COURT
Location of Court:	COUNTY RENSSELAER
Docket/Case #:	233658
Date Notice/Process Served:	
Litigation Pending?	No
Disposition:	Dismissed
Disposition Date:	02/14/2012
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00

Broker Statement

THE AMOUNT LISTED IN THE SETTLEMENT AMOUNT IS AN APPROXIMATION OF THE AMOUNT PAID BY MR. JOSEPH'S FIRM. THIS IS THE ONLY PART OF THE SETTLEMENT TO WHICH WE ARE PRIVY. IT WAS PART OF A GLOBAL SETTLEMENT REACHED, AND THE AMOUNTS CONTRIBUTED BY THE OTHER PARTIES WERE NOT DISCLOSED, SUBJECT TO A CONFIDENTIALITY AGREEMENT.

MR. JOSEPH ASSUMED NO LIABILITY IN THE SERIES OF EVENTS, AND WAS NEVER THE SUBJECT OF ANY REGULATORY INQUIRIES. THE CASE WAS SETTLED IN ORDER TO ALLOW EVERYONE TO MOVE FORWARD.

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Disclosure 2 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	HAZARD & SIEGEL INC.
Allegations:	AS A RESULT OF THE THE ACTIVITIES OF [THIRD PARTY], A FORMER HAZARD & SIEGEL INDEPENDENT CONTRACTOR REGISTERED REPRESENTATIVE, MR. JOSEPH HAS BEEN NAMED AS A REPONSDENT, ALLEGING THAT HE FAILED TO SUPERVISE [THIRD PARTY'S] ACTIVITIES. [THIRD PARTY] RECENTLY PLED GUILTY TO SECURITIES FRAUD. MR. JOSEPH IS ONE OF 9 RESPONDENTS IN THIS ARBITRATION.
Product Type:	Annuity-Variable
Alleged Damages:	$1,088,292.30
Alleged Damages Amount Explanation (if amount not exact):	THIS IS THE DOLLAR AMOUNT OF THE CLAIM. THE CLAIM ALSO REQUESTS RECOVERY OF VARIOUS FEES AND INTEREST ON ALL CLAIMS. ADDITIONALLY, THE AMOUNT CLAIMED BY TWO OF THE CLAIMANTS WAS NOT AVAILABLE.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-00312
Date Notice/Process Served:	02/10/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/24/2012
Monetary Compensation Amount:	$20,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court

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Name of Court:	STATE OF NEW YORK SUPREME COURT
Location of Court:	COUNTY RENSSELAER
Docket/Case #:	00235553
Date Notice/Process Served:	06/13/2011
Litigation Pending?	No
Disposition:	Dismissed
Disposition Date:	01/24/2012
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	THE AMOUNT LISTED IN THE SETTLEMENT AMOUNT IS AN APPROXIMATION OF THE AMOUNT PAID BY MR. JOSEPH'S FIRM. THIS IS THE ONLY PART OF THE SETTLEMENT TO WHICH WE ARE PRIVY. IT WAS PART OF A GLOBAL SETTLEMENT REACHED, AND THE AMOUNTS CONTRIBUTED BY THE OTHER PARTIES WERE NOT DISCLOSED, SUBJECT TO A CONFIDENTIALITY AGREEMENT. MR. JOSEPH ASSUMED NO LIABILITY IN THE SERIES OF EVENTS, AND WAS NEVER THE SUBJECT OF ANY REGULATORY INQUIRIES. THE CASE WAS SETTLED IN ORDER TO ALLOW EVERYONE TO MOVE FORWARD.

Disclosure 3 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	HAZARD & SIEGEL INC.
Allegations:	AS A RESULT OF THE ACTIVITIES OF MR. MATTHEW J. RYAN, A FORMER HAZARD & SIEGEL INC. INDEPENDENT CONTRACTOR REGISTERED REPRESENTATIVE, MR JOSEPH HAS BEEN NAMED AS A RESPONDENT, ALLEGING THAT HE FAILED TO SUPERVISE MR. RYAN'S ACTIVITIES. MR. RYAN RECENTLY PLED GUILTY TO SECURITIES FRAUD. MR. JOSEPH IS ONE OF 8 RESPONDENTS IN THE CASE.
Product Type:	Annuity-Variable
Alleged Damages:	$323,752.71

Alleged Damages Amount Explanation (if amount not exact):	THE ARBITRATION ALSO REQUESTS RECOVERY OF VARIOUS FEES AND INTEREST ON ALL CLAIMS.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-00476
Date Notice/Process Served:	02/18/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/30/2011
Monetary Compensation Amount:	$13,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	STATE OF NEW YORK SUPREME COURT
Location of Court:	COUNTY RENSSELAER
Docket/Case #:	00235661
Date Notice/Process Served:	06/13/2011
Litigation Pending?	No
Disposition:	Dismissed
Disposition Date:	12/30/2011
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	THE AMOUNT LISTED IN THE SETTLEMENT AMOUNT IS AN APPROXIMATION OF THE AMOUNT PAID BY MR. JOSEPH'S FIRM. THIS IS THE ONLY PART OF THE SETTLEMENT TO WHICH WE ARE PRIVY. IT WAS PART OF A GLOBAL

SETTLEMENT REACHED, AND THE AMOUNTS CONTRIBUTED BY THE OTHER PARTIES WERE NOT DISCLOSED, SUBJECT TO A CONFIDENTIALITY AGREEMENT.

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Disclosure 4 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	HAZARD & SIEGEL INC.
Allegations:	MR. JOSEPH HAS BEEN NAMED AS A RESPONDENT, ALLEGING FAILURE TO SUPERVISE ONE OF HAZARD & SIEGEL'S FORMER INDEPENDENT CONTRACTOR REGISTERED REPRESENTATIVES, MR. MATTHEW J. RYAN. MR. RYAN RECENTLY PLED GUILTY TO SECURITIES FRAUD
Product Type:	Annuity-Fixed Annuity-Variable
Alleged Damages:	$61,460.15
Alleged Damages Amount Explanation (if amount not exact):	THE ARBITRATION CLAIM ALSO REQUESTS RELIEF FROM VARIOUS FEES AND INTEREST ON ANY AWARD

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-00397
Date Notice/Process Served:	02/10/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/07/2012
Monetary Compensation Amount:	$5,000.00

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Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	STATE OF NEW YORK SUPREME COURT
Location of Court:	COUNTY RENSSELAER
Docket/Case #:	00235609
Date Notice/Process Served:	06/13/2011
Litigation Pending?	No
Disposition:	Dismissed
Disposition Date:	03/07/2012
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00

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End of Report

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