

## BrokerCheck Report

**NICHOLAS ALEXANDER LOBASSO**

CRD# 1758735

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**NICHOLAS A. LOBASSO**

CRD# 1758735

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

- B** **ALEXANDER CAPITAL, L.P.**  
 11834 CR 101, SUITE 203  
 The Villages, FL 32162  
 CRD# 40077  
 Registered with this firm since: 09/29/2017

**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:**

- 1 Self-Regulatory Organization
- 30 U.S. states and territories

**This broker has passed:**

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

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

- B** **ARIVE CAPITAL MARKETS**  
 CRD# 8060  
 Bay Ridge, NY  
 04/2015 - 10/2017
- B** **GLOBAL ARENA CAPITAL CORP**  
 CRD# 16871  
 NEW YORK, NY  
 08/2008 - 04/2015
- B** **JOSEPH GUNNAR & CO. LLC**  
 CRD# 24795  
 NEW YORK, NY  
 01/2002 - 08/2008

**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
Customer Dispute	3



## 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 1 SRO and is licensed in 30 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **ALEXANDER CAPITAL, L.P.**  
 Main Office Address: **10 DRS JAMES PARKER BLVD  
 SUITE 202  
 RED BANK, NJ 07701**  
 Firm CRD#: **40077**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/29/2017
B	FINRA	General Securities Representative	Approved	09/29/2017
B	FINRA	Investment Banking Representative	Approved	10/31/2019

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/23/2020
B	Arizona	Agent	Approved	04/30/2020
B	California	Agent	Approved	10/02/2017
B	Colorado	Agent	Approved	05/01/2024
B	Connecticut	Agent	Approved	12/04/2017
B	Florida	Agent	Approved	09/29/2017
B	Georgia	Agent	Approved	05/23/2024
B	Illinois	Agent	Approved	10/20/2017
B	Indiana	Agent	Approved	05/06/2024
B	Iowa	Agent	Approved	05/03/2024

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	05/01/2024
B	Kentucky	Agent	Approved	05/06/2024
B	Louisiana	Agent	Approved	09/29/2017
B	Maryland	Agent	Approved	05/02/2024
B	Massachusetts	Agent	Approved	01/30/2019
B	Michigan	Agent	Approved	04/27/2020
B	Minnesota	Agent	Approved	11/08/2023
B	Mississippi	Agent	Approved	05/15/2020
B	Missouri	Agent	Approved	11/07/2017
B	New Jersey	Agent	Approved	09/29/2017
B	New York	Agent	Approved	09/29/2017
B	North Carolina	Agent	Approved	02/06/2021
B	Ohio	Agent	Approved	05/02/2024
B	Pennsylvania	Agent	Approved	05/02/2024
B	Puerto Rico	Agent	Approved	06/03/2024
B	Texas	Agent	Approved	09/29/2017
B	Utah	Agent	Approved	05/02/2024
B	Virginia	Agent	Approved	05/23/2024
B	Washington	Agent	Approved	05/03/2024
B	Wisconsin	Agent	Approved	05/02/2024

## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

**ALEXANDER CAPITAL, L.P.**  
10 DRS JAMES PARKER BLVD  
SUITE 202  
RED BANK, NJ 07701

**ALEXANDER CAPITAL, L.P.**  
11834 CR 101, SUITE 203  
The Villages, FL 32162

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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	07/17/1995

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	10/17/1987

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/06/1987

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/](http://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>B</b> 04/2015 - 10/2017	ARIVE CAPITAL MARKETS	8060	Bay Ridge, NY
<b>B</b> 08/2008 - 04/2015	GLOBAL ARENA CAPITAL CORP	16871	NEW YORK, NY
<b>B</b> 01/2002 - 08/2008	JOSEPH GUNNAR & CO. LLC	24795	NEW YORK, NY
<b>B</b> 04/2001 - 01/2002	H.C. WAINWRIGHT & CO., INC.	375	NEW YORK, NY
<b>B</b> 04/2001 - 04/2001	WHALE SECURITIES CO., L.P.	13516	NEW YORK, NY
<b>B</b> 12/1998 - 03/2001	BLUESTONE CAPITAL SECURITIES, INC.	36189	NEW YORK, NY
<b>B</b> 06/1998 - 11/1998	JANSSEN-MEYERS ASSOCIATES, L.P.	34171	NEW YORK, NY
<b>B</b> 10/1996 - 06/1998	FIRST METROPOLITAN SECURITIES, INC.	7594	NEW YORK, NY
<b>B</b> 02/1996 - 07/1997	STATE CAPITAL MARKETS CORPORATION	13685	NEW YORK, NY
<b>B</b> 03/1993 - 04/1996	FIRST HANOVER SECURITIES, INC.	14469	STATEN ISLAND, NY
<b>B</b> 10/1991 - 04/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
<b>B</b> 03/1988 - 10/1991	GRUNTAL & CO. INCORPORATED	372	NEW YORK, NY
<b>B</b> 02/1988 - 03/1988	MOSELEY SECURITIES CORPORATION	7908	
<b>B</b> 12/1987 - 01/1988	COPELAND SECURITIES INCORPORATED	10238	
<b>B</b> 10/1987 - 01/1988	PHILIPS, APPEL & WALDEN, INC.	659	

### Employment History



## Registration and Employment History

### Employment History, continued

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
09/2017 - Present	ALEXANDER CAPITAL LP	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
04/2015 - 09/2017	ARIVE CAPITAL MARKETS	REGISTERED REPRESENTATIVE	Y	ST. PAUL, MN, United States
05/2015 - 05/2016	HJD BROTHERS, LLC	CONSULTANT	N	WEST ORANGE, NJ, 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. ALEXANDER CAPITAL INSURANCE AGENCY LLC 10 DRS JAMES PARKER BLVD RED BANK NJ 07701 05/2015 - 10 HRS PER MONTH - AGENT.

## 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
Customer Dispute	0	3	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.

### 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

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	STATE CAPITAL MARKETS CORPORATION
<b>Allegations:</b>	UNAUTHORIZED TRADING
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	WARRANTS
<b>Alleged Damages:</b>	\$33,087.50

#### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD - CASE #97-02594
<b>Date Notice/Process Served:</b>	05/30/1997
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award
<b>Disposition Date:</b>	02/25/2000
<b>Disposition Detail:</b>	RESPONDENT NICHOLAS LOBASSO IS LIABLE AND SHALL PAY TO CLAIMANT \$6,250.00. CLAIMANT'S REQUEST FOR PUNITIVE DAMAGES, AND TREBLE DAMAGES ARE DENIED.



**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** STATE CAPITAL MARKETS CORPORATION

**Allegations:** UNAUTHORIZED TRADING.

**Product Type:** Equity - OTC

**Alleged Damages:** \$33,087.50

### Customer Complaint Information

**Date Complaint Received:** 05/30/1997

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 02/25/2000

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOC. OF SECURITIES DEALERS; 97-02594

**Date Notice/Process Served:** 05/30/1997

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 02/25/2000

**Monetary Compensation Amount:** \$6,250.00

**Individual Contribution Amount:** \$6,250.00

**Broker Statement** SEE 8A  
ALL ALLEGATIONS OF WRONG DOING ARE COMPLETELY DENIED AS THE CLAIMANT AUTHORIZED AND DIRECTED EACH TRANSACTION.

### Disclosure 2 of 2



**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** STATE CAPITAL MARKETS CORPORATION

**Allegations:** EXECUTIONS-FAILURE TO EXECUTE;  
EXECUTIONS-OTHER

**Product Type:**

**Alleged Damages:** \$4,450.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #96-04203

**Date Notice/Process Served:** 09/25/1996

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 06/05/1997

**Disposition Detail:** AWARD AGAINST PARTY  
\*\*7/15/98RW-PER WATERMARK/PAD CHECK,  
LABASSO WAS JOINTLY AND SEVERALLY LIABLE FOR \$4,600.00.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** STATE CAPITAL MARKETS CORPORATION

**Allegations:** THE ALLEGATIONS WERE FAILURE TO EXECUTE A  
TRADE. CLAIMED LOST PROFITS OF \$4450

**Product Type:** Equity - OTC

**Alleged Damages:** \$4,450.00

### Customer Complaint Information

**Date Complaint Received:** 09/25/1996

**Complaint Pending?** No

**Status:** Arbitration/Reparation



**Status Date:** 06/05/1997

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOC. OF SECURITIES DEALERS; 96-04203

**Date Notice/Process Served:** 09/25/1996

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 06/05/1997

**Monetary Compensation Amount:** \$4,600.00

**Individual Contribution Amount:** \$4,600.00

### Broker Statement

PAID A PENALTY OF \$4600  
 I HAVE A VERY HARD TIME BELIEVING I LOST THIS  
 ARBITRATION WHEN I HAVE DOCUMENTED PROOF OF A CLIENT FORGING  
 SIGNATURES ON LEGAL DOCUMENTS. I ALSO HAVE IN MY POSSESSION A  
 TAPED CONVERSATION AND PHONE RECORDS SHOWING I DID BUSINESS  
 WITH [THIRD PARTY], NOT [CUSTOMER]. I THOUGHT SIMPLIFIED  
 ARBITRATION WOULD BE EASIER ON EVERYONE. I WILL NEVER LEAVE MY  
 FATE IN THE HANDS OF A SO CALLED UNBIASED [REGULATOR]  
 ARBITRATOR AGAIN  
 WITHOUT BEING PRESENT. I INTEND TO FILE SUIT AGAINST THE  
 CLIENT.



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Joseph Gunnar & Global Arena
<b>Allegations:</b>	negligent misrepresentation, breach of fiduciary duty, fraud, breach of covenant of good faith, elder abuse, unfair business practices, violation of federal and state securities laws and finra rules.
<b>Product Type:</b>	Equity-OTC Equity Listed (Common & Preferred Stock) Other: private placements
<b>Alleged Damages:</b>	\$452,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	finra
<b>Docket/Case #:</b>	14-00029
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	01/03/2014

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/03/2014
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	12/02/2015
<b>Settlement Amount:</b>	





## Individual Contribution Amount:

**Firm Statement** claimant's claims are denied in their entirety.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** JOSEPH GUNNAR & COMPANY, GLOBAL ARENA CAPITAL CORP

**Allegations:** NEGLIGENCE MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, FRAUD, BREACH OF COVENANT OF GOOD FAITH, ELDER ABUSE, UNFAIR BUSINESS PRACTICES, VIOLATION OF FEDERAL AND STATE SECURITIES LAWS AND FINRA RULES

**Product Type:** Equity-OTC  
Equity Listed (Common & Preferred Stock)  
Other: PRIVATE PLACEMENTS

**Alleged Damages:** \$452,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 14-00029

**Filing date of arbitration/CFTC reparation or civil litigation:** 01/03/2014

## Customer Complaint Information

**Date Complaint Received:** 01/20/2014

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/03/2015

**Settlement Amount:**



**Individual Contribution  
Amount:**

## End of Report



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