

BrokerCheck Report

HAROLD EUGENE STICE

CRD# 1349210

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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.



HAROLD E. STICE

CRD# 1349210

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

B BOREAL CAPITAL SECURITIES LLC
1450 Brickell Avenue
Suite 2900
Miami, FL 33131
CRD# 158599
Registered with this firm since: 04/19/2024

B DAWSON JAMES SECURITIES, INC.
101 NORTH FEDERAL HIGHWAY
SUITE 600
BOCA RATON, FL 33432
CRD# 130645
Registered with this firm since: 12/13/2023

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:

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

Registration History

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

- B CHAPIN, DAVIS**
CRD# 28116
BALTIMORE, MD
06/2023 - 12/2023
- B INSIGNEO SECURITIES, LLC**
CRD# 29249
MIAMI, FL
01/2019 - 06/2023
- B PM SECURITIES, LLC DBA PHOENIX CAPITAL RESOURCES**
CRD# 132710
CHADDS FORD, PA
07/2017 - 02/2019

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



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 2

Firm Name: **BOREAL CAPITAL SECURITIES LLC**
 Main Office Address: **1450 BRICKELL AVENUE, SUITE 2900
 MIAMI, FL 33131**
 Firm CRD#: **158599**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	04/19/2024
B	FINRA	General Securities Principal	Approved	04/19/2024
B	FINRA	General Securities Representative	Approved	04/19/2024
B	FINRA	Operations Professional	Approved	04/08/2025

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	05/13/2024

Branch Office Locations

BOREAL CAPITAL SECURITIES LLC
 1450 BRICKELL AVENUE, SUITE 2900
 MIAMI, FL 33131

BOREAL CAPITAL SECURITIES LLC
 1450 Brickell Avenue
 Suite 2900
 Miami, FL 33131

Employment 2 of 2

Firm Name: **DAWSON JAMES SECURITIES, INC.**

Broker Qualifications



Employment 2 of 2, continued

Main Office Address: **101 NORTH FEDERAL HIGHWAY
SUITE 600
BOCA RATON, FL 33432**

Firm CRD#: **130645**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	12/13/2023
B	FINRA	Financial and Operations Principal	Approved	12/13/2023
B	FINRA	General Securities Principal	Approved	12/13/2023
B	FINRA	General Securities Representative	Approved	12/13/2023
B	FINRA	Municipal Securities Principal	Approved	12/13/2023
B	FINRA	Municipal Securities Representative	Approved	12/13/2023
B	FINRA	Operations Professional	Approved	12/13/2023
B	FINRA	Registered Options Principal	Approved	12/13/2023
B	FINRA	Securities Trader	Approved	12/13/2023
B	FINRA	Securities Trader Principal	Approved	12/13/2023
B	Nasdaq Stock Market	Financial and Operations Principal	Approved	12/13/2023
B	Nasdaq Stock Market	General Securities Principal	Approved	12/13/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	12/13/2023
B	Nasdaq Stock Market	Registered Options Principal	Approved	12/13/2023
B	Nasdaq Stock Market	Securities Trader	Approved	12/13/2023
B	Nasdaq Stock Market	Securities Trader Principal	Approved	12/13/2023

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	12/14/2023

Broker Qualifications



Employment 2 of 2, continued

U.S. State/ Territory		Category	Status	Date
<div>B</div>	Florida	Agent	Approved	12/13/2023

Branch Office Locations

DAWSON JAMES SECURITIES, INC.
101 NORTH FEDERAL HIGHWAY
SUITE 600
BOCA RATON, FL 33432



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 5 principal/supervisory exams, 6 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B Registered Options Principal Examination	Series 4	11/27/1991
B Municipal Securities Principal Examination	Series 53	05/17/1991
B General Securities Principal Examination	Series 24	04/08/1991
B Financial and Operations Principal Examination	Series 27	02/14/1991

General Industry/Product Exams

Exam	Category	Date
B Securities Trader Exam	Series 57TO	01/02/2023
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	08/02/2000
B General Securities Representative Examination	Series 7	12/13/1990

