BrokerCheck Report

JOSEPH CAREY CANOUSE

CRD# 1708293

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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.
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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 C. CANOUSE

CRD# 1708293

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:

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

Registration History

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

B **J.P. CAREY SECURITIES, INC.**
CRD# 43646
ALPHARETTA, GA
01/1998 - 12/2005

B **BRAXTON-STELLAR SECURITIES, INC.**
CRD# 36489
ATLANTA, GA
01/1996 - 01/1997

B **DISCOVERY CAPITAL GROUP, INC.**
CRD# 29355
CORAL SPRINGS, FL
09/1995 - 12/1995

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3
Civil Event	1

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Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

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Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Principal Examination	Series 24	02/15/1996

General Industry/Product Exams

Exam		Category	Date
B	General Securities Representative Examination	Series 7	07/18/1987

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	09/04/1987

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following securities firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	01/1998 - 12/2005	J.P. CAREY SECURITIES, INC.	43646	ALPHARETTA, GA
B	01/1996 - 01/1997	BRAXTON-STELLAR SECURITIES, INC.	36489	ATLANTA, GA
B	09/1995 - 12/1995	DISCOVERY CAPITAL GROUP, INC.	29355	CORAL SPRINGS, FL
B	10/1992 - 04/1995	JOSEPHTHAL LYON & ROSS INCORPORATED	3227	NEW YORK, NY
B	03/1992 - 09/1992	CHATFIELD DEAN & CO., INC.	14714	GREENWOOD VILLAGE, CO
B	10/1990 - 02/1991	VENTURE TRADING, INC.	21404	NEW YORK, NY
B	05/1990 - 09/1990	MLB INVESTMENTS, LTD.	18280	
B	03/1989 - 05/1990	FIRST EAGLE, INC.	16509	
B	08/1987 - 10/1989	F.D. ROBERTS SECURITIES, INC.	693	
B	02/1989 - 03/1989	HUBERMAN SECURITIES CORP.	10133	

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
07/1997 - Present	J.P. CAREY SECURITIES, INC.	NOT PROVIDED	Y	ATLANTA, GA, United States
01/1996 - Present	BRAXTON-STELLAR SECURITIES, INC.	NOT PROVIDED	Y	ATLANTA, GA, United States
12/1995 - Present	J.P. CAREY, INC	PRESIDENT - President	N	ATLANTA, GA, United States

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Disclosure Events

What you should know about reported disclosure events:

1. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	3	0
Civil Event	1	0

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Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	03/17/1999
Docket/Case Number:	C07990011
Employing firm when activity occurred which led to the regulatory action:	J.P. CAREY SECURITIES INC.
Product Type:	No Product
Allegations:	NASD RULE 1120 - RESPONDENT CANOUSE FUNCTIONED AS PRESIDENT OF THE FIRM WHILE HIS REGISTRATION WAS INACTIVE AS A RESULT OF HIS FAILURE TO SATISFY THE REGULATORY ELEMENT OF THE NASD'S CONTINUING EDUCATION PROGRAM.
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:	03/17/1999
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, CANOUSE

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CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED $10,000, JOINTLY AND SEVERALLY. FINE PAID ON 04/21/99.

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD REGULATIO*SEE FAQ #1*
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	03/17/1999
Docket/Case Number:	C07990011
Employing firm when activity occurred which led to the regulatory action:	J.P. CAREY SECURITIES INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	FUNCTIONS AS PRESIDENT OF J.P. CAREY SECURITIES, INC. BETWEEN 1/12/98 AND 5/12/98 WHILE HIS REGISTRATION WAS INACTIVE AS A RESULT OF FAILURE TO SATISFY NASD'S REGULATORY ELEMENT OF THE CONTINUING EDUCATION PROGRAM.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/17/1999
Sanctions Ordered:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
Sanction Details:	MONETARY SANCTION OF $10,000.
Broker Statement	NOT PROVIDED

Disclosure 2 of 3

Reporting Source:	Regulator

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Regulatory Action Initiated By:	ILLINOIS SECURITIES DEPARTMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/29/1993
Docket/Case Number:	9200242
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	FINDINGS CONTAINED IN THE JUNE 24, 1992, FLORIDA DEPARTMENT OF BANKING AND FINANCE, DIVISION OF SECURITIES AND IONVESTOR PROTECTION ENTERED A FINAL ORDER PROVIDING GROUNDS TO REVOKE THE RESPONDENT'S SALESPERSON'S REGISTRATION PURSUANT TO SECTIONS 8.E(1)(K) AND 8.E(1)(B) OF THE ILLINOIS SECURITIES LAW OF 1953, AS AMENDED.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	01/29/1993
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	A CONSENT ORDER OF WITHDRAWAL WAS ISSUED JANUARY 29, 1993, WHICH PERMITS THE RESPONDENT, WITHOUT ADMITTING OR DENYING THE MATTERS ALLEGED IN THE NOTICE OF HEARING, TO WITHDRAW HIS SALESPERSON REGISTRATION PURSUANT TO THE RESPONDENT'S AGREEMENT NOT TO REAPPLY FOR A PERIOD OF THREE (3) YEARS. THE FORMAL ADMINISTRATIVE HEARING HAS BEEN DISMISSED.
Regulator Statement	Not Provided

