

BrokerCheck Report

GUY STEVEN AMICO

CRD# 1723157

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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.

**GUY S. AMICO**

CRD# 1723157

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

IA NFSG CORPORATION
 1200 NORTH FEDERAL HIGHWAY
 SUITE 400
 BOCA RATON, FL 33432
 CRD# 130814
 Registered with this firm since: 06/01/2005

B NEWBRIDGE SECURITIES CORPORATION
 1200 NORTH FEDERAL HIGHWAY
 SUITE 400
 BOCA RATON, FL 33432
 CRD# 104065
 Registered with this firm since: 08/31/2000

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

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

This broker has passed:

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

Registration History

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

- B GKN SECURITIES CORP.**
 CRD# 19415
 NEW YORK, NY
 03/1999 - 08/2000
- B FIRST AMERICAN EQUITIES, INC.**
 CRD# 31091
 FT LAUDERDALE, FL
 11/1998 - 02/1999
- B JOSEPH CHARLES & ASSOC., INC.**
 CRD# 3949
 BOCA RATON, FL
 12/1991 - 09/1998

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Customer Dispute	2



Broker Qualifications

Registrations

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

This individual is currently registered with 2 SROs and is licensed in 47 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **NEWBRIDGE SECURITIES CORPORATION**

Main Office Address: **1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432**

Firm CRD#: **104065**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/31/2000
B	FINRA	General Securities Representative	Approved	08/31/2000
B	FINRA	Investment Banking Representative	Approved	02/03/2015
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	FINRA	Direct Participation Programs	Approved	02/13/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	02/13/2019
B	FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	02/13/2019
B	FINRA	Municipal Securities Representative	Approved	02/13/2019
B	FINRA	Operations Professional	Approved	02/13/2019
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/08/2019
B	Alaska	Agent	Approved	10/13/2020

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/24/2019
B	Arkansas	Agent	Approved	10/17/2019
B	California	Agent	Approved	09/10/2019
B	Colorado	Agent	Approved	12/19/2019
B	Connecticut	Agent	Approved	09/09/2019
B	Delaware	Agent	Approved	10/24/2019
B	District of Columbia	Agent	Approved	09/19/2019
B	Florida	Agent	Approved	09/01/2000
B	Georgia	Agent	Approved	11/21/2019
B	Hawaii	Agent	Approved	11/16/2020
B	Idaho	Agent	Approved	08/13/2020
B	Illinois	Agent	Approved	09/04/2019
B	Indiana	Agent	Approved	12/15/2000
B	Iowa	Agent	Approved	09/12/2019
B	Kansas	Agent	Approved	10/20/2020
B	Kentucky	Agent	Approved	10/15/2020
B	Louisiana	Agent	Approved	09/20/2019
B	Maryland	Agent	Approved	09/19/2019
B	Massachusetts	Agent	Approved	09/08/2020
B	Michigan	Agent	Approved	09/19/2019
B	Minnesota	Agent	Approved	09/17/2019

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Mississippi	Agent	Approved	09/24/2019
B	Montana	Agent	Approved	11/26/2019
B	Nevada	Agent	Approved	10/31/2019
B	New Hampshire	Agent	Approved	09/02/2020
B	New Jersey	Agent	Approved	11/25/2019
B	New Mexico	Agent	Approved	09/17/2019
B	New York	Agent	Approved	06/06/2019
B	North Carolina	Agent	Approved	09/18/2019
B	North Dakota	Agent	Approved	09/23/2019
B	Ohio	Agent	Approved	09/12/2019
B	Oklahoma	Agent	Approved	10/13/2020
B	Oregon	Agent	Approved	11/15/2019
B	Pennsylvania	Agent	Approved	11/15/2019
B	Puerto Rico	Agent	Approved	02/09/2022
B	Rhode Island	Agent	Approved	09/24/2019
B	South Carolina	Agent	Approved	09/16/2019
B	Texas	Agent	Approved	09/13/2019
B	Utah	Agent	Approved	01/30/2020
B	Vermont	Agent	Approved	08/13/2020
B	Virgin Islands	Agent	Approved	12/13/2023
B	Virginia	Agent	Approved	12/26/2019



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	01/10/2020
B	West Virginia	Agent	Approved	10/15/2019
B	Wisconsin	Agent	Approved	10/11/2019

