

BrokerCheck Report

ROBERT BRUCE FAGENSON

CRD# 1109347

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

Please contact FINRA with any concerns.

About BrokerCheck®



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

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



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



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

**ROBERT B. FAGENSON**

CRD# 1109347

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

B A.G.P. / ALLIANCE GLOBAL PARTNERS

590 Madison Avenue

28th Floor

New York, NY 10022

CRD# 8361

Registered with this firm since: 05/01/2025

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:

- 2 Self-Regulatory Organizations
- 2 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 0 State Securities Law Exams

Registration History

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

B B. RILEY WEALTH MANAGEMENT

CRD# 2543

New York, NY

07/2022 - 05/2025

B NATIONAL SECURITIES CORPORATION

CRD# 7569

NEW YORK, NY

04/2012 - 07/2022

B FAGENSON & CO., INC.

CRD# 1781

NEW YORK, NY

06/1983 - 04/2012

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	1



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 2 SROs and is licensed in 2 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **A.G.P. / ALLIANCE GLOBAL PARTNERS**

Main Office Address: **88 POST ROAD WEST
2ND FLOOR
WESTPORT, CT 06880**

Firm CRD#: **8361**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	05/01/2025
B	FINRA	General Securities Principal	Approved	05/01/2025
B	FINRA	General Securities Representative	Approved	05/01/2025
B	FINRA	Investment Banking Representative	Approved	05/01/2025
B	FINRA	Operations Professional	Approved	05/01/2025
B	Nasdaq Stock Market	Financial and Operations Principal	Approved	05/01/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	05/01/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	05/01/2025

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	05/29/2025
B	New York	Agent	Approved	05/07/2025

Branch Office Locations

A.G.P. / ALLIANCE GLOBAL PARTNERS

Broker Qualifications



Employment 1 of 1, continued

590 Madison Avenue
28th Floor
New York, NY 10022



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 2 principal/supervisory exams, 4 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	07/13/1994
B Financial and Operations Principal Examination	Series 27	05/21/1983

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/11/1994

State Securities Law Exams

Exam	Category	Date
No information reported.		

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/.

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 07/2022 - 05/2025	B. RILEY WEALTH MANAGEMENT	2543	New York, NY
B 04/2012 - 07/2022	NATIONAL SECURITIES CORPORATION	7569	NEW YORK, NY
B 06/1983 - 04/2012	FAGENSON & CO., INC.	1781	NEW YORK, NY
B 06/2000 - 08/2007	VAN DER MOOLEN SPECIALISTS USA, LLC	32034	NEW YORK, NY
B 09/1986 - 10/2003	STARR SECURITIES, INC.	13336	NEW YORK, NY
B 06/1983 - 08/1986	STARR SECURITIES, INC.	13336	

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
05/2025 - Present	Alliance Global Partners	Registered Representative	Y	New York, NY, United States
10/1970 - Present	FAGENSON & CO., INC.	PRESIDENT	Y	NEW YORK, NY, United States
07/2022 - 05/2025	B. RILEY WEALTH MANAGEMENT	Registered Representative	Y	New York, NY, United States
03/2012 - 07/2022	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	NEW YORK, 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.

(1) SIGMA ALPHA FOUNDATION NON INVESTMENT RELATED-FRATERNITY CHARITABLE FOUNDATION-BOARD MEMBER /CHAIRMAN



Registration and Employment History

Other Business Activities, continued

OF INVESTMENT COMMITTEE, START 2006. 2HRS/MTH.NONE DURING SECURITIES TRADING HOURS.OVERSEE ENDOWMENT AND GRANTING OF SCHOLARSHIPS.

(2) NYC CITY POLICE MUSEUM. NON-INVESTMENT RELATED. 1 PECK SLIP NY, NY. VP OF FINANCE/BOARD MEMBER OF THE CHARITY. START 2005. 1HR/MTH. NONE DURING SECURITIES TRADING HOURS.

(3) GREAT BAY ALTERNATIVE STRATEGIES II, LLC. REAL ESTATE INVESTMENT , MEMBER, INVESTOR, INVEST IN LOW-RISE/GARDEN APRTMENT DEVELOPMENTS EASTERN US, 4 HRS PER MONTH ZERO DURING TRADING HRS.

(4) FAGENSON & CO.INC FORMER BD NOW FAMILY INVESTMENT COMPANY,OPERATING ENTITY FOR NEW YORK NSC BRANCH, INVESTMENT RELATED,477 MADISON AVE. NY,NY, PRESIDENT. START 1970. 120HRS/MTH.FCO D/B/A FOR NSC BRANCH EMPLOYS PERSONNEL, PAYROLL , RENT, MANAGMENT OF INVESTMENTS.

(5) GREAT BAY MARINE LLC, NOT INVESTMENT RELATED, PASSIVE LLC, ST THOMAS USVI, NON BUSINESS ENTITY TO OWN BOAT AND SEVERAL VECHICLES FOR LIMITING LIABLITY 1HR PER MONTH ZERO DURING TRADING HRS.

(6) FAGESNON FIXED INCOME PARTNERS, LLC ,NEW YORK, NY ,START 2006 INVESTMENT RELATED INVESTS IN REAL EASTATE LPS & INCOME PRODUCING STOCKS, MEMBER, 4HRS PER MONTH ZERO DURING TRADING HRS.

