

BrokerCheck Report

PFILIP GARDNYR HUNT JR

CRD# 1613985

<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.



PFILIP G. HUNT JR
CRD# 1613985

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:

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

Registration History

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

- B HARBOR FINANCIAL SERVICES, LLC**
CRD# 25700
MOBILE, AL
10/2013 - 12/2018
- B GARDNYR MICHAEL CAPITAL, INC.**
CRD# 30520
MOBILE, AL
08/1992 - 11/2013
- B SUMMIT CAPITAL MARKETS, INC.**
CRD# 27883
04/1991 - 07/1992

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	4

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 3 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Financial and Operations Principal Examination	Series 27	03/05/1991
B Municipal Securities Principal Examination	Series 53	01/03/1991
B General Securities Principal Examination	Series 24	11/05/1990

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Municipal Advisor Representative Qualification Exam	Series 50	02/15/2016
B General Securities Representative Examination	Series 7	04/18/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/12/1994

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 10/2013 - 12/2018	HARBOR FINANCIAL SERVICES, LLC	25700	MOBILE, AL
B 08/1992 - 11/2013	GARDNYR MICHAEL CAPITAL, INC.	30520	MOBILE, AL
B 04/1991 - 07/1992	SUMMIT CAPITAL MARKETS, INC.	27883	
B 04/1987 - 04/1991	SOUTHEASTERN CAPITAL GROUP, INC.	7371	MAITLAND, FL

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
10/2013 - Present	HARBOR FINANCIAL SERVICES, LLC	REGISTERED REP	Y	MOBILE, AL, 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.

1. SELF, ST GEORGE ISLAND, FL BEACH HOUSE RENTAL, OWNER, 0 HOURS, REAL ESTATE INVESTMENT.
2. MARRIOTT VACATION CLUB TIME SHARE CONDO, OWNER, 0 HOURS, INVESTMENT
3. HAWKS LLC, PARTNER 1/6, OFFICE BUILDING, 0 HOURS, REAL ESTATE.
4. CHT DEVELOPERS LLC & CHT GENERAL LLC- BOTH DORMANT, PARTNER 1/3, 0 HOURS, REAL ESTATE
5. LAKE TAXAWAY PROPERTY, LLC & GULF SHORES PROPERTY LLC, RENTAL PROPERTY, PARTNER 1/3, 0 HOURS, REAL ESTATE.
6. PHTM, LLC, RENTAL PROPERTY, PARTNER 50%, 0 HOURS, REAL ESTATE.
7. WRATHELL HUNT & ASSOCIATES, LLC. MANAGING MEMBER. SPECIAL DISTRICT MANAGEMENT OF GOVERNMENTAL AGENCIES



Registration and Employment History

Other Business Activities, continued

CREATED FOR DEVELOPMENT PURPOSES. 5 DAYS PER MONTH. INVESTMENT RELATED.

8. 2H HOLDINGS LLC., INTERNET BASED JEWELRY SALES, PARTNER 50%, 4 HOURS PER MONTH, RETAIL

9. MOBILE BAY NATIONAL ESTUARY PROGRAM, BOARD MEMBER, 1 HOUR PER MONTH, VOLUNTEER FOR NON-PROFIT ORGANIZATION

10. GAP WEB VENTURES, LLC, OWNER, 4 HOUR PER MONTH, INTERNET RETAILER-THE RUSTED KEY.COM, NOT SECURITIES RELATED

11. GAP Capital, LLC, Managing Member, Pass thru entity for fees and expenses, 11/23/15 start, 1 hour per month, 0 during business hours. Not securities related.

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.
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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	4	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 4

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 08/09/2012

Docket/Case Number: [2011026664301](#)

Employing firm when activity occurred which led to the regulatory action: GARDNYR MICHAEL CAPITAL, INC.

Product Type: No Product

Allegations: WILLFULLY VIOLATED MSRB RULES G-17, G-27 - PFILIP HUNT, AS HIS MEMBER FIRM'S PRESIDENT AND CHIEF COMPLIANCE OFFICER, WAS DIRECTLY RESPONSIBLE FOR ITS FAILURE TO ADOPT, MAINTAIN OR ENFORCE WRITTEN SUPERVISORY PROCEDURES REGARDING RATINGS TRIPS. IN PARTICULAR, THERE WERE NO PROCEDURES PERTAINING TO REIMBURSEMENT OF RATINGS TRIP EXPENSES. HUNT WAS RESPONSIBLE FOR SUPERVISING THE FIRM'S VICE PRESIDENT AND OTHER REGISTERED REPRESENTATIVES WHO ARRANGED FOR AND/OR PARTICIPATED IN RATINGS TRIPS AND SOUGHT AND OBTAINED REIMBURSEMENT OF RATINGS TRIP EXPENSES FROM BOND OFFERINGS. HUNT LIMITED HIS ACTIVITIES TO REVIEWING TRIP ITINERARIES BEFORE OR AFTER THE



RATINGS TRIP WAS UNDERTAKEN. NO ONE SUPERVISED A TRIP
ARRANGED BY HUNT OR EFFORTS UNDERTAKEN TO SEEK AND OBTAIN
REIMBURSEMENT OF THE TRIP EXPENSES.