Branch Office Locations

NEWBRIDGE SECURITIES CORPORATION
 1200 NORTH FEDERAL HIGHWAY
 SUITE 400
 BOCA RATON, FL 33432

Employment 2 of 2

Firm Name: **NFSG CORPORATION**
 Main Office Address: **1200 NORTH FEDERAL HIGHWAY**
SUITE 400
BOCA RATON, FL 33432
 Firm CRD#: **130814**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	06/01/2005
IA	Florida	Investment Adviser Representative	Approved	12/23/2019
IA	Louisiana	Investment Adviser Representative	Approved	01/15/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	09/19/2019

Branch Office Locations

1200 NORTH FEDERAL HIGHWAY

Broker Qualifications



Employment 2 of 2, continued

SUITE 400
BOCA RATON, FL 33432



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, 8 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	10/27/1992

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Limited Representative-Private Securities Offerings	Series 82TO	01/02/2023
B Direct Participation Programs Representative Examination	Series 22TO	01/02/2023
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/21/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/04/1988

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 03/1999 - 08/2000	GKN SECURITIES CORP.	19415	NEW YORK, NY
B 11/1998 - 02/1999	FIRST AMERICAN EQUITIES, INC.	31091	FT LAUDERDALE, FL
B 12/1991 - 09/1998	JOSEPH CHARLES & ASSOC., INC.	3949	BOCA RATON, FL
B 07/1991 - 12/1991	PARAGON CAPITAL CORPORATION	18555	EAST HANOVER, NJ
B 11/1987 - 07/1991	J. W. GANT & ASSOCIATES, INC.	7963	

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
08/2000 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	FORT LAUDERDALE, FL, 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) INTELLIGENT HOLDINGS, INC.: WELLINGTON, FL, CORPORATION, FLORIDA-1/2012, PRESIDENT/PARTNER, INTERNET MARKETING & ADVERTISING/BUILD ENTERPRISE, 20-25%.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Customer Dispute	0	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/23/2010
Docket/Case Number:	2007007151705
Employing firm when activity occurred which led to the regulatory action:	NEWBRIDGE SECURITIES, INC.
Product Type:	Penny Stock Other: UNREGISTERED SECURITIES
Allegations:	NASD RULES 2110, 3010 - GUY S. AMICO, AS HIS MEMBER FIRM'S PRESIDENT, FAILED TO ADEQUATELY SUPERVISE THE FIRM'S CHIEF COMPLIANCE OFFICERS (CCOS) AND ANTI-MONEY LAUNDERING COMPLIANCE OFFICERS (AMLCOS). AMICO KNEW, OR SHOULD HAVE KNOWN, OF SUBSTANTIVE VIOLATIONS OF FINRA RULES AND THE POTENTIAL INADEQUACY OF FIRM COMPLIANCE PERSONNEL THROUGH FINRA EXIT CONFERENCE REPORTS THAT THE FIRM FAILED TO PROPERLY REPORT CUSTOMER COMPLAINTS AND OTHER REPORTABLE MATTERS, FAILED TO MAKE FORM U4 OR FORM U5 AMENDMENTS TO REPORT DISCLOSABLE EVENTS OR FAILED TO TIMELY AMEND FORMS U4 OR U5.



AMICO RECEIVED FINRA EXIT CONFERENCE REPORTS REGARDING VIOLATIONS OF THE BANK SECRECY ACT AND FINRA AML RULES. AMICO ALSO RECEIVED SEC WRITTEN FINDINGS IDENTIFYING SUSPICIOUS PENNY STOCK TRANSACTIONS, UNREGISTERED DISTRIBUTION OF SECURITIES, AML PROGRAM ISSUES AND REPORTING VIOLATIONS. AS THE PRESIDENT AND AN OWNER OF THE FIRM, AMICO WAS RESPONSIBLE FOR THE FIRM'S COMPLIANCE WITH REGULATORY REQUIREMENTS IMPOSED ON THE FIRM AND KNEW, OR SHOULD HAVE KNOWN, THAT THE FIRM'S CCOS AND AMLCOS WERE NOT PERFORMING THE COMPLIANCE FUNCTIONS DESIGNATED TO THEM. AMICO KNEW THROUGH FINRA EXIT CONFERENCE REPORTS AND SEC WRITTEN FINDINGS THAT THE FIRM, THROUGH THE CCOS AND AMLCOS, WERE NOT IN COMPLIANCE WITH BANK SECRECY ACT REQUIREMENTS AND NASD RULE 3011 AND THAT ONE OF THE CCOS/AMLCOS HAD A DISCIPLINARY HISTORY BUT FAILED TO TAKE AFFIRMATIVE STEPS TO ENSURE THAT THEY WERE PERFORMING THE AML FUNCTIONS DELEGATED TO THEM. AMICO KNEW, THROUGH FINRA EXIT CONFERENCE REPORTS AND SEC WRITTEN FINDINGS, THAT THE FIRM, THROUGH THE CCOS/AMLCOS WERE NOT MAKING NECESSARY FILINGS UNDER NASD RULE 3070 AND ARTICLE V, SECTIONS 2 AND 3 OF FINRA'S BY-LAWS AND KNEW THAT ONE OF THE CCOS/AMLCOS HAD BEEN FOUND BY FINRA TO HAVE ENGAGED IN SUPERVISORY DEFICIENCIES BUT DID NOT TAKE AFFIRMATIVE ACTION TO ENSURE THAT THE CCOS/AMLCOS WERE PERFORMING REPORTING FUNCTIONS DELEGATED TO THEM.

