

BrokerCheck Report

JOSEPH SELLITTO

CRD# 1408978

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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.

**JOSEPH SELLITTO**

CRD# 1408978

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

B SUSQUEHANNA FINANCIAL GROUP, LLLP
 140 BROADWAY
 47TH FLOOR
 NEW YORK, NY 10005
 CRD# 35865
 Registered with this firm since: 11/20/2008

B GLOBAL EXECUTION BROKERS, LP
 401 CITY AVENUE
 BALA CYNWYD, PA 19004
 CRD# 126407
 Registered with this firm since: 04/06/2006

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:

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

This broker has passed:

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

Registration History

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

- B SUSQUEHANNA FINANCIAL GROUP, LLLP**
 CRD# 35865
 CHICAGO, IL
 03/2006 - 10/2006
- B E*TRADE SECURITIES LLC**
 CRD# 29106
 JERSEY CITY, NJ
 02/2003 - 04/2006
- B MORGAN STANLEY & CO., INCORPORATED**
 CRD# 8209
 NEW YORK, NY
 01/2001 - 11/2002

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
Criminal	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 25 SROs and is licensed in 0 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **GLOBAL EXECUTION BROKERS, LP**

Main Office Address: **401 CITY AVENUE
BALA CYNWYD, PA 19004**

Firm CRD#: **126407**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	05/22/2012
B	BOX Exchange LLC	General Securities Representative	Approved	05/22/2012
B	BOX Exchange LLC	Registered Options Principal	Approved	05/22/2012
B	BOX Exchange LLC	Securities Trader Principal	Approved	10/09/2015
B	BOX Exchange LLC	Securities Trader	Approved	01/04/2016
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	10/06/2010
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/06/2010
B	Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	02/12/2015
B	Cboe BYX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	06/30/2010
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	06/30/2010
B	Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	09/22/2010
B	Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	02/12/2015
B	Cboe BZX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe C2 Exchange, Inc.	Securities Trader Principal	Approved	02/12/2015

Broker Qualifications



Employment 1 of 2, continued

	SRO	Category	Status	Date
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/09/2015
B	Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	10/14/2015
B	Cboe C2 Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	05/08/2024
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	12/01/2015
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	12/01/2015
B	Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	12/01/2015
B	Cboe EDGA Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/15/2015
B	Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	10/15/2015
B	Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	10/15/2015
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	11/30/2015
B	Cboe EDGX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/06/2006
B	Cboe Exchange, Inc.	Registered Options Principal	Approved	04/06/2006
B	Cboe Exchange, Inc.	Securities Trader Principal	Approved	08/09/2011
B	Cboe Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe Exchange, Inc.	General Securities Principal	Approved	05/08/2024
B	FINRA	General Securities Principal	Approved	06/25/2024
B	FINRA	General Securities Representative	Approved	06/25/2024
B	FINRA	Registered Options Principal	Approved	06/25/2024
B	FINRA	Securities Trader	Approved	06/25/2024

Broker Qualifications



Employment 1 of 2, continued

	SRO	Category	Status	Date
B	FINRA	Securities Trader Principal	Approved	06/25/2024
B	Investors' Exchange LLC	General Securities Principal	Approved	10/13/2016
B	Investors' Exchange LLC	General Securities Representative	Approved	10/13/2016
B	Investors' Exchange LLC	Securities Trader	Approved	10/13/2016
B	Investors' Exchange LLC	Securities Trader Principal	Approved	10/13/2016
B	Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	06/20/2025
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	06/20/2025
B	Long-Term Stock Exchange, Inc.	Securities Trader	Approved	06/20/2025
B	Long-Term Stock Exchange, Inc.	Securities Trader Principal	Approved	06/20/2025
B	MEMX LLC	General Securities Principal	Approved	09/17/2020
B	MEMX LLC	General Securities Representative	Approved	09/17/2020
B	MEMX LLC	Securities Trader	Approved	09/17/2020
B	MEMX LLC	Securities Trader Principal	Approved	09/17/2020
B	MEMX LLC	Registered Options Principal	Approved	05/08/2024
B	MIAX Emerald, LLC	General Securities Principal	Approved	03/29/2019
B	MIAX Emerald, LLC	General Securities Representative	Approved	03/29/2019
B	MIAX Emerald, LLC	Registered Options Principal	Approved	03/29/2019
B	MIAX Emerald, LLC	Securities Trader	Approved	03/29/2019
B	MIAX Emerald, LLC	Securities Trader Principal	Approved	03/29/2019
B	MIAX PEARL, LLC	General Securities Principal	Approved	04/19/2017
B	MIAX PEARL, LLC	General Securities Representative	Approved	04/19/2017
B	MIAX PEARL, LLC	Registered Options Principal	Approved	04/19/2017

Broker Qualifications



Employment 1 of 2, continued

	SRO	Category	Status	Date
B	MIAX PEARL, LLC	Securities Trader	Approved	04/19/2017
B	MIAX PEARL, LLC	Securities Trader Principal	Approved	04/19/2017
B	MIAX Sapphire	General Securities Principal	Approved	09/05/2024
B	MIAX Sapphire	General Securities Representative	Approved	09/05/2024
B	MIAX Sapphire	Registered Options Principal	Approved	09/05/2024
B	MIAX Sapphire	Securities Trader	Approved	09/05/2024
B	MIAX Sapphire	Securities Trader Principal	Approved	09/05/2024
B	Miami International Securities Exchange, LLC	General Securities Principal	Approved	05/02/2013
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	05/02/2013
B	Miami International Securities Exchange, LLC	Registered Options Principal	Approved	05/02/2013
B	Miami International Securities Exchange, LLC	Securities Trader Principal	Approved	05/02/2013
B	Miami International Securities Exchange, LLC	Securities Trader	Approved	01/04/2016
B	NYSE American LLC	General Securities Principal	Approved	06/04/2007
B	NYSE American LLC	General Securities Representative	Approved	06/04/2007
B	NYSE American LLC	Registered Options Principal	Approved	06/04/2007
B	NYSE American LLC	Securities Trader Principal	Approved	02/12/2015
B	NYSE American LLC	Securities Trader	Approved	01/04/2016
B	NYSE Arca, Inc.	General Securities Principal	Approved	09/22/2010
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/22/2010

Broker Qualifications



Employment 1 of 2, continued

SRO	Category	Status	Date
B NYSE Arca, Inc.	Registered Options Principal	Approved	09/22/2010
B NYSE Arca, Inc.	Securities Trader Principal	Approved	02/12/2015
B NYSE Arca, Inc.	Securities Trader	Approved	01/04/2016
B NYSE National, Inc.	General Securities Principal	Approved	05/18/2018
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B NYSE National, Inc.	Securities Trader	Approved	05/18/2018
B NYSE National, Inc.	Securities Trader Principal	Approved	05/18/2018
B NYSE Texas, Inc.	General Securities Principal	Approved	01/10/2018
B NYSE Texas, Inc.	General Securities Representative	Approved	01/10/2018
B NYSE Texas, Inc.	Securities Trader	Approved	01/10/2018
B NYSE Texas, Inc.	Securities Trader Principal	Approved	01/10/2018
B Nasdaq BX, Inc.	General Securities Principal	Approved	02/17/2016
B Nasdaq BX, Inc.	General Securities Representative	Approved	02/17/2016
B Nasdaq BX, Inc.	Registered Options Principal	Approved	02/17/2016
B Nasdaq BX, Inc.	Securities Trader	Approved	02/17/2016
B Nasdaq BX, Inc.	Securities Trader Principal	Approved	02/17/2016
B Nasdaq GEMX, LLC	Securities Trader Principal	Approved	02/12/2015
B Nasdaq GEMX, LLC	General Securities Representative	Approved	10/09/2015
B Nasdaq GEMX, LLC	Registered Options Principal	Approved	10/14/2015
B Nasdaq GEMX, LLC	General Securities Principal	Approved	11/30/2015
B Nasdaq GEMX, LLC	Securities Trader	Approved	01/04/2016
B Nasdaq ISE, LLC	General Securities Representative	Approved	04/06/2006

Broker Qualifications



Employment 1 of 2, continued

SRO	Category	Status	Date
B Nasdaq ISE, LLC	Registered Options Principal	Approved	04/06/2006
B Nasdaq ISE, LLC	Securities Trader Principal	Approved	02/12/2015
B Nasdaq ISE, LLC	General Securities Principal	Approved	11/30/2015
B Nasdaq ISE, LLC	Securities Trader	Approved	01/04/2016
B Nasdaq MRX, LLC	General Securities Principal	Approved	02/17/2016
B Nasdaq MRX, LLC	General Securities Representative	Approved	02/17/2016
B Nasdaq MRX, LLC	Registered Options Principal	Approved	02/17/2016
B Nasdaq MRX, LLC	Securities Trader	Approved	02/17/2016
B Nasdaq MRX, LLC	Securities Trader Principal	Approved	02/17/2016
B Nasdaq PHLX LLC	General Securities Principal	Approved	06/30/2010
B Nasdaq PHLX LLC	General Securities Representative	Approved	06/30/2010
B Nasdaq PHLX LLC	Registered Options Principal	Approved	02/02/2011
B Nasdaq PHLX LLC	Member Exchange (NYSE)	Approved	02/10/2011
B Nasdaq PHLX LLC	Securities Trader Principal	Approved	02/12/2015
B Nasdaq PHLX LLC	Securities Trader	Approved	01/04/2016
B Nasdaq Stock Market	General Securities Principal	Approved	02/11/2016
B Nasdaq Stock Market	General Securities Representative	Approved	02/11/2016
B Nasdaq Stock Market	Registered Options Principal	Approved	02/11/2016
B Nasdaq Stock Market	Securities Trader	Approved	02/11/2016
B Nasdaq Stock Market	Securities Trader Principal	Approved	02/11/2016

