

BrokerCheck Report

JOHN SCOT GALINSKY

CRD# 1513926

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



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.

JOHN S. GALINSKY

CRD# 1513926

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B FIRST DOMINION CAPITAL CORP.**
CRD# 16330
RICHMOND, VA
11/2017 - 11/2024
- B NATIONAL SECURITIES CORPORATION**
CRD# 7569
CHICAGO, IL
01/2012 - 11/2017
- B FINTEGRA, LLC**
CRD# 16741
CHICAGO, IL
01/2010 - 12/2011

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	3
Criminal	2
Customer Dispute	4
Termination	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 broker is not currently registered.



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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/20/1986

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/07/1986

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 11/2017 - 11/2024	FIRST DOMINION CAPITAL CORP.	16330	RICHMOND, VA
B 01/2012 - 11/2017	NATIONAL SECURITIES CORPORATION	7569	CHICAGO, IL
B 01/2010 - 12/2011	FINTEGRA, LLC	16741	CHICAGO, IL
B 07/2006 - 11/2009	ADVANCED EQUITIES, INC.	35545	CHICAGO, IL
B 11/1999 - 05/2006	ADVANCED EQUITIES, INC.	35545	CHICAGO, IL
B 07/1996 - 11/1999	DAVID A. NOYES & COMPANY	205	MIAMI, FL
B 03/1993 - 07/1996	ROTHSCHILD INVESTMENT CORPORATION	728	CHICAGO, IL
B 02/1990 - 03/1993	OPPENHEIMER & CO., INC.	630	NEW YORK, NY
B 02/1989 - 02/1990	SHEARSON LEHMAN HUTTON INC.	7506	NEW YORK, NY
B 05/1988 - 01/1989	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 09/1986 - 05/1988	BLINDER, ROBINSON & CO., INC.	5096	

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
11/2017 - Present	FIRST DOMINION CAPITAL CORP.	REGISTERED REPRESENTATIVE	Y	RICHMOND, VA, United States
01/2012 - 11/2017	NATIONAL SECURITIES CORP	REGISTRATION REPRESENTATION	Y	LOMBARD, IL, United States

Registration and Employment History



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
Regulatory Event	0	3	0
Criminal	0	2	0
Customer Dispute	0	4	N/A
Termination	N/A	2	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 3

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 04/17/2018

Docket/Case Number: [2013037298901](#)

Employing firm when activity occurred which led to the regulatory action: Fintegra, LLC

Product Type: Other: private securities offering

Allegations: Without admitting or denying the findings, Galinsky consented to the sanctions and to the entry of findings that he sent emails to prospective and current investors that were not fair and balanced and did not provide a sound basis for evaluating the facts regarding a company involved in a private securities offering or the offering itself. The findings stated that on two occasions Galinsky forwarded an email to a customer, which removed references to a patent infringement lawsuit that had recently been filed against the company involved in the offering. By doing so, Galinsky caused his email to be misleading in that it appeared to forward the entire email that he had received when, in fact, it did not.

Current Status: Final



Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/17/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	10 business days
Start Date:	05/21/2018
End Date:	06/04/2018

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$7,500.00**Portion Levied against individual:** \$7,500.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 04/26/2018**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement** Fines paid in full on April 26, 2018.**Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 04/17/2018**Docket/Case Number:** [2013037298901](#)**Employing firm when activity occurred which led to the regulatory action:** Fintegra, LLC**Product Type:** Other: private securities transactions

Allegations: Without admitting or denying the findings, Galinsky consented to the sanctions and to the entry of findings that, from January 2011 to September 2011, he sent emails to prospective and current investors that were not fair and balanced and did not provide a sound basis for evaluating the facts regarding a company involved in a private securities offering or the offering itself. The findings stated that on two occasions Galinsky forwarded an email to a customer, which removed references to a patent infringement lawsuit that had recently been filed against the company involved in the offering. By doing so, Galinsky caused his email to be misleading in that it appeared to forward the entire email that he had received when, in fact, it did not.



Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 04/17/2018

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All Capacities

Duration: 10 business days

Start Date: 05/21/2018

End Date: 06/04/2018

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 04/26/2018

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 3

Reporting Source: Regulator



Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	08/07/2015
Docket/Case Number:	13-01265
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Respondent Galinsky failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/28/2015
Sanctions Ordered:	Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	any capacity
Duration:	n/a
Start Date:	09/28/2015
End Date:	01/08/2016

Regulator Statement

Galinsky filed a request for a hearing with the Office of Hearing Officers on August 28, 2015, in response to the Notice sent by FINRA staff dated August 7, 2015, pursuant to Procedural Rule 9554. Accordingly on September 1, 2015, the Hearing Officer ordered Galinsky to file a Statement of Defense on or before September 11, 2015. On September 11, 2015, Galinsky filed a Motion for Extension of Time to respond to the Order Directing Filing of Valid Defense and the Hearing Officer issued an order extending the deadline for Galinsky to file a Statement of Defense to September 25, 2015. Galinsky did not file a Statement of Defense as directed. Galinsky failed to comply with the Hearing Officer's orders to specify his defense to FINRA's suspension notice, and the Hearing Officer finds that Galinsky's original hearing request did not comply with Procedural Rule 9554. Accordingly, Galinsky's hearing request is dismissed. Pursuant to Rule 9559(m), the Suspension Notice is deemed to be final FINRA action, the instant proceeding is hereby terminated, and Galinsky's registration is suspended effective September 28, 2015. Suspension lifted on January 8, 2016.



Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	08/07/2015
Docket/Case Number:	13-01265
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Galinsky failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/28/2015
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	N/A
Start Date:	09/28/2015
End Date:	01/08/2016
Broker Statement	Galinsky filed a request for a hearing with the Office of Hearing Officers on August 28, 2015, in response to the Notice sent by FINRA staff dated August 7, 2015, pursuant to Procedural Rule 9554. Accordingly on September 1, 2015, the Hearing Officer ordered Galinsky to file a Statement of Defense on or before September 11,



2015. On September 11, 2015, Galinsky filed a Motion for Extension of Time to respond to the Order Directing Filing of Valid Defense and the Hearing Officer issued an order extending the deadline for Galinsky to file a Statement of Defense to September 25, 2015. Galinsky did not file a Statement of Defense as directed. Galinsky failed to comply with the Hearing Officer's orders to specify his defense to FINRA's suspension notice, and the Hearing Officer finds that Galinsky's original hearing request did not comply with Procedural Rule 9554. Accordingly, Galinsky's hearing request is dismissed. Pursuant to Rule 9559(m), the Suspension Notice is deemed to be final FINRA action, the instant proceeding is hereby terminated, and Galinsky's registration is suspended effective September 28, 2015. Suspension lifted on January 8, 2016.

Disclosure 3 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS SECURITIES DEPARTMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/16/1990
Docket/Case Number:	9000118
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	FAILURE TO DELIVER A PROSPECTUS, MISREPRESENTATIONS, AND OMISSIONS OF MATERIAL FACTS AND UNSUITABILITY OF INVESTMENTS.
Current Status:	Final
Resolution:	Consent
Resolution Date:	11/16/1990
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	WITHOUT MAKING FINDINGS OF FACT OR CONCLUSIONS OF



LAW, MATTER DISPOSED OF VIA CONSENT ORDER OF PROHIBITION WHICH PROHIBITS RESPONDENT FROM OFFERING OR SELLING SECURITIES EXCEPT IN COMPLIANCE WITH THE ACT. RESPONDENT DENIED THE ALLEGATIONS.

