

## BrokerCheck Report

**NORMAN HOWARD BARLOW JR**

CRD# 1804445

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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](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).



**NORMAN H. BARLOW JR**  
CRD# 1804445

This broker is not currently registered.

Report Summary for this Broker

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

Broker Qualifications

This broker is not currently registered.

This broker has passed:

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

Registration History

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

- B SINCLAIR & COMPANY, LLC**  
CRD# 133754  
DARIEN, CT  
07/2006 - 09/2009
- B AMERIMUTUAL FUNDS DISTRIBUTOR, INC.**  
CRD# 47661  
STAMFORD, CT  
03/2004 - 03/2006
- B WORLD EQUITY GROUP, INC.**  
CRD# 29087  
06/1992 - 10/1992

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	4

## 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.



## Broker Qualifications

### Industry Exams this Broker has Passed

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

**This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7	03/04/2004

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	04/13/2004
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/29/1988

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/](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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 07/2006 - 09/2009	SINCLAIR & COMPANY, LLC	133754	DARIEN, CT
<b>B</b> 03/2004 - 03/2006	AMERIMUTUAL FUNDS DISTRIBUTOR, INC.	47661	STAMFORD, CT
<b>B</b> 06/1992 - 10/1992	WORLD EQUITY GROUP, INC.	29087	
<b>B</b> 02/1990 - 06/1992	ROGER J. LANGE AND COMPANY, INC.	17918	
<b>B</b> 02/1990 - 03/1990	R.B. MARICH, INC.	13227	
<b>B</b> 11/1988 - 02/1990	SHELTER ROCK SECURITIES CORP.	11043	
<b>B</b> 07/1988 - 12/1988	INTEGRATED RESOURCES EQUITY CORPORATION	6403	

### 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
07/2006 - Present	SINCLAIR & CO	RR	Y	DARIEN, CT, United States

# 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	4	0





## 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 4

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** ILLINOIS

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 11/06/1992

**Docket/Case Number:** 9200149

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** Other

**Other Product Type(s):** UNKNOWN TYPE OF SECURITIES

**Allegations:** ILLINOIS ALLEGED THE RESPONDENT VIOLATED SECTION 12.F OF THE ACT BY EFFECTING UNAUTHORIZED TRANSACTIONS IN A CUSTOMERS ACCOUNT.

**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:** 11/06/1992

**Sanctions Ordered:** Revocation/Expulsion/Denial

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

ORDER OF DENIAL WAS ISSUED NOVEMBER 6, 1992. RESPONDENT'S APPLICATION FOR REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS HAS BEEN DENIED.

**Reporting Source:**

Broker

**Regulatory Action Initiated By:**

ILLINOIS SECURITIES DEPARTMENT

**Sanction(s) Sought:**

Other

**Other Sanction(s) Sought:**

DENIED MR. BARLOW'S APPLICATION FOR REGISTRATION.

**Date Initiated:**

09/28/1992

**Docket/Case Number:**

9200149

**Employing firm when activity occurred which led to the regulatory action:**

ROGER J. LANGE & CO, INC.

**Product Type:**

Penny Stock(s)

**Other Product Type(s):****Allegations:**

ILLINOIS ALLEGED THAT MR. BARLOW VIOLATED SECTION 12.F OF THE ACT BY EFFECTING UNAUTHORIZED TRANSACTIONS IN A CUSTOMERS ACCOUNT.

**Current Status:**

Final

**Resolution:**

Decision

**Resolution Date:**

11/06/1992

**Sanctions Ordered:**

Revocation/Expulsion/Denial

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

MR BARLOW'S APPLICATION FOR REGISTRATION AS A SALESPERSON WAS DENIED BY THE STATE OF ILLINOIS.

**Disclosure 2 of 4****Reporting Source:**

Regulator



**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Revocation

**Other Sanction(s) Sought:**

**Date Initiated:** 10/20/1992

**Docket/Case Number:** C8A910058

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** FAILURE TO PAY FINES AND/OR COSTS

**Current Status:** Final

**Resolution:** Other

**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:** 10/20/1992

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** NASD REGISTRATION REVOKED ON 10/20/92 FOR NON-PAYMENT OF FINES AND/OR COSTS IN NASD COMPLAINT #C8A910058.

NASD REVOCATION OF REGISTRATION RESCINDED 9/01/98 DUE TO PAYMENT OF \$25,000 FINE IN NASD COMPLAINTS C8A910058 & CMS920111.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD



**Sanction(s) Sought:** Revocation

**Other Sanction(s) Sought:**

**Date Initiated:** 10/29/1992

**Docket/Case Number:** C8A910058

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** FAILURE TO PAY FINES AND/OR COSTS

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 10/20/1992

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** NASD REGISTRATION REVOKED ON 10/20/92 FOR NON-PAYMENT OF FINES AND/OR COSTS IN NASD COMPLAINT #C8A910058. NASD REVOCATION OF REGISTRATION RESCINDED 9/01/98 DUE TO PAYMENT OF \$25,000 FINE IN NASD COMPLAINTS C8A910058 & CMS920111.

