



**BrokerCheck Report**

**IRVING MOSES SIMON**

CRD# 1183617

## Dear Investor:

FINRA has generated the following BrokerCheck report for **IRVING MOSES SIMON**. The information contained within this report has been provided by a FINRA member 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®) system.

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 or any of the member's associated persons. To that end, FINRA has adopted a public disclosure policy to make certain types of information available to you. Examples of information FINRA provides on currently registered individuals and individuals who were registered during the past two years include: actions by regulators, 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. FINRA also provides certain information on individuals whose registrations terminated more than two years ago.

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 brokerage 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 and firms 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).

## IRVING MOSES SIMON

CRD# 1183617

This individual is no longer registered with FINRA. The individual's registration with FINRA was terminated prior to August 1999 when the enhanced CRD system was implemented. As a result, since the individual was not required to update their CRD record via the submission of a Form U4 to CRD since August 1999, BrokerCheck contains only limited information about this individual.

### Report Summary for this Broker

The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process.

### Broker Qualifications

This broker is not currently registered with a FINRA firm.

This broker has passed:

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

### Registration History

This broker was previously registered with the following FINRA member firms:

#### DEAN WITTER REYNOLDS INC.

CRD# 7556  
BOCA RATON FL  
05/12/1989 to 02/06/1990

#### PARAGON CAPITAL CORPORATION

CRD# 18555  
BOCA RATON FL  
02/08/1988 to 05/22/1989

#### EQUITIES INTERNATIONAL SECURITIES, INC.

CRD# 8663  
NEW YORK NY  
01/21/1988 to 03/26/1988

For additional registration details as reported by the individual broker, refer to the Registration History Section of this report.

### Disclosure of Regulatory Events

This section includes details regarding final regulatory events reported by or about this broker to CRD as part of the securities industry registration and licensing process.

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

#### The following type of disclosure was reported:

Regulatory Event

## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all principal/supervisory, general product/industry, and/or state securities law exams that the broker has passed. Under certain, limited circumstances, a broker may receive a waiver of an exam requirement based on a combination of previous exams passed and qualifying work experience. Likewise, a new exam requirement may be grandfathered based on a broker's specific qualifying work experience. Information regarding instances of exam waivers or the grandfathering of an exam requirement are not included as part of the BrokerCheck report.

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

Exam Class	Exam Name	Category	Date
Principal/Supervisory Exams	Investment Company Products/Variable Contracts Rep	Series 6	11/22/1983
General Industry/Product Exams	General Securities Representative Examination	Series 7	9/20/1986
State Securities Law Exams	Uniform Securities Agent State Law Examination	Series 63	8/31/1988

Additional information about the securities industry's qualifications and continuing education requirements, as well as the examinations administered by FINRA to brokers and other securities professionals can be found at <http://www.finra.org/Industry/Compliance/Registration/QualificationsExams/index.htm>.

## Registration History

### Previously Registered with the Following FINRA Firms

FINRA records show this broker previously held FINRA registrations with the following firms:

Registration Dates	Firm Name	CRD #	Branch Location
05/12/1989 to 02/06/1990	DEAN WITTER REYNOLDS INC.	7556	BOCA RATON FL
02/08/1988 to 05/22/1989	PARAGON CAPITAL CORPORATION	18555	BOCA RATON FL
01/21/1988 to 03/26/1988	EQUITIES INTERNATIONAL SECURITIES, INC.	8663	NEW YORK NY
09/24/1986 to 09/26/1988	SANDHURST SECURITIES LTD.	13831	NEW YORK NY
03/07/1985 to 08/06/1985	DOUGLAS BREMEN & CO., INC.	13186	ROSLYN NY
11/23/1983 to 11/14/1984	FIRST INVESTORS CORPORATION	305	NEW YORK NY

## Disclosure of Regulatory Events

**Disclosures in BrokerCheck reports come from different sources:**

- **Self-disclosure:** Brokers are required to answer a series of questions on their application requesting securities industry registration (Form U4). For example, brokers are asked whether they have been involved in certain regulatory matters.
- **Regulator/Employer postings:** In addition, regulators and firms that have employed a broker also may contribute relevant information about such matters. All of this information is maintained in CRD.

**Certain Thresholds must be met before an event is reported to CRD; for example:**

- **A regulatory agency** must meet established standards before initiating a regulatory action and/or issuing sanctions. These standards typically include a reasonable basis for initiating the action after engaging in a fact-finding process.