Regulator Statement

Not Provided

Reporting Source:

Broker

Regulatory Action Initiated By:

ILLINOIS SECURITIES DEPARTMENT

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

11/16/1990

Docket/Case Number:

9000118

Employing firm when activity occurred which led to the regulatory action:**Product Type:****Other Product Type(s):****Allegations:**

FAILURE TO DELIVER A PROSPECTUS, MISREPRESENTATION, AND OMISSION OF MATERIAL FACTS AND UNSUITABILITY OF INVESTMENTS.

Current Status:

Final

Resolution:

Consent

Resolution Date:

11/16/1990

Sanctions Ordered:**Other Sanctions Ordered:****Sanction Details:**

WITHOUT MAKING FINDINGS OF FACT OR CONCLUSIONS OF LAW, THE STATE OF ILLINOIS DISPOSED OF THIS MATTER VIA A CONSENT ORDER OF PROHIBITION WHICH PROHIBITS MR. GALINSKY FROM OFFERING OR SELLING SECURITIES EXCEPT IN COMPLIANCE WITH THE ACT. MR. GALINSKY HAS DENIED THE ALLEGATIONS.



Broker Statement

THE ATTACHED DOCUMENTS SUPPORT MY BELIEF THAT QUESTION 22E(4) IS THE ONLY APPLICABLE QUESTION ON THE FORM U-4. I CONSENTED TO THE ORDER OR PROHIBITION TO MERELY SETTLE THIS MATTER, BUT WITH THE COMPLETE UNDERSTANDING THAT I WAS NOT FOUND IN VIOLATION OF ANY INVESTMENT REGULATIONS.



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:	THE CIRCUIT COURT OF COOK COUNTY ILLINOIS CASE NUMBER 98401365101
Charge Date:	10/24/1998
Charge Details:	MISDEMEANOR- THEFT OF SERVICES/LABOR
Felony?	No
Current Status:	Final
Status Date:	04/07/1999
Disposition Details:	DEFENDENT PAID AND CHARGES DROPPED
Broker Statement	WHEN A DISPUTE AROSE OVER THE PAYMENT OF CAB FARE CHARGES WERE BROUGHT FOR THEFT OF SERVICES. SUBSEQUENTLY DURING THE PROCESSING OF THE COMPLAINT IN CIRCUIT COURT THE FARE WAS PAID AND THE CASE DISMISSED.

Disclosure 2 of 2

Reporting Source:	Broker
Court Details:	LEMONT, ILLINOIS POLICE DEPARTMENT, OCCURENCE ID#690082
Charge Date:	07/29/1999
Charge Details:	MISDEMEANOR CHARGE 1, THEFT LABOR/SERVICE.
Felony?	No
Current Status:	Final
Status Date:	10/20/2000
Disposition Details:	THE CHARGE WAS DISMISSED.
Broker Statement	WHEN A DISPUTE AROSE OVER THE PAYMENT OF CAB FARE CHARGES WERE BROUGHT FOR THEFT OF SERVICES. SUBSEQUENTLY DURING THE PROCESSING OF THE COMPLAINT IN CIRCUIT COURT THE FARE WAS PAID AND THE CASE DISMISSED.





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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	FINTEGRA LLC
Allegations:	SUITABILITY, MISREPRESENTATION, OMISSIONS, BREACH OF FIDUCIARY DUTY.
Product Type:	Other: PRIVATE PLACEMENT
Alleged Damages:	\$900,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	13-01265
Date Notice/Process Served:	07/09/2013
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	06/12/2015
Monetary Compensation Amount:	\$1,193,254.80
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO.
Allegations:	SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT

**Product Type:****Alleged Damages:** \$46,000.00**Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #92-00511](#)**Date Notice/Process Served:** 03/17/1992**Arbitration Pending?** No**Disposition:** Other**Disposition Date:** 10/15/1992**Disposition Detail:** AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$25,000.00 JOINTLY AND SEVERALL**Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO.**Allegations:** THE CLAIMANT ALLEGED A \$46,000 LOSS CAUSED BY FRAUD AND AN UNSUITABLE RECOMMENDATION TO SHORT VISTA CHEMICAL.**Product Type:****Alleged Damages:** \$46,000.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:****Settlement Amount:****Individual Contribution Amount:**



Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:**

[National Association of Securities Dealers, Inc.; 92-00511](#)

Date Notice/Process Served: 03/17/1992

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/15/1992

**Monetary Compensation
Amount:** \$25,000.00

**Individual Contribution
Amount:**

Broker Statement

THE ARBITRATION PANEL DETERMINED THAT
RESPONDENTS TO THE CLAIMANT, THE SUM OF \$25,000.
OPPENHEIMER RECOMMENDED THE SHORT POSITION ON
VISTA CHEMICAL. VISTA WAS ALSO RECOMMENDED BY OPPENHEIMERS
CHICAGO MANAGEMENT. VISTA WAS BOUGHT OUT AND CLIENTS
INCURRED
SUBSTANTIAL LOSSES. THIS CASE WAS RULED AGAINST OPPENHEIMER
FOR
\$25,000.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	DAVID A NOYES & COMPANY
Allegations:	CUSTOMERS ALLEGE UNAUTHORIZED TRADING AND TRADING ON MARGIN WITHOUT THEIR CONSENT IN THEIR ACCOUNTS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$150,000.00
Alleged Damages Amount Explanation (if amount not exact):	The alleged damages was \$150,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/13/2000
Complaint Pending?	No
Status:	Settled
Status Date:	10/04/2001
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Disposition:	Settled
Disposition Date:	10/04/2001



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: DAVID A. NOYES & COMPANY

Allegations: CUSTOMERS ALLEGE UNAUTHORIZED TRADING AND TRADING ON MARGIN WITHOUT THEIR CONSENT IN THEIR ACCOUNTS. CUSTOMERS ALLEGE MISAPPROPRIATION REGARDING THEIR 1/99 & 2/99 EURODOLLAR INVESTMENT.

Product Type: Equity - OTC

Alleged Damages: \$138,000.00

Customer Complaint Information

Date Complaint Received: 07/13/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/14/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR 01-01620

Date Notice/Process Served: 04/11/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/18/2002

Broker Statement AS PART OF THE SETTLEMENT, THE CUSTOMERS ASSIGNED ALL OF THEIR CLAIMS AGAINST MR. GALINSKY TO [THIRD PARTY]. NYSE ISSUED MR. GALINSKY A LETTER OF ADMONITION ON 10/4/2001 WHICH STATES THE EXCHANGE'S INTENTION NOT TO TAKE FORMAL DISCIPLINARY ACTION AGAINST MR. GALINSKY BECAUSE "YOU DID NOT RECEIVE A FINDER'S FEE OR BENEFIT FROM THE EURODOLLAR INVESTMENTS, THAT THE INVESTMENTS APPEAR TO HAVE BEEN LEGITIMATE INVESTMENTS AND THE CUSTOMERS DID NOT SUFFER ANY MONETARY LOSSES AND THAT



YOU ADMITTED YOUR MISCONDUCT TO THE EXCHANGE."

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN
Allegations:	UNAUTHORIZED TRADING; ACCOUNT RELATED-MARGIN CALLS; BRCH OF FIDUCIARY DT
Product Type:	
Alleged Damages:	\$32,907.07
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #95-03236
Date Notice/Process Served:	08/30/1995
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/19/1996
Disposition Detail:	CASE IS CLOSED, SETTLED ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN
Allegations:	UNAUTHORIZED USE OF FUNDS TO PURCHASE STOCK.
Product Type:	
Alleged Damages:	\$32,907.07



Customer Complaint Information

Date Complaint Received:

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

National Association of Securities Dealers, Inc.; 95-03236

Date Notice/Process Served:

08/30/1995

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

04/19/1996

Monetary Compensation Amount:

\$10,000.00

Individual Contribution Amount:

\$0.00

Firm Statement

SETTLEMENT OF \$10,000.00
LEHMAN PAID THE SETTLEMENT AMOUNT TO SAVE THE
COSTS OF DEFENSE. MR. GALINSKY ADAMANTLY DENIES ALL
ALLEGATIONS
OF WRONGDOING ASSERTED AGAINST HIM.