Current Status:	Final
Resolution:	Decision
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:	02/18/2014
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?	Yes
(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?	No



(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

No

(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?

No

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

ALL PRINCIPAL CAPACITIES

Duration:

THREE BUSINESS DAYS

Start Date:

03/03/2014

End Date:

03/05/2014

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$10,000.00**Portion Levied against individual:** \$10,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 03/05/2014**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement**

HEARING PANEL DECISION RENDERED DECEMBER 31, 2013 WHEREIN HUNT WAS FOUND TO HAVE WILLFULLY VIOLATED MSRB RULES G-17 AND G-27 BY FAILING TO ADOPT, MAINTAIN, OR ENFORCE WRITTEN SUPERVISORY PROCEDURES FOR BOND RATING TRIPS AND FAILING TO SUPERVISE BOND RATING TRIPS. HUNT WAS FINED \$10,000 FOR MSRB RULE VIOLATIONS AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR THREE BUSINESS DAYS. THE FINE SHALL BE DUE ON A DATE SET BY FINRA, BUT NOT SOONER THAN 30 DAYS AFTER THIS DECISION BECOMES FINRA'S FINAL DISCIPLINARY ACTION IN THIS PROCEEDING. DECISION BECAME FINAL FEBRUARY 18, 2014. THE SUSPENSION IS IN EFFECT FROM MARCH 3, 2014, THROUGH MARCH 5, 2014.

AMENDED HEARING PANEL DECISION ISSUED JANUARY 28, 2014: THE AMENDED DECISION WAS ISSUED TO MAKE CLEAR THAT THE HEARING PANEL FOUND RESPONDENT'S VIOLATIONS TO BE WILLFUL.

Reporting Source: Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Other: N/A**Date Initiated:** 08/09/2012**Docket/Case Number:** [2011026664301](#)



Employing firm when activity occurred which led to the regulatory action: GARDNYR MICHAEL CAPITAL, INC.

Product Type: No Product

Allegations: WILLFULLY VIOLATED MSRB RULES G17, G27, PFILIP HUNT, AS HIS MEMBER FIRMS PRESIDENT AND CHIEF COMPLIANCE OFFICER, WAS DIRECTLY RESPONSIBLE FOR ITS FAILURE TO ADOPT, MAINTAIN OR ENFORCE WRITTEN SUPERVISORY PROCEDURES REGARDING RATING TRIPS. IN PARTICULAR, THERE WERE NO PROCEDURES PERTAINING TO REIMBURSEMENT OF RATINGS TRIP EXPENSES. HUNT WAS RESPONSIBLE FOR SUPERVISING THE FIRMS VICE PRESIDENT AND OTHER REGISTERED REPRESENTATIVES WHO ARRANGED FOR AND/OR PARTICIPATED IN RATINGS TRIPS AND SOUGHT AND OBTAINED REIMBURSEMENT OF RATINGS TRIP EXPENSES FROM BOND OFFERINGS. HUNT LIMITED HIS ACTIVITIES TO REVIEWING TRIP ITINERARIES BEFORE OR AFTER THE RATINGS TRIP WAS UNDERTAKEN. NO ONE SUPERVISED A TRIP ARRANGEMENT BY HUNT OR EFFORTS UNDERTAKEN TO SEEK AND OBTAIN REIMBURSEMENT OF THE TRIP EXPENSES

Current Status: Final

Resolution: Decision

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 03/05/2014

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: PRINCIPAL

Duration: 3 DAYS

Start Date: 03/03/2014

End Date: 03/05/2014

Monetary Sanction 1 of 1



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

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 03/05/2014

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

HEARING PANEL DECISION RENDERED DECEMBER 31, 2013 WHEREIN HUNT WAS FOUND TO HAVE WILLFULLY VIOLATED MSRB RULES G-17 AND G-27 BY FAILING TO ADOPT, MAINTAIN, OR ENFORCE WRITTEN SUPERVISORY PROCEDURES FOR BOND RATING TRIPS AND FAILING TO SUPERVISE BOND RATING TRIPS. HUNT WAS FINED \$10,000 FOR MSRB RULE VIOLATIONS AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR THREE BUSINESS DAYS. IF THIS DECISION BECOMES FINRA'S FINAL DISCIPLINARY ACTION, HUNT'S SUSPENSION SHALL BECOME EFFECTIVE ON THE OPENING OF BUSINESS ON MARCH 3, 2014, AND SHALL END AT THE CLOSE OF BUSINESS ON MARCH 5, 2014. THE FINE SHALL BE DUE ON A DATE SET BY FINRA, BUT NOT SOONER THAN 30 DAYS AFTER THIS DECISION BECOMES FINRA'S FINAL DISCIPLINARY ACTION IN THIS PROCEEDING. IF NO FURTHER ACTION, DECISION IS FINAL FEBRUARY 18, 2014. AMENDED HEARING PANEL DECISION ISSUED JANUARY 28, 2014: THE AMENDED DECISION WAS ISSUED TO MAKE CLEAR THAT THE HEARING PANEL FOUND RESPONDENT'S VIOLATIONS TO BE WILLFUL.

Disclosure 2 of 4

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 12/02/2011

Docket/Case Number: [2009016034101](#)



Employing firm when activity occurred which led to the regulatory action:	GARDNYR MICHAEL CAPITAL, INC.
Product Type:	No Product
Allegations:	WILLFULLY VIOLATED MSRB RULE G-3 - A MEMBER FIRM, THROUGH HUNT, IMPERMISSIBLY PERMITTED A REPRESENTATIVE TO FUNCTION AS A MUNICIPAL SECURITIES PRINCIPAL WHILE HE WAS NOT REGISTERED OR QUALIFIED TO ACT IN THAT CAPACITY.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
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:	12/20/2012
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
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?

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: 01/03/2013

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement HUNT VIOLATED MSRB RULE G-3. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, HUNT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$7,500 FOR MSRB RULE VIOLATIONS. FINE PAID IN FULL ON 1/3/2013.

Reporting Source: Broker

Regulatory Action Initiated By: FINRA



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

Date Initiated: 12/02/2011

Docket/Case Number: [2009016034101](#)

Employing firm when activity occurred which led to the regulatory action: GARDNYR MICHAEL CAPITAL, INC.

Product Type: Debt-Municipal

Allegations: FROM AT LEAST SEPTEMBER 21, 2007 THROUGH SEPTEMBER 13, 2009, PIETKIEWICZ FUNCTIONED AS A MUNICIPAL SECURITIES PRINCIPAL FOR GMCI, WHILE HE WAS NOT REGISTERED OR QUALIFIED TO ACT IN THAT CAPACITY. GMCI, THROUGH ITS OWNER, PRESIDENT, AND CHIEF COMPLIANCE OFFICER ("CCO"), PFILIP G. HUNT, JR., IMPERMISSIBLY ALLOWED PIETKIEWICZ TO ACT IN THAT CAPACITY. AS A RESULT OF THE FOREGOING, GMCI WILLFULLY VIOLATED MSRB RULES G-2 AND G-3, AND PIETKIEWICZ AND HUNT WILLFULLY VIOLATED MSRB RULE G-3.

BETWEEN 2008 AND MAY 31, 2009, GMCI FILED 10 OFFICIAL STATEMENTS AND FORM G-36(OS)S WITH THE MSRB LATE. IN AUGUST 2009, THE FIRM FILED ONE OFFICIAL STATEMENT WITH THE EMMA LATE. AS A RESULT OF THE FOREGOING, GMCI WILLFULLY VIOLATED MSRB RULES G-32 AND G-36.

Current Status: Final

Resolution: Settled

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: 12/21/2012

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

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: PAID IN FULL

Is Payment Plan Current: Yes

Date Paid by individual: 12/30/2012

Was any portion of penalty waived? No

Amount Waived:

Disclosure 3 of 4

Reporting Source: Broker

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC DISTRICT 7

Sanction(s) Sought:

Date Initiated: 05/01/1996

Docket/Case Number: C079500

Employing firm when activity occurred which led to the regulatory action: GARDNYR MICHAEL CAPITAL, INC.

Product Type: No Product

Allegations: GARDNYR MICHAEL CAPITAL INC, ACTING THROUGH PFILIP GARDNYR HUNT, JR FAILED TO FILE FROM G-37 AS OF DECEMBER 31, 1995 WITHING 30 DAYS AFTER THE END OF THE CALENDAR QUARTER, IN VIOLATION OF MSRB RULE G-37.

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: 05/03/1996



Sanctions Ordered: Censure
Broker Statement NOT PROVIDED

Disclosure 4 of 4

Reporting Source: Regulator
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/08/1996

Docket/Case Number: C07960073

Employing firm when activity occurred which led to the regulatory action: GARDNYR MICHAEL CAPITAL, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/08/1996

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

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ON NOVEMBER 8, 1996, DISTRICT NO. 7 NOTIFIED GARDNYR MICHAEL CAPITAL, INC. AND PFILIP GARDNYR HUNT, JR. THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C07960073 WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$1,000, JOINTLY AND SEVERALLY - (MSRB RULE G-37 - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT HUNT, FAILED TO FILE FORM G-37 WITHIN 30 DAYS AFTER THE END OF THE CALENDAR QUARTER).



\$1,000.00 PAID J&S ON 12/03/96, INVOICE #96-07-855

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD REGULATION - DISTRICT 7
Sanction(s) Sought:	
Date Initiated:	11/08/1996
Docket/Case Number:	C07960073
Employing firm when activity occurred which led to the regulatory action:	GARDNYR MICHAEL CAPITAL, INC.
Product Type:	No Product
Allegations:	GARDNYR MICHAEL CAPITAL FAILED TO FILE ONE OF ITS PAST G-37/G-38 REPORTS IN A TIMELY MANNER.
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:	11/08/1996
Sanctions Ordered:	Censure
Broker Statement	GARDNYR MICHAEL CAPITAL FILED A G-37/G-38 REPORT APPROXIMATELY 10 DAYS LATE.

End of Report



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