BrokerCheck Report

AMR IBRAHIM ELGINDY

CRD# 1824634

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.

AMR I. ELGINDY
CRD# 1824634

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 **KEY WEST SECURITIES, INC.**
CRD# 38305
CARDRIFT BY THE SEA, CA
07/1995 - 07/1998

B **BEAR, STEARNS & CO. INC.**
CRD# 79
NEW YORK, NY
04/1994 - 08/1994

B **AMR SECURITIES, INC.**
CRD# 23368
01/1992 - 03/1994

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	5

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	06/21/1990

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7	04/16/1988

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	04/22/1988

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/.

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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	07/1995 - 07/1998	KEY WEST SECURITIES, INC.	38305	CARDRIFT BY THE SEA, CA
B	04/1994 - 08/1994	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B	01/1992 - 03/1994	AMR SECURITIES, INC.	23368	
B	01/1992 - 01/1992	U.S. SECURITIES CLEARING CORP.	15403	SAN DIEGO, CA
B	05/1989 - 11/1991	THOMAS JAMES ASSOCIATES, INC.	15609	ROCHESTER, NY
B	12/1988 - 04/1989	J. W. GANT & ASSOCIATES, INC.	7963	
B	04/1988 - 12/1988	BLINDER, ROBINSON & CO., INC.	5096	

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
02/1988 - Present	TIM EVANS	OTHER - ASSISTANT (NON RR)	N	LA JOLLA, CA, 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	5	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 5

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/02/2000
Docket/Case Number:	CMS000015
Employing firm when activity occurred which led to the regulatory action:	KEY WEST SECURITIES, INC.
Product Type:	Equity-OTC
Allegations:	NASD RULES 2110, 2120, 2210 AND SEC RULE 10B-5: RESPONDENT AMR ELGINDY ENGAGED IN A MANIPULATIVE, DECEPTIVE AND FRAUDULENT SCHEME INVOLVING THE TRADING OF A SECURITY. THE OBJECTIVE OF THE SCHEME WAS TO OBTAIN MONEY BY SELLING THE SECURITY SHORT AT HIGHER MANIPULATIVE PRICES AND THEN ATTEMPTING TO COVER THE SHORT POSITION AT A LOWER PRICE BY CAUSING THE PRICE OF THE SECURITY TO DROP THROUGH THE DISSEMINATION OF DECEPTIVE SELL RECOMMENDATIONS ABOUT THE SECURITY. IN FURTHERANCE OF THE SCHEME AND IN AN ATTEMPT TO PROFIT FROM THE SECURITY'S SHORT POSITION, RESPONDENT DISSEMINATED, OR MADE GENERALLY AVAILABLE TO CUSTOMERS OR THE PUBLIC, A REPORT CONCERNING THE SECURITY IN WHICH THE FIRM INITIATED COVERAGE OF THE SECURITY WITH A SELL RECOMMENDATION OF THE SECURITY. THE REPORT WAS DECEPTIVE IN THAT THE RESPONDENT FAILED TO DISCLOSE THE FIRM WAS REGISTERED AS A MARKET MAKER AND HELD A PROPRIETARY SHORT POSITION IN THE SECURITY. BY THIS CONDUCT, RESPONDENT BY THE USE OF MEANS OR INSTRUMENTALITIES OF INTERSTATE COMMERCE, TO WIT, THE NASDAQ SYSTEM AND NEWS WIRE SERVICES, INTENTIONALLY AND RECKLESSLY EFFECTIVE TRANSACTIONS IN, AND

	INDUCED THE PURCHASE AND SALE OF A SECURITY BY MEANS OF MANIPULATIVE, DECEPTIVE AND OTHER FRAUDULENT DEVICES OR CONTRIVANCES.
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:	03/10/2004
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	

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(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$1,000.00
Portion Levied against individual:	$1,000.00
Payment Plan:	

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Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	HEARING PANEL DECISION ENTERED DECEMBER 28, 2001, WHEREIN RESPONDENT IS FINED $3,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR ONE YEAR FOR THE VIOLATION OF NASD'S RULE REGARDING COMMUNICATIONS WITH THE PUBLIC. ON JANUARY 18, 2002, ELGINDY APPEALED TO THE NAC. NAC DECISION WAS ISSUED ON MAY 7, 2003, WHEREIN HEARING PANEL'S DECISION MODIFIED AS TO THE FINDINGS AND SANCTIONS IMPOSED ON RESPONDENT BY THE HEARING PANEL. NAC REVERSED THE HEARING PANEL'S DISMISSAL OF THE ALLEGATIONS THAT RESPONDENT ENGAGED IN MARKET MANIPULATIONS. NAC AFFIRMED THE HEARING PANEL'S FINDINGS THAT RESPONDENT VIOLATED NASD'S RULE REGARDING COMMUNICATIONS WITH THE PUBLIC. NAC ORDERED THAT RESPONDENT BE BARRED FROM ASSOCIATING WITH ANY NASD MEMBER IN ANY CAPACITY AND FINED $51,000, JOINTLY AND SEVERALLY FOR THE EGREGIOUSNESS OF RESPONDENT'S MANIPULATIVE ACTIVITY, HIS PRIOR DISCIPLINARY HISTORY (INVOLVING THE ENTRY OF NON BONA FIDE ORDERS INTO SELECTNET), THE INTENTIONAL NATURE OF HIS MISCONDUCT, THE INSINCERITY OF HIS EXPLANATIONS, AND HIS DENIALS OF ANY WRONGFUL CONDUCT, IN VIOLATION OF SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934, SEC RULE 10B-5, AND NASD CONDUCT RULES 2110 AND 2120). ON JUNE 2, 2003, ELGINDY APPEALED THE NAC'S DECISION TO THE SEC. OPINION OF THE COMMISSION RELEASE 34-49389, MARCH 10, 2004: THE SEC ISSUED ITS OPINION, WHEREIN THE SEC THE NAC'S FINDINGS AND SANCTIONS SET ASIDE IN PART AND SUSTAINED IN PART. THE SEC FOUND THAT RESPONDENