

## BrokerCheck Report

**JONATHAN QUENTIN FREY**

CRD# 1367423

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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](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).

**JONATHAN Q. FREY**

CRD# 1367423

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

- B J. STREICHER & CO. L.L.C.**  
 28 LIBERTY STREET 6TH FLOOR  
 NEW YORK, NY 10005  
 CRD# 3526  
 Registered with this firm since: 09/26/2003

**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:**

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

**This broker has passed:**

No information reported.

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

- B FREY, JONATHAN QUENTIN**  
 CRD# 33498  
 PORT WASHINGTON, NY  
 05/2005 - 09/2005
- B J. STREICHER & CO.**  
 CRD# 3526  
 12/1980 - 01/1986

**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
Investigation	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 0 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **J. STREICHER & CO. L.L.C.**

Main Office Address: **28 LIBERTY STREET 6TH FLOOR  
NEW YORK, NY 10005**

Firm CRD#: **3526**

	SRO	Category	Status	Date
B	NYSE American LLC	Market Maker Authorized Trader-Equities	Approved	07/24/2017
B	New York Stock Exchange	Floor Employee	Approved	09/13/2017

### Branch Office Locations

**J. STREICHER & CO. L.L.C.**  
28 LIBERTY STREET 6TH FLOOR  
NEW YORK, NY 10005

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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.

No information reported.

## 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> 05/2005 - 09/2005	FREY, JONATHAN QUENTIN	33498	PORT WASHINGTON, NY
<b>B</b> 12/1980 - 01/1986	J. STREICHER & CO.	3526	

### 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
01/1990 - Present	JONATHAN Q. FREY	SOLE PROPRIETOR	Y	NEW YORK, NY, United States
06/1969 - Present	J. STREICHER & CO. L.L.C.	AMEX REGULAR MEMBER / SPECIALIST	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.

NAME OF BUSINESS:

J. STREICHER GROUP LLC

INVESTMENT RELATED: NO

ADDRESS OF BUSINESS:

28 Liberty ST FL 6

NY, N.Y. 10005

NATURE OF BUSINESS: HOLDING COMPANY

POSITION: MANAGING MEMBER

HOURS PER MONTH 1

DURING TRADING HOURS: 0

DUTIES: MANAGING MEMBER

Christina Frey Trust

## Registration and Employment History



### Other Business Activities, continued

POSITION: Trustee  
HOURS PER MONTH 1  
DURING TRADING HOURS: 0  
Chairman Emeritus "J. Streicher Holdings LLC"  
Honorary

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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.
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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
Regulatory Event	0	2	0
Investigation	2	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>	NYSE AMEX LLC (F/K/A AMERICAN STOCK EXCHANGE)
<b>Sanction(s) Sought:</b>	Other
<b>Other Sanction(s) Sought:</b>	CENSURE
<b>Date Initiated:</b>	04/13/2007
<b>Docket/Case Number:</b>	09-AMEX-3
<b>Employing firm when activity occurred which led to the regulatory action:</b>	J. STREICHER & CO., LLC
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	JONATHAN FREY WAS ALLEGED TO HAVE VIOLATED AMEX RULE 170, AS WELL AS AMEX RULE 156 AND EXCHANGE ACT RULE 11AC1-4 DURING THE PERIOD OF MARCH 8, 2004 THROUGH NOVEMBER 11, 2004 BY INAPPROPRIATELY FREEZING THE NETS DISPLAY BOOK.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent



<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	03/19/2009
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$25,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	JONATHAN FREY WAS CENSURED AND FINED \$25,000.
<b>Regulator Statement</b>	DURING THE PERIOD OF MARCH 8, 2004 THROUGH NOVEMBER 11, 2004, FREY INAPPROPRIATELY "FROZE" THE NETS DISPLAY BOOK FOR APPROXIMATELY 41.5 MINUTES PER TRADING SESSION, OR AN AVERAGE OF 10.65% OF EACH TRADING DAY. ON APPROXIMATELY 3,756 OCCASSIONS DURING THESE "FREEZES", THE NETS DISPLAY BOOK REMAINED FROZEN FOR 30 SECONDS OR LONGER IN VIOLATION OF THE SPECIALIST'S OBLIGATIONS TO MAINTAIN A FAIR AND ORDERLY MARKET AND TO PROPERLY REPRESENT CUSTOMER ORDERS.
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<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	NYSE AMEX LLC (F/K/A AMERICAN STOCK EXCHANGE)
<b>Sanction(s) Sought:</b>	Other
<b>Other Sanction(s) Sought:</b>	CENSURE
<b>Date Initiated:</b>	04/13/2007
<b>Docket/Case Number:</b>	09-AMEX-3
<b>Employing firm when activity occurred which led to the regulatory action:</b>	J. STREICHER & CO., LLC
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	THE APPLICANT WAS ALLEGED TO HAVE VIOLATED AMEX RULE 170, AS WELL AS AMEX RULE 156 AND EXCHANGE ACT RULE 11AC1-4 DURING THE



PERIOD OF MARCH 8, 2004 THROUGH NOVEMBER 11, 2004 BY  
INAPPROPRIATELY FREEZING THE NETS DISPLAY BOOK.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Resolution Date:</b>	03/19/2009
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$25,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	THE APPLICANT WAS CENSURED AND FINED \$25,000.
<b>Broker Statement</b>	WITHOUT ADMITTING OR DENYING THE CHARGES, THE APPLICANT ENTERED INTO A STIPULATION OF FACTS AND CONSENT TO PENALTY.