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 report provides the information as it was reported to CRD by the individual broker, a member firm(s), and/or by securities industry regulators. Some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

## Regulatory - Final

This section provides information regarding a final, regulatory action that was reported to CRD by the individual broker, a member firm and/or a securities regulator. The 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 SEC or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations.

### Disclosure 1 of 2 ~ Entry 1 of 1

**Reporting Source:** Regulator

**Details:**

COMPLAINT NO. ATL-1210 (NASD DISTRICT NO. 7) FILED JUNE 22, 1990 AGAINST RESPONDENT IRVING MOSES SIMON ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 19(f)(1)(A) OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT SIMON REIMBURSED A PUBLIC CUSTOMER FOR LOSSES IN THE AMOUNT OF \$20,000 WITHOUT PROVIDING WRITTEN NOTICE TO HIS MEMBER FIRM; AND, FAILED TO RESPOND TO AN NASD REQUEST FOR INFORMATION MADE PURSUANT TO ARTICLE IV, SECTION 5 OF THE RULES OF FAIR PRACTICE.

DECISION RENDERED OCTOBER 19, 1990, WHEREIN RESPONDENT SIMON IS CENSURED, FINED \$10,000 AND BARRED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY. IF NO FURTHER ACTION, DECISION IS FINAL DECEMBER 3, 1990.

DECEMBER 3, 1990 - DECISION IS FINAL.

### Disclosure 2 of 2 ~ Entry 1 of 1

**Reporting Source:** Regulator

**Details:**

COMPLAINT NO. ATL-1140 FILED SEPTEMBER 22, 1989 BY NASD DISTRICT NO. 7 AGAINST RESPONDENT IRVING MOSES SIMON ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 2 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT SIMON PREVENTED HIS MEMBER FIRM FROM EXECUTING ORDERS FROM PUBLIC CUSTOMERS TO SELL STOCK; MADE FALSE REPRESENTATIONS TO CUSTOMERS CONCERNING THE PURCHASE OF COMMON STOCK; AND, RECOMMENDED STOCK TO A CUSTOMER WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THAT THE RECOMMENDATION WAS SUITABLE.

DECISION RENDERED OCTOBER 19, 1990, WHEREIN RESPONDENT SIMON IS CENSURED, FINED \$15,000, ORDERED TO PAY RESTITUTION OF \$12,550 TO THE CUSTOMER AND SUBMIT PROOF TO THE NASD AT THE CONCLUSION OF HIS SUSPENSION, AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR 30 DAYS. IF NO FURTHER ACTION, DECISION IS FINAL DECEMBER 3, 1990.

DECEMBER 3, 1990 - DECISION IS FINAL.

FEBRUARY, 1991 PRESS RELEASE: RESPONDENT'S BAR IN ATL-1210 SUPERSEDES HIS SUSPENSION IN ATL-1140, THEREFORE, HIS BAR WAS

[www.finra.org/brokercheck](http://www.finra.org/brokercheck)



EFFECTIVE 12/3/90. \*\*\*\*\*

4/26/91: PER FINES AND COSTS NOTIFICATION RECEIVED 4/15/91 INVOICE #90-07-1215 WHEREIN MR. SIMON WAS BARRED IN NASD COMPLAINT #ATL-1210 ON 3/91.

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## About this BrokerCheck Report

BrokerCheck reports are part of a FINRA initiative to disclose information about FINRA-registered firms and individual 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 BrokerCheck is obtained from CRD as reported through the industry registration and licensing process.

The forms used by brokerage firms, to report information as part of the firms registration and licensing process, Forms BD and BDW, are established by the SEC and adopted by all state securities regulators and SROs. FINRA and the North American Securities Administrators Association (NASAA) establish the Forms U4 and U5, the forms that are used for the registration and licensing process for individual brokers. These forms are approved by the SEC. Regulators report disciplinary information for firms and individual brokers via Form U6.

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

Brokerage firms and brokers are required to keep this information accurate and up-to-date (typically not later than 30 days after learning of the event). BrokerCheck 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 CRD or that is not required to be reported is not disclosed through BrokerCheck, such as vacated regulatory actions.

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. FINRA Rule 8312 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 CRD. Further information about expungement from CRD is available in FINRA Notices 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>