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/22/1991

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at

Broker Qualifications



Industry Exams this Broker has Passed, continued

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 06/2023 - 12/2023	CHAPIN, DAVIS	28116	BALTIMORE, MD
B 01/2019 - 06/2023	INSIGNEO SECURITIES, LLC	29249	MIAMI, FL
B 07/2017 - 02/2019	PM SECURITIES, LLC DBA PHOENIX CAPITAL RESOURCES	132710	CHADDS FORD, PA
B 07/2017 - 12/2018	NORTHEAST SECURITIES, LLC	25996	MITCHEL FIELD, NY
B 07/2006 - 09/2016	THE JEFFREY MATTHEWS FINANCIAL GROUP, L.L.C.	41282	FLORHAM PARK, NJ
B 04/2016 - 05/2016	PTR, INC.	31559	COLLINGSWOOD, NJ
B 02/2008 - 11/2008	TRIPP & CO., INC.	6967	MILLBURN, NJ
B 06/2005 - 07/2008	WILMINGTON CAPITAL SECURITIES, LLC	133839	MILLBURN, NJ
B 10/2002 - 07/2004	JOSEPH GUNNAR & CO. LLC	24795	UNIONDALE, NY
B 11/2001 - 10/2002	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
B 05/2001 - 08/2001	ORION FINANCIAL SERVICES, LLC	44827	PHILADELPHIA, PA
B 12/1999 - 12/2000	USACAPITAL INC.	19674	PHILADELPHIA, PA
B 07/1998 - 12/1999	FIRST LIBERTY INVESTMENT GROUP, INC.	3536	PHILADELPHIA, PA
B 11/1993 - 06/1998	DONALD & CO. SECURITIES INC.	7776	TINTON FALLS, NJ
B 03/1992 - 10/1993	FIRST COLONIAL SECURITIES GROUP, INC.	25121	BOCA RATON, FL
B 12/1990 - 03/1992	UNITED PACIFIC FINANCIAL SERVICES, INC.	21632	

Employment History



Registration and Employment History

Employment History, continued

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
04/2024 - Present	Boreal Securities	CFO	Y	Miami, FL, United States
12/2023 - Present	Dawson James Securities, Inc.	CFO/FINOP	Y	Boca Raton, FL, United States
05/2023 - 12/2023	Chapin Davis	Chief Compliance Officer	Y	Baltimore, MD, United States
01/2019 - 05/2023	INSIGNEO SECURITIES, LLC	CFO/FIN OP	Y	MIAMI, FL, United States
06/2017 - 01/2019	PM Securities, LLC dba Phoenix Capital Resources	FINOP	N	Chadds Ford, PA, United States
07/2017 - 12/2018	NORTHEAST SECURITIES, INC.	CHIEF ADMINISTRATIVE OFFICER	Y	MITCHEL FIELD, NY, United States
08/2016 - 04/2017	Nuovo Corporate Services, Inc.	President & CEO	N	New York, NY, United States
07/2006 - 07/2016	THE JEFFREY MATTHEWS FINANCIAL GROUP LLC	CCO/CFO	Y	MILLBURN, NJ, United States
04/2016 - 05/2016	PTR Inc	FINOP	Y	Philadelphia, PA, 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.

I CONSULT ON VARIOUS ACCOUNTING, COMPLIANCE, AND MANAGEMENT MATTERS. CLIENTS INCLUDE ROMEO AND CHIAVERELLI CPA FIRM (START DATE 01/2002) ASSIST IN TAX RETURNS & ANNUAL AUDITS OF SEVERAL BROKER DEALERS, APPROXIMATELY 40 HRS PER MONTH FROM JANUARY THROUGH APRIL, 0 HRS DURING TRADING HRS. NOT INVESTMENT RELATED. / HOXTON CIRCLE (START 03/2016) PERFORM ACCOUNTING AND MANAGEMENT CONSULTING APPROXIMATELY 8 HRS PER MONTH, 0 HRS DURING TRADING HRS. NOT INVESTMENT RELATED. / RENT AN APRATEMENT IN FLORIDA (START 11/2023), 0 HRS PER MONTH, NOT INVESTMENT RELATED.

OFFICER AND FINANCIAL PRINCIPAL(CFO) AT 3 FIRMS. 1) ARK FINANCIAL SERVICES-SEC & TREASURER. 2) DAWSON JAMES ASSET MANAGEMENT- TREASURER 3) DAWSON JAMES FINANCIAL SERVICES INC- ACCOUNTANT. ALL AFFILIATES ARE LOCATED AT 101.