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	AMERICAN STOCK EXCHANGE
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	FREY WAS ALSO CENSURED. THE FINE WAS A JOINT AND SEVERAL FINE WITH J. STREICHER & CO., LLC
<b>Date Initiated:</b>	03/25/2003
<b>Docket/Case Number:</b>	00-15, 00-21, AND 00-27
<b>Employing firm when activity occurred which led to the regulatory action:</b>	J. STREICHER & CO. L.L.C.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	RESPONDENT JONATHAN FREY ON BEHALF OF HIS MEMBER FIRM, VIOLATED RULE 320(B) IN THAT HE FAILED TO SUPERVISE AND CONTROL THE ACTIVITIES OF ITS SPECIALISTS AND CLERKS TO ENSURE THEIR COMPLIANCE WITH SECURITIES LAWS AND RULES. FREY VIOLATED EXCHANGE RULE 320(C) IN THAT HE FAILED TO TAKE STEPS DESIGNED TO DETECT OR PREVENT VIOLATIONS OR OTHERWISE FAILED TO DEVELOP, IMPLEMENT AND MAINTAIN WRITTEN SUPERVISORY PROCEDURES PERTAINING TO FEDERAL SECURITIES LAWS. FREY VIOLATED EXCHANGE



RULE 170(D), IN THAT HE ENGAGED IN TRANSACTIONS IN STOCK FOR HIS SPECIALIST PROPRIETARY ACCOUNT FOR REASONS OTHER THAN TO CONTRIBUTE TO THE MAINTENANCE OF PRICE CONTINUITY WITH REASONABLE DEPTH. FREY VIOLATED EXCHANGE RULE 3, IN THAT HE EFFECTED EXCESSIVE PURCHASES OF STOCK AT THREE DIFFERENT PRICE LEVELS IN VIEW OF THE MARKET FOR SUCH ACTIVITY.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	03/25/2003
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$125,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	RESPONDENTS ARE CENSURED AND FINED \$125,000.00 JOINTLY AND SEVERALLY.
<b>Regulator Statement</b>	PLEASE CONTACT THE ENFORCEMENT DEPARTMENT OF THE AMERICAN STOCK EXCHANGE FOR FURTHER DETAILS.

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	AMERICAN STOCK EXCHANGE LLC
<b>Sanction(s) Sought:</b>	Censure
<b>Other Sanction(s) Sought:</b>	FINE
<b>Date Initiated:</b>	09/04/2000
<b>Docket/Case Number:</b>	CASE NOS: 00-15,00-21, AND 00-27
<b>Employing firm when activity occurred which led to the regulatory action:</b>	J. STREICHER & CO. L.L.C.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	JONATHAN Q. FREY AND J. STREICHER & CO. LLC VIOLATED ARTICLE V, SECTION 4(H) AND RULES 126, 131, 155, 156, 320, 170 AND 3 OF THE AMERICAN STOCK EXCHANGE CONSTITUTION AND RULES.
<b>Current Status:</b>	Final



<b>Resolution:</b>	Stipulation and Consent
<b>Resolution Date:</b>	04/04/2003
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$125,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	JONATHAN Q. FREY AND J. STREICHER & CO. LLC WERE CENSURED AND FINED \$125,000.00 TO BE PAID JOINTLY AND SEVERALLY. THE FINE WAS PAID ON APRIL 28,2003.



## Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

### Disclosure 1 of 2

**Reporting Source:** Broker

**Initiated By:** AMERICAN STOCK EXCHANGE

**Notice Date:** 08/19/2004

**Details:** MATTER INVOLVING, INTER ALIA, ALLEGATIONS OF VIOLATION OF EXCHANGE RULE 236 BETWEEN THE PERIOD OF DECEMBER 2003 AND APRIL 2004. SPECIFICALLY THIS INVESTIGATION RELATES TO FAILURE TO AVOID TRADING THROUGH THE BIDS AND OFFERS OF OTHER ITS PARTICIPATING MARKET CENTERS IN DEVON ENERGY CORP

### Disclosure 2 of 2

**Reporting Source:** Broker

**Initiated By:** AMERICAN STOCK EXCHANGE

**Notice Date:** 04/19/2004

**Details:** MATTERS INVOLVING, INTER ALIA, ALLEGATIONS OF VIOLATION OF EXCHANGE RULES 1, 100 AND 233 ON NOV. 7, 2003 AND AGAIN ON NOV. 21, 2003.

## End of Report



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