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

SHEARSON LEHMAN

Allegations:

UNAUTHORIZED USE OF FUNDS TO PURCHASE STOCK

Product Type:

Alleged Damages:

\$32,907.07



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 95-03236

Date Notice/Process Served: 08/30/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/19/1996

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement

LEHMAN SETTLED WITH THE CLIENT. LEHMAN TOOK FULL RESPONSIBILITY WITH NO COCONSEQUENCES OF WRONGDOING BY THE BROKER. AMOUNT OF SETTLEMENT LEHMAN PAID WAS \$10,000.00 IN OCTOBER 1989 THE CLIENT AGREED TO PURCHASE GREAT AMERICAN COMMUNICATIONS. AFTER A FEW WEKS THE STOCK LOST APPROXIMATELY 60% OF THE VALUE AND THE CLIENT SAID HE WAS NOT GOING TO MEET HIS MARGIN CALLS. THE CLIENT SIGNED AND CARRIED A MARGIN ACCOUNT MONTHS BEFORE THIS PARTICULAR TRADE. THE CLIENT EVENTUALLY SAID TO SELL EVERYTHING IN THE ACCOUNT. SIX YEARS LATER IN SEPTEMBER 1995 THE CLIENT SAID THE TRADE WAS UNAUTHORIZED. LEHMAN SESETTLED FOR \$10,000 AND FOUND NO WRONGDOING ON THE PART OF THE BROKER



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm
Employer Name: ADVANCED EQUITIES INC.
Termination Type: Discharged
Termination Date: 04/24/2006
Allegations: VIOLATION OF THE FIRM'S POLICIES AND PROCEDURES AND NASD RULE 2110
Product Type: No Product
Other Product Types:

Reporting Source: Broker
Employer Name: ADVANCED EQUITIES, INC.
Termination Type: Discharged
Termination Date: 04/24/2006
Allegations: VIOLATION OF THE FIRM'S POLICIES AND PROCEDURES AND NASD RULE 2110
Product Type: No Product
Other Product Types:

Broker Statement DISCHARGE RESULTED FROM PERSONAL ISSUES THAT CONFLICTED WITH THE FIRM'S POLICIES AND PROCEDURES. THE VIOLATION OF THESE POLICIES AND PROCEDURES CAUSED A DIRECT CONFLICT WITH THE FIRM'S MANAGEMENT. AFTER FURTHER REVIEW AND MANAGEMENT CHANGES, IT WAS DEEMED APPROPRIATE TO REHIRE. THE TERMINATION WAS NOT A RESULT OF A SECURITIES VIOLATION.

Disclosure 2 of 2

Reporting Source: Broker
Employer Name: DAVID A. NOYES & COMPANY



Termination Type:	Permitted to Resign
Termination Date:	11/23/1999
Allegations:	DAVID A. NOYES & COMPANY WAS CONTACTED BY CUSTOMERS REGARDING THEIR OFFSHORE INVESTMENT. THE INVESTMENT WAS NOT ON THE FIRM'S BOOKS AND RECORDS.
Product Type:	Other
Other Product Types:	EURODOLLAR INVESTMENT
Broker Statement	DAVID A. NOYES & COMPANY WAS ADVISED BY CUSTOMERS THAT THEY HAD FORWARDED FUNDS DIRECTLY TO THE REPRESENTATIVE FOR AN OFFSHORE INVESTMENT. ACCORDING TO THE FIRM THE INVESTMENT WAS NOT ON ITS RECORDS BUT WAS ACKNOWLEDGED BY THE OFFSHORE COMPANY. THE CUSTOMERS RECEIVED THEIR FUNDS BACK.

End of Report



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