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:	08/23/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Undertaking
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 PRINCIPAL CAPACITY
Duration:	FOUR MONTHS
Start Date:	09/20/2010
End Date:	01/19/2011

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$100,000.00
Portion Levied against individual:	\$100,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	11/07/2013
Was any portion of penalty waived?	No

Amount Waived:

Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, AMICO CONSENTED TO
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THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$100,000, SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR FOUR MONTHS AND REQUIRED TO COMPLETE EIGHT HOURS OF AML TRAINING. AMICO IS TO REGISTER FOR AML TRAINING WITHIN 60 DAYS OF ISSUANCE OF THIS AWC AND PROVIDE EVIDENCE TO FINRA OF THE REGISTRATION WITHIN 10 DAYS OF REGISTRATION; ATTEND SUCH TRAINING WITHIN SIX MONTHS OF ISSUANCE OF THIS AWC AND PROVIDE FINRA WITH EVIDENCE OF COMPLETION OF TRAINING WITHIN 10 DAYS OF COMPLETION OF THE TRAINING PROGRAM. SUSPENSION IS IN EFFECT FROM SEPTEMBER 20, 2010 THROUGH JANUARY 19, 2011. FINE PAID IN FULL ON 11/07/2013.

Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/23/2010
Docket/Case Number:	2007007151705
Employing firm when activity occurred which led to the regulatory action:	NEWBRIDGE SECURITIES CORPORATION, INC.
Product Type:	Penny Stock Other: UNREGISTERED SECURITIES
Allegations:	NASD RULES 2110, 3010 - GUY S. AMICO, AS HIS MEMBER FIRM'S PRESIDENT, FAILED TO ADEQUATELY SUPERVISE THE FIRM'S CHIEF COMPLIANCE OFFICERS (CCOS) AND ANTI-MONEY LAUNDERING COMPLIANCE OFFICERS (AMLCOS). AMICO KNEW, OR SHOULD HAVE KNOWN, OF SUBSTANTIVE VIOLATIONS OF FINRA RULES AND THE POTENTIAL INADEQUACY OF FIRM COMPLIANCE PERSONNEL THROUGH FINRA EXIT CONFERENCE REPORTS THAT THE FIRM FAILED TO PROPERLY REPORT CUSTOMER COMPLAINTS AND OTHER REPORTABLE MATTERS, FAILED TO MAKE FORM U4 OR FORM U5 AMENDMENTS TO REPORT DISCLOSABLE EVENTS OR FAILED TO TIMELY AMEND FORMS U4 OR U5. AMICO RECEIVED FINRA EXIT CONFERENCE REPORTS REGARDING VIOLATIONS OF THE BANK SECRECY ACT AND FINRA AML RULES. AMICO ALSO RECEIVED SEC WRITTEN FINDINGS IDENTIFYING SUSPICIOUS PENNY STOCK TRANSACTIONS, UNREGISTERED DISTRIBUTION OF SECURITIES, AML PROGRAM ISSUES AND REPORTING VIOLATIONS. AS THE PRESIDENT AND AN OWNER OF THE FIRM, AMICO WAS RESPONSIBLE



FOR THE FIRM'S COMPLIANCE WITH REGULATORY REQUIREMENTS IMPOSED ON THE FIRM AND KNEW, OR SHOULD HAVE KNOWN, THAT THE FIRM'S CCOS AND AMLCOS WERE NOT PERFORMING THE COMPLIANCE FUNCTIONS DESIGNATED TO THEM. AMICO KNEW THROUGH FINRA EXIT CONFERENCE REPORTS AND SEC WRITTEN FINDINGS THAT THE FIRM, THROUGH THE CCOS AND AMLCOS, WERE NOT IN COMPLIANCE WITH BANK SECRECY ACT REQUIREMENTS AND NASD RULE 3011 AND THAT ONE OF THE CCOS/AMLCOS HAD A DISCIPLINARY HISTORY BUT FAILED TO TAKE AFFIRMATIVE STEPS TO ENSURE THAT THEY WERE PERFORMING THE AML FUNCTIONS DELEGATED TO THEM. AMICO KNEW, THROUGH FINRA EXIT CONFERENCE REPORTS AND SEC WRITTEN FINDINGS, THAT THE FIRM, THROUGH THE CCOS/AMLCOS WERE NOT MAKING NECESSARY FILINGS UNDER NASD RULE 3070 AND ARTICLE V, SECTIONS 2 AND 3 OF FINRA'S BY-LAWS AND KNEW THAT ONE OF THE CCOS/AMLCOS HAD BEEN FOUND BY FINRA TO HAVE ENGAGED IN SUPERVISORY DEFICIENCIES BUT DID NOT TAKE AFFIRMATIVE ACTION TO ENSURE THAT THE CCOS/AMLCOS WERE PERFORMING REPORTING FUNCTIONS DELEGATED TO THEM.

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:	08/23/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Undertaking
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY PRINCIPAL CAPACITY
Duration:	FOUR MONTHS
Start Date:	09/20/2010
End Date:	01/19/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)



Total Amount: \$100,000.00

Portion Levied against individual: \$100,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, AMICO CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$100,000, SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR FOUR MONTHS AND REQUIRED TO COMPLETE EIGHT HOURS OF AML TRAINING. AMICO IS TO REGISTER FOR AML TRAINING WITHIN 60 DAYS OF ISSUANCE OF THIS AWC AND PROVIDE EVIDENCE TO FINRA OF THE REGISTRATION WITHIN 10 DAYS OF REGISTRATION; ATTEND SUCH TRAINING WITHIN SIX MONTHS OF ISSUANCE OF THIS AWC AND PROVIDE FINRA WITH EVIDENCE OF COMPLETION OF TRAINING WITHIN 10 DAYS OF COMPLETION OF THE TRAINING PROGRAM. SUSPENSION IS IN EFFECT FROM SEPTEMBER 20, 2010 THROUGH JANUARY 19, 2011.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Other: N/A

Date Initiated: 07/25/2008

Docket/Case Number: 3-13099

Employing firm when activity occurred which led to the regulatory action: NEWBRIDGE SECURITIES CORP.

Product Type: Other: UNSPECIFIED TYPE OF SECURITIES

Allegations: SEC ADMIN RELEASE 33-8946, 34-58223, JULY 25, 2008 : THE UNITED



STATES SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") ANNOUNCED THE ISSUANCE OF AN ORDER INSTITUTING PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTION 8A OF THE SECURITIES ACT OF 1933 ("SECURITIES ACT"), AND SECTIONS 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AGAINST GUY S. AMICO ("RESPONDENT"). THE COMMISSION ALLEGED THAT A FORMER TRADER USED A MEMBER FIRM'S MARKET MAKING CAPACITY TO MANIPULATE SHARES OF STOCKS WHILE ASSOCIATED AS A REGISTERED REPRESENTATIVE WITH A MEMBER FIRM. THE COMMISSION FURTHER ALLEGED THAT THE FIRM AND REPRESENTATIVE PARTICIPATED IN THE UNREGISTERED DISTRIBUTION OF SECURITIES. THE COMMISSION FURTHER ALLEGED THAT AMICO, THE FIRM'S PRESIDENT, FAILED REASONABLY TO SUPERVISE THE INDIVIDUAL IN CONNECTION WITH HIS ACTIVITIES IN THE SECURITIES.

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:	07/23/2010
Sanctions Ordered:	Bar (Permanent) 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?	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?

Yes

Sanction 1 of 1

Sanction Type: Bar (Permanent)
Capacities Affected: SUPERVISORY CAPACITIES
Duration: Indefinite
Start Date: 07/23/2010
End Date:

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$79,000.00
Portion Levied against individual: \$79,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement SEC INITIAL DECISION RELEASE 380, JUNE 9, 2009: PURSUANT TO



SECTION 15(B) OF THE EXCHANGE, GUY S. AMICO SHALL BE BARRED FROM ASSOCIATING WITH ANY BROKER OR DEALER IN A SUPERVISORY CAPACITY; AMICO MAY FILE A PETITION FOR REINSTATEMENT AFTER TWO YEARS FROM THE EFFECTIVE DATE OF THE SUPERVISORY BAR. FURTHER, PURSUANT TO SECTION 21B OF THE EXCHANGE ACT, AMICO SHALL PAY A CIVIL MONETARY PENALTY OF \$79,000.