Registration and Employment History



Other Business Activities, continued

NORTH FEDERAL HIGHWAY, BOCA RATON FL. 1-2 HOURS PER WEEK AT EACH OF THE THREE AFFILIATES. ZERO COMPENSATION. ALL COMPENSATION IS PAID BY DAWSON JAMES SECURITIES. DAWSON JAMES ASSET MANAGEMENT AND DAWSON JAMES FINANCIAL ARE INVESTMENT RELATED. EFFECTIVE DECEMBER 2023.

MarQit Intel, Inc. No. 1515 N. Federal Hwy Suite 300 Boca Raton, FL 33432. Investor Relations Company. Treasurer. Treasurer. December 2023. 4 hours per month. 0 Hours during trading hours. Accounting & Finance.

Boreal Securities, Investment related, 1450 Brickell Ave, Unit 2900 Miami, FL 33131, Securities Broker dealer, FINOP, FINOP 4/24, 10 hours per month, 0 during Trading Hours, Prepare & file Focus and other Regulatory Financial Reports.

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
Regulatory Event	0	2	0



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

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/23/2000
Docket/Case Number:	C10970175
Employing firm when activity occurred which led to the regulatory action:	DONALD & CO. SECURITIES, INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	02-28-00, SEC RULES 15C3-1(A)(1)(I), (A)(2)(III) AND (A)(4) AND NASD RULE 2110 - RESPONDENT DONALD & CO., INC., ACTING THROUGH RESPONDENT EUGENE H. STICE, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN REQUIRED MINIMUM NET CAPITAL OF \$172,000.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Resolution Date: 02/23/2000

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: FINED \$5,000

09-18-00, \$5,000 PAID 4/06/00, INVOICE #00-10-150

Reporting Source: Broker

Regulatory Action Initiated By: NASD
DISTRICT 10

Sanction(s) Sought: Censure

Other Sanction(s) Sought: FINE \$5,000.00

Date Initiated: 03/31/1997

Docket/Case Number: C10970175

Employing firm when activity occurred which led to the regulatory action: DONALD & CO. SECURITIES INC.

Product Type: No Product

Other Product Type(s):

Allegations: THAT DONALD & CO. SECURITIES, INC. ACTING THROUGH ME, FAILED TO MAINTAIN MINIMUM NET CAPITAL AS REQUIRED BY RULE 15C3-1 OF THE SECURITIES EXCHANGE ACT OF 1934

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 02/23/2000

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: DISPOSITION RESULTED IN A CENSURE AND A FINE OF \$5000.00

Broker Statement NOT PROVIDED



Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/27/1996
Docket/Case Number:	C10960137
Employing firm when activity occurred which led to the regulatory action:	DONALD & CO. SECURITIES INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/27/1996
Sanctions Ordered:	Censure Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	<p>ON AUGUST 27, 1996, DISTRICT NO. 10 NOTIFIED DONALD & CO. SECURITIES, INC. AND HAROLD EUGENE STICE THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C10960137 WAS ISSUED; THEREFORE, RESPONDENTS MEMBER AND STICE ARE CENSURE AND FINED</p> <p>\$1,000, JOINTLY AND SEVERALLY - (NASD RULE 2110 (FORMERLY ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE) - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT STICE, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS MINIMUM REQUIRED NET CAPITAL).</p>



\$1,000.00 PAID J&S ON 09/17/96, INVOICE #96-10-700

Reporting Source: Broker

Regulatory Action Initiated By: NASD DISTRICT 10

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/27/1996

Docket/Case Number: C10960137

Employing firm when activity occurred which led to the regulatory action: DONALD & CO. SECURITIES INC.

Product Type:

Other Product Type(s):

Allegations: DONALD & CO. SECURITIES, INC., ACTING THROUGH HAROLD EUGENE STICE, FAILED TO MAINTAIN THE REQUIRED NET CAPITAL WHILE IT CONDUCTED A SECURITIES BUSINESS ON NOVEMBER 30, 1994.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 08/27/1996

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: DONALD & CO. SECURITIES, INC. AND HAROLD EUGENE STICE SUBMITTED A LETTER OF ACCEPTANCE, WAIVER AND CONSENT, AND WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ACCEPTED AND CONSENTED TO A CENSURE AND FINE OF \$1,000.00

Broker Statement Not Provided

End of Report



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