Branch Office Locations



Broker Qualifications

Employment 1 of 2, continued

GLOBAL EXECUTION BROKERS, LP

401 CITY AVENUE
BALA CYNWYD, PA 19004

Employment 2 of 2

Firm Name: **SUSQUEHANNA FINANCIAL GROUP, LLLP**

Main Office Address: **401 CITY AVE
SUITE 220
BALA CYNWYD, PA 19004-1122**

Firm CRD#: **35865**

	SRO	Category	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	12/09/2015
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	12/09/2015
B	Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	12/09/2015
B	Cboe BYX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	12/09/2015
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/09/2015
B	Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	12/09/2015
B	Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	12/09/2015
B	Cboe BZX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	06/27/2012
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/27/2012
B	Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	12/09/2015
B	Cboe EDGA Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	06/27/2012
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/27/2012

Broker Qualifications



Employment 2 of 2, continued

	SRO	Category	Status	Date
B	Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	12/09/2015
B	Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	12/09/2015
B	Cboe EDGX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	FINRA	General Securities Principal	Approved	11/20/2008
B	FINRA	General Securities Representative	Approved	11/20/2008
B	FINRA	Registered Options Principal	Approved	11/20/2008
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Securities Trader Principal	Approved	02/02/2016
B	Investors' Exchange LLC	General Securities Principal	Approved	11/03/2016
B	Investors' Exchange LLC	General Securities Representative	Approved	11/03/2016
B	Investors' Exchange LLC	Securities Trader	Approved	11/03/2016
B	Investors' Exchange LLC	Securities Trader Principal	Approved	11/03/2016
B	NYSE Arca, Inc.	General Securities Principal	Approved	12/09/2015
B	NYSE Arca, Inc.	General Securities Representative	Approved	12/09/2015
B	NYSE Arca, Inc.	Registered Options Principal	Approved	12/09/2015
B	NYSE Arca, Inc.	Securities Trader Principal	Approved	12/09/2015
B	NYSE Arca, Inc.	Securities Trader	Approved	01/04/2016
B	Nasdaq BX, Inc.	General Securities Principal	Approved	06/27/2012
B	Nasdaq BX, Inc.	General Securities Representative	Approved	06/27/2012
B	Nasdaq BX, Inc.	Registered Options Principal	Approved	06/27/2012
B	Nasdaq BX, Inc.	Securities Trader Principal	Approved	12/09/2015
B	Nasdaq BX, Inc.	Securities Trader	Approved	01/04/2016



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B Nasdaq Stock Market	General Securities Principal	Approved	11/20/2008
B Nasdaq Stock Market	General Securities Representative	Approved	11/20/2008
B Nasdaq Stock Market	Registered Options Principal	Approved	11/20/2008
B Nasdaq Stock Market	Securities Trader Principal	Approved	12/09/2015
B Nasdaq Stock Market	Securities Trader	Approved	01/04/2016

Branch Office Locations

SUSQUEHANNA FINANCIAL GROUP, LLLP

140 BROADWAY
47TH FLOOR
NEW YORK, NY 10005



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Registered Options Principal Examination	Series 4	12/09/1992
B General Securities Principal Examination	Series 24	06/22/1989

General Industry/Product Exams

Exam	Category	Date
B Securities Trader Exam	Series 57TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	10/22/2003
B General Securities Representative Examination	Series 7	09/16/1989

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/21/1992

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 03/2006 - 10/2006	SUSQUEHANNA FINANCIAL GROUP, LLLP	35865	CHICAGO, IL
B 02/2003 - 04/2006	E*TRADE SECURITIES LLC	29106	JERSEY CITY, NJ
B 01/2001 - 11/2002	MORGAN STANLEY & CO., INCORPORATED	8209	NEW YORK, NY
B 09/1989 - 01/2001	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, 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
03/2006 - Present	The Susquehanna International Group of Companies	MARKETING	Y	CHICAGO, IL, 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.

No information reported.

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
Criminal	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 2

Reporting Source:	Broker
Court Details:	POSSESSION OF DRUGS, 4TH DEGREE - TOWNSHIP OF OSSINING PD BRIAR CLIFF MANOR (NY0597300) - CASE# B2290
Charge Date:	04/09/1969
Charge Details:	POSSESSION OF DRUGS, 4TH DEGREE - FELONY - DISMISSED
Felony?	Yes
Current Status:	Final
Status Date:	04/10/1969
Disposition Details:	POSSESSION OF DRUGS, 4TH DEGREE - DISMISSED
Broker Statement	WAS ATTENDING A PARTY AT COLOMBIA UNIVERSITY ON JANUARY 4, 1969. THE CHARGE WAS DISMISSED.

Disclosure 2 of 2

Reporting Source:	Broker
Court Details:	POSSESSION OF A DANGEROUS DRUG, TOWN OF OSSINING NEW YORK - CASE# B737588
Charge Date:	01/04/1969
Charge Details:	POSSESSION OF A DANGEROUS DRUG, FELONY - DISMISSED
Felony?	Yes



Current Status:	Final
Status Date:	01/05/1969
Disposition Details:	CHARGE WAS DISMISSED
Broker Statement	WAS ATTENDING A PARTY AT CO,OMBIA UNIVERSTITY ON JANUARY 4, 1969. THE CHARGE WAS DISMISSED.

End of Report



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