SEC ADMIN RELEASE 34-62565, JULY 23, 2010: AN ADMINISTRATIVE LAW JUDGE ("ALJ") ISSUED AN INITIAL DECISION IMPOSING SANCTIONS UPON GUY S. AMICO, PRESIDENT OF A REGISTERED BROKER. THE ALJ FOUND THAT AMICO FAILED REASONABLY TO SUPERVISE A FORMER TRADER AT THE REGISTERED BROKER, WITHIN THE MEANING OF SECTIONS 15(B)(4)(E) AND 15(B)(6) OF THE SECURITIES EXCHANGE ACT OF 1934, WITH A VIEW TO DETECTING AND PREVENTING THE FORMER TRADER'S VIOLATIONS OF THE REGISTRATION AND ANTIFRAUD PROVISIONS OF THE FEDERAL SECURITIES LAWS. FOR THESE FAILURES, THE ALJ BARRED RESPONDENT FROM ASSOCIATING WITH A BROKER-DEALER IN A SUPERVISORY CAPACITY WITH A RIGHT TO APPLY FOR REINSTATEMENT AFTER TWO YEARS AND IMPOSED A CIVIL MONETARY PENALTY OF \$79,000.

THE COMMISSION'S OFFICE OF THE GENERAL COUNSEL, ACTING PURSUANT TO DELEGATED AUTHORITY, ISSUED AN ORDER GRANTING RESPONDENT'S PETITION FOR REVIEW OF THE ALJ'S INITIAL DECISION AND DETERMINING, UNDER RULE OF PRACTICE 411(C), TO REVIEW UPON THE COMMISSION'S OWN MOTION WHAT SANCTIONS, IF ANY, ARE APPROPRIATE IN THIS MATTER. THE PARTIES COMPLETED BRIEFING AS SCHEDULED. BY ORDER, THE OFFICE OF THE SECRETARY, ACTING PURSUANT TO DELEGATED AUTHORITY, GRANTED RESPONDENT'S REQUEST FOR ORAL ARGUMENT AND SET THE DATE.

RESPONDENT REQUESTED THAT THEIR PETITION FOR REVIEW BE WITHDRAWN. WE HAVE DETERMINED TO GRANT RESPONDENT'S REQUEST AND TO DISMISS REVIEW OF THE SANCTIONS THAT WE TOOK UP ON OUR OWN MOTION.

THE COMMISSION ORDERED THAT RESPONDENT'S REQUEST TO WITHDRAW HIS PETITION FOR REVIEW OF THE ALJ'S INITIAL DECISION IN THIS MATTER BE, AND HEREBY IS, GRANTED. THE COMMISSION FURTHER ORDERED THAT THE REVIEW OF THE SANCTIONS TO BE IMPOSED IN THIS MATTER, TAKEN IN ACCORDANCE WITH RULE OF PRACTICE 411(C), BE, AND IT HEREBY IS, DISMISSED.

THE COMMISSION ALSO GAVE NOTICE THAT THE INITIAL DECISION OF THE ALJ HAS BECOME THE FINAL DECISION OF THE COMMISSION WITH RESPECT TO RESPONDENT. THEREFORE, THE ORDER IN THAT DECISION



IMPOSING A BAR UPON RESPONDENT FROM ASSOCIATING WITH ANY BROKER OR DEALER IN A SUPERVISORY CAPACITY WITH A RIGHT TO FILE FOR REINSTATEMENT AFTER TWO YEARS, AND IMPOSING A CIVIL MONEY PENALTY OF \$79,000, WAS DECLARED EFFECTIVE ON JULY 23, 2010.