(7) QUANTUM COMPUTER CORP, TICKER "QUBT" , DIRECTOR , MEMBER OF THE BOARD OF DIRECTORS, GRAND RAPIDS, MI, 4 HRS. PER MONTH ALL DURING TRADING HRS. NOT INVESTMENT RELATED..

(8) TEMPORARY GUARDIAN OF THE PROPERTY; NON INVESTMENT RELATED;535 EAST 86TH STREET NEW YORK NY 10028 APT 14A; JOINT TEMP GUARDIAN OF COUSINS PROPERTY; JOINT GUARDIAN; START DATE APRIL 2024; 40 HRS/MONTH DEVOTED 20 DURING SECURITIES TRADIING HRS.

(9) FAGENSON FAMILY FOUNDATION; NON INVESTMENT RELATED;123 E 54TH ST APT 2G NEW YORK NY 10022; FAMILY CHARITIBLE FOUNDATION MAKING DONATIONS TO 501C3 CHARITIBLE ORGANIZATIONS; PRESIDENT; START DATE 2005; 1 HOUR/ MONTH DEVOTED NONE DURING SECURITIES TRADING HOURS.

(10) RISING TREETOPS AT OAKHURST; NON INVESTMENT RELATED; OAKHURST NJ 07755; PUBLIC CHARITY OPERATING A SUMMER CAMP 7 RESPITE FACILITY FOR HANDICAPPED ADULTS AND CHILDREN; VP-TREASUERER- DIRECTOR; START DATE 1998; 2 HOURS/MONTH DEVOTED 1 DURING SECURITIES TRADING HOURS.

(11) FEDERAL LAE ENFORCEMENT OFFICERS ASSOC FOUNDATION; NON INVESTMENT RELATED; 123 E 54TH ST NEW YORK NY; PUBLIC CHARITY - LAW ENFORCEMENT FAMILIES SUPPORT; BOARD OF DIRECTORS; START DATE 2009; 1 HOUR/ MONTH DEVOTED DURING SECURITIES TRADING HOURS.

(12) NEW YORK EDGE; NON INVESTMENT RELATED; NY; CHARITY - NYC SCHOOLS; BOARD MEMBER; START DATE 2010; 1 HOUR DEVOTED NONE DURING SECURITIES TRADING HOURS.

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.
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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.
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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	1	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.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	FAGENSON & CO., INC., AND VAN DER MOOLEN SPECIALISTS USA, LLC.
Allegations:	BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, UNSUITABILITY, NEGLIGENCE, GROSS NEGLIGENCE, FRAUD AND DECEIT, UNAUTHORIZED TRADING.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF SECURITIES.
Alleged Damages:	\$1,450,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #03-08145
Date Notice/Process Served:	11/12/2003
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/17/2006
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO THE CLAIMANTS COMPENSATORY DAMAGES IN THE AMOUNT OF \$58,576.40 PLUS INTEREST UNTIL THE AWARD IS PAID IN FULL.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: VAN DER MOOLEN SPECIALISTS USA, LLC& FAGENSON & CO., INC.
(DUALY EMPLOYED)

Allegations: CLAIMANT ALLEGES BREACH OF CONTRACT BASED ON AN ALLEGED FAILURE TO PROVIDE COMPETENT, PROFESSIONAL SERVICES, BREACH OF FIDUCIARY DUTY, UNSUITABILITY, COMMON LAW FRAUD AND DECEIT AND NEGLIGENCE. CLAIMANT ALLEGES THAT, IN EARLY 2000, SHE TRANSFERRED TO RESPONDENTS SECURITIES ACCOUNTS SHE INHERITED FROM HER RECENTLY DECEASED HUSBAND, WHO HAD BEEN A FRIEND OF MR. FAGENSON. CLAIMANT ALLEGES THAT RESPONDENTS HAD DISCRETION OVER THE ACCOUNTS AND FAILED TO LIQUIDATE POSITIONS THAT WERE DECLINING IN VALUE THROUGHOUT 2000 AND 2001. RESPONDENTS MAINTAIN THAT CLAIMANT'S ACCOUNTS WERE NON-DISCRETIONARY, THAT RESPONDENTS AT ALL TIMES EXERCISED DUE CARE IN HANDLING THEM, AND THAT CLAIMANT'S SECURITIES POSITIONS DECLINED AT A TIME WHEN THE MARKET OVERALL WAS EXPERIENCING A DECLINE OF HISTORIC PROPORTIONS. RESPONDENTS HAVE MOVED TO DISMISS CERTAIN PORTIONS OF THE STATEMENT OF CLAIM AND HAVE ANSWERED AND ASSERTED VARIOUS DEFENSES TO THE STATEMENT OF CLAIM. RESPONDENTS BELIEVE THAT THE STATEMENT OF CLAIM IS WITHOUT MERIT AND INTEND TO DEFEND THIS MATTER VIGOROUSLY.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,450,000.00

Customer Complaint Information

Date Complaint Received: 12/15/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/05/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD 03-08145](#)



Date Notice/Process Served:	12/15/2003
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	02/17/2006
Monetary Compensation Amount:	\$58,576.40
Individual Contribution Amount:	
Broker Statement	RESPONDENT AND FAGENSON & CO., INC. ARE JOINTLY AND SEVERALY LIABLE FOR AND SHALL PAY TO THE CLAIMANTS COMPENSATORY DAMAGES IN THE AMOUNT OF \$58,576.40 PLUS INTEREST UNTIL THE AWARD IS PAID IN FULL.

End of Report



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