#### Disclosure 3 of 4

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 12/04/1992

**Docket/Case Number:** CMS920111



<b>Employing firm when activity occurred which led to the regulatory action:</b>	ROGER J. LANGE & CO.
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	UNKNOWN TYPE OF SECURITIES
<b>Allegations:</b>	VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 4 OF THE RFP (CHARGING UNFAIR PRICES TO CUSTOMERS). VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RFP AND SECTION 15(C) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 15C2-6 THEREUNDER (IMPROPER TRADING IN A DESIGNATED SECURITY).
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	11/07/1997
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$15,000.00 Suspension
<b>Other Sanctions Ordered:</b>	REQUALIFICATION
<b>Sanction Details:</b>	THE BOARD ISSUED ITS DECISION WITH RESPECT TO BARLOW ON NOVEMBER 7, 1994. THE BOARD AFFIRMED THE COMMITTEE'S FINDINGS OF VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 4 OF THE RFP ALLEGED IN CAUSE III AND THE VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RFP AND SECTION 15(C) OF THE EXCHANGE ACT AND RULE 15C2-6 THEREUNDER. BARLOW IS CENSURED, FINED \$15,000, SUSPENDED FOR ONE YEAR FROM RECOMMENDING "PENNY STOCKS" AS DEFINED BY SEC RULE 3A51-1 AND ORDERED TO REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE. **PER FINES AND COSTS NOTIFICATION REC'D 5/1/95, RESPONDENT WAS REVOKED ON 10/20/92 IN NASD COMPLAINT #C8A910058**
<b>Regulator Statement</b>	THE COMMITTEE ISSUED ITS DECISION ON JUNE 3, 1993 WITH RESPECT TO BARLOW. IN ITS DECISION THE COMMITTEE FOUND THE VIOLATIONS AS CHARGED. BARLOW IS CENSURED; SHALL MAKE RESTITUTION TO CUSTOMERS IN THE AMOUNT OF \$1,112.60; IS



FINED \$10,000; AND REQUIRED TO RE-QUALITY BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE. THE CHAIRMAN AND VICE CHAIRMAN OF THE NATIONAL BUSINESS CONDUCT COMMITTEE CALLED THE DECISION TO REVIEW AS TO BARLOW ON JUNE 14, 1993.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD-MARKET SURVEILLANCE COMMITTEE

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:** FINED \$15,000, MAKE RESTITUTION OF \$1,112.60, REQUIRED TO RE-QUALIFY AS A GENERAL SECURITIES REP AND SUSPENDED FOR 1 YEAR FROM RECOMMENDING "PENNY STOCKS".

**Date Initiated:** 12/04/1992

**Docket/Case Number:** CMS920111

**Employing firm when activity occurred which led to the regulatory action:** ROGER J. LANGE & CO, INC.

**Product Type:** Penny Stock(s)

**Other Product Type(s):**

**Allegations:** CHARGING UNFAIR PRICES TO CUSTOMERS AND IMPROPER TRADING IN A DESIGNATED SECURITY.

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 11/07/1994

**Sanctions Ordered:** Monetary/Fine \$15,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** PAY \$15,000 FINE, SUSPENDED FOR ONE YEAR FROM RECOMMENDING "PENNY STOCKS" AND REQUALIFY AS GENERAL SECURITIES REP.



<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	01/03/1992
<b>Docket/Case Number:</b>	C8A910058
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	UNKNOWN TYPE OF SECURITIES
<b>Allegations:</b>	ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT BARLOW ENGAGED IN SECURITIES TRANSACTIONS FOR THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT THE KNOWLEDGE OR CONSENT OF THE CUSTOMER TO EXERCISE DISCRETION IN SAID ACCOUNT.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	06/05/1992
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$10,000.00 Suspension
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	DECISION RENDERED JUNE 5, 1992, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT BARLOW WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR



FIVE BUSINESS DAYS. THE SUSPENSION WILL COMMENCE AUGUST 17, 1992 AND WILL CONCLUDE AUGUST 21, 1992.

**\*\*REVOKED FOR NON-PAYMENT OF FINES AND/OR COSTS ON 10/20/92\*\***

### Regulator Statement

COMPLAINT NO. C8A910058 (DISTRICT NO. 8) FILED JANUARY 3, 1992  
AGAINST RESPONDENT HOWARD N. BARLOW ALLEGING VIOLATIONS OF

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD (DISTRICT NO. 8)

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:** CENSURED, FINED \$10,000 AND SUSPENDED FOR 5 DAYS.

**Date Initiated:** 01/03/1992

**Docket/Case Number:** C8A910058

**Employing firm when activity occurred which led to the regulatory action:** ROGER J LANGE & CO, INC.

**Product Type:** Equity - OTC

**Other Product Type(s):**

**Allegations:** TRADE MADE WHEN CUSTOMER COULD NOT BE CONTACTED. COMPLAINT ALLEGED THAT BARLOW ENGAGED IN SECURITIES TRANSACTION WITHOUT THE KNOWLEDGE OR CONSENT OF THE CUSTOMER TO EXERCISE DISCRETION IN THE ACCOUNT.

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 06/05/1992

**Sanctions Ordered:** Censure  
Disgorgement/Restitution  
Monetary/Fine \$10,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** SUSPENDED FOR 5 DAYS FROM 8/17/92-8/21/92.



## End of Report



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