Reporting Source: Broker

Regulatory Action Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Other: N/A

Date Initiated: 07/25/2008

Docket/Case Number: 3-13099

Employing firm when activity occurred which led to the regulatory action: NEWBRIDGE SECURITIES CORPORATION

Product Type: Other: UNSPECIFIED TYPE OF SECURITIES

Allegations: SEC ADMINISTRATIVE RELEASES 33-8946 AND 34-58223, JULY 25, 2008: THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION (COMMISSION) ANNOUNCED THE ISSUANCE OF AN ORDER INSTITUTING PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTION 8A OF THE SECURITIES ACT OF 1933, AND SECTIONS 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 (ORDER) AGAINST GUY S. AMICO. THE DIVISION OF ENFORCEMENT ALLEGES IN THE ORDER THAT IN 2003 AND 2004, WHILE ASSOCIATED AS A REGISTERED REPRESENTATIVE WITH A MEMBER FIRM, AN INDIVIDUAL USED THE FIRM'S MARKET MAKING CAPACITY TO MANIPULATE SHARES OF STOCKS. THE ORDER FURTHER ALLEGES THAT THE FIRM AND REPRESENTATIVE PARTICIPATED IN THE UNREGISTERED DISTRIBUTION OF SECURITIES. THE ORDER FURTHER ALLEGES THAT AMICO, THE FIRM'S PRESIDENT, FAILED REASONABLY TO SUPERVISE THE INDIVIDUAL IN CONNECTION WITH HIS ACTIVITIES IN THE SECURITIES.

Current Status: Final

Action Appealed To: SEC

Date Appeal filed: 06/30/2009

Appeal Limitation Details:

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:	06/09/2009
Sanctions Ordered:	Bar (Temporary/Time Limited) Civil and Administrative Penalty(ies)/Fine(s)
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	GENERAL SECURITIES PRINCIPAL
Duration:	TWO YEARS
Start Date:	07/23/2010
End Date:	07/23/2012
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$79,000.00
Portion Levied against individual:	\$79,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	THE ALLEGATIONS IN THIS PROCEEDING CENTERED AROUND THE FIRM'S SUPERVISION OF A FORMER REGISTERED REPRESENTATIVE AND HIS ACTIVITY IN TWO "DESIGNATED SECURITIES" ON BEHALF OF TWO FORMER CLIENTS OF THE FIRM IN 2003 AND 2004, IN A LINE OF BUSINESS IN WHICH THE FIRM NO LONGER ENGAGES. MR. AMICO RESPECTFULLY DISAGREES WITH CERTAIN OF THE FINDINGS MADE BY THE ADMINISTRATIVE LAW JUDGE IN THE INITIAL DECISION AND, THROUGH COUNSEL, HAS FILED A PETITION FOR REVIEW OF THE INITIAL DECISION



TO THE COMMISSIONERS OF THE SEC. THAT PETITION HAS BEEN
ACCEPTED BY THE SEC, AND THE SANCTIONS SET FORTH IN THE INITIAL
DECISION ARE STAYED PENDING THE COMMISSIONERS' DECISION.



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:	Broker
Employing firm when activities occurred which led to the complaint:	GKN SECURITIES CORP.
Allegations:	CLIENT CLAIMS MISREPRESENTATION IN THE SALE OF SECURITIES IN 2000.
Product Type:	Equity-OTC
Alleged Damages:	\$39,587.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	06-01140
Date Notice/Process Served:	04/14/2006
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/11/2006
Monetary Compensation Amount:	\$7,250.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	JOSEPH CHARLES & ASSOC., INC.
Allegations:	MISREPRESENTATION; SUITABILITY; OMISSION OF FACTS; BRCH OF FIDUCIARY DT

**Product Type:****Alleged Damages:** \$17,041.50**Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** UNKNOWN - CASE #93-03140**Date Notice/Process Served:** 08/23/1993**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 04/05/1994**Disposition Detail:** CASE CLOSED,SETTLED/OTHER
Not Provided**Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** JOSEPH CHARLES & ASSOC., INC.**Allegations:** ALLEGED UNSUITABLE RECOMMENDATIONS AND
MISREPRESENTATIONS**Product Type:** Equity - OTC**Alleged Damages:** \$17,041.50**Customer Complaint Information****Date Complaint Received:** 08/23/1993**Complaint Pending?** No**Status:** Settled**Status Date:** 04/05/1994**Settlement Amount:** \$10,000.00**Individual Contribution Amount:** \$5,000.00**Arbitration Information**



Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 93-03140
Date Notice/Process Served:	08/23/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/05/1994
Monetary Compensation Amount:	\$10,000.00
Individual Contribution Amount:	\$5,000.00
Broker Statement	SETTLED FOR \$10,000. CLAIM WAS WITHDRAWN WITHOUT PREJUDICE. I WAS RESPONSIBLE FOR PAYING \$5,000. THE OTHER REPRESENTATIVE WAS RESPONSIBLE FOR THE REMAINING \$5,000. NOT PROVIDED

End of Report



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