Reporting Source:	Broker

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Regulatory Action Initiated By:	ILLINOIS SECURITIES DEPARTMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/29/1993
Docket/Case Number:	9200242
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	FINDINGS CONTAINED IN THE JUNE 24, 1992 FLORIDA DEPARTMENT OF BANKING AND FINANCE DIVISION OF SECURITIES AND INVESTOR PROTECTION ENTERED A FINAL ORDER PROVIDING GROUNDS TO REVOKE THE RESPONDENT`S SALESPERSON`S REGISTRATION PURSUANT TO SECTIONS 8,E(1) (K) AND 8, E(1) (B) OF THE ILLINOIS SECURITIES LAW OF 1953, AS AMENDED
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	01/29/1993
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	A CONSENT ORDER OF WITHDRAWAL WAS ISSUED JANUARY 29, 1993 WHICH PERMITS THE RESPONDANT, WITHOUT ADMITTING OR DENYING THE MATTERS ALLEGED IN THE NOTICE OF HEARING, TO WITHDRAW HIS SALESPERSON REGISTRATION PURSUANT TO THE RESPONDENTS AGREEMENT NOT TO REAPPLY FOR A PERIOD OF THREE (3) YEARS. THE FORMAL ADMINISTRATIVE HEARING HAS BEEN DISMISSED.
Broker Statement	I ACKNOWLEDGE THAT THE SECRETARY OF STATE HAS ISSUED THE NOTICE CONTAINING ALLEGATIONS PURSUANT TO SECTION 8, E(1) (K), AND 8, E(1) (B) OF THE ACT. I NEITHER ADMIT NOR DENY THE TRUTH OF THE ALLEGATIONS CONTAINED IN THE NOTICE.

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Disclosure 3 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/24/1992
Docket/Case Number:	1376-S-10/90
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Order
Resolution Date:	06/24/1992
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	ON JUNE 24, 1992, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ISSUED A FINAL ORDER IN WHICH RESPONDENT JOSEPH C. CANOUSE WAS ORDERED TO CEASE AND DESIST FROM ALL VIOLATIONS OF RULE 3E-600.012(5), FLORIDA ADMINISTRATIVE CODE. ADDITIONALLY, CANOUSE IS REPRIMANDED FOR VIOLATIONS OF RULE 3E-600.12(5), FLORIDA ADMINISTRATIVE CODE, AS ORDERED BY THE ADMINISTRATIVE HEARING OFFICER WHO FOUND THAT CANOUSE HAD VIOLATED THE PROVISIONS OF THE AFORMENTIONED RULE.
Regulator Statement	Not Provided

Reporting Source:	Broker
Regulatory Action Initiated	FLORIDA DIVISION OF SECURITIES AND INVESTOR

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By:	PROTECT*SEE FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/24/1992
Docket/Case Number:	1376-S-10/90
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	RESPONDENT WAS ALLEGED TO HAVE VIOLATED FLORIDA ADMINISTRATIVE CODE RULE 3E-600,012(S). NO FEES OR SUSPENSIONS WERE SOUGHT.
Current Status:	Final
Resolution:	Order
Resolution Date:	06/24/1992
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	ON JUNE 24, 1992 THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ISSUED A FINAL ORDER IN WHICH RESPONDENT JOSEPH C. CANOUSE WAS ALLEGED TO VIOLATED FLORIDA ADMINISTRATIVE CODE ADDITIONALLY CANOUSE WAS REPRIMANDED FOR VIOLATIONS OF RULE 3E-600,012(S) FLORIDA ADMINISTRATIVE CODE, AS ORDERED BY THE ADMINISTRATIVE HEARING OFFICER WHO FOUND THAT CANOUSE HAD VIOLATED PROVISIONS OF THE AFOREMENTIONED RULE.
Broker Statement	NOT PROVIDED

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Civil - Final

This type of disclosure event involves an injunction issued by a court in connection with investment-related activity or a finding by a court of a violation of any investment-related statute or regulation.

Disclosure 1 of 1

Reporting Source:	Broker
Initiated By:	BUSSCHAERT & COMPANY, ET. AL.
Relief Sought:	Other
Other Relief Sought:	ACTUAL, COMPENSATORY, CONSEQUENTIAL, TREBLE AND PUNITIVE DAMAGES.
Date Court Action Filed:	11/14/2000
Date Notice/Process Served:	11/22/2000
Product Type:	Equity - OTC
Other Product Types:	
Court Details:	SUPERIOR COURT OF FULTON COUNTY, STATE OF GEORGIA, # 2000CV30612 AND 2002CV47605
Employing firm when activity occurred which led to the action:	J. P. CAREY ENTERPRISES, INC.
Allegations:	ALLEGATIONS INCLUDE FRAUD, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, AND VIOLATION OF GEORGIA RICO STATUTES.
Current Status:	Final
Resolution:	Judgment Rendered
Resolution Date:	09/02/2005
Sanctions Ordered or Relief Granted:	
Other Sanctions:	
Sanction Details:	
Broker Statement	ORDER GRANTING DEFENDANTS' MOTION FOR SUMMARY JUDGMENT ON ALL COUNTS IN THE SUPERIOR COURT OF FULTON COUNTY, GA, DATED 9/2/2005.

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THE ACTIONS AND ALLEGATIONS STEM FROM FINANCING TRANSACTIONS IN CHICH J. P. CAREY ENTERPRISES, INC. (J. P. CAREY SECURITIES DID NOT EXIST AT THIS TIME) INTRODUCED BUSSCHAERT TO CERTAIN COMPANIES IN WHICH BUSSCHAERT INVESTED.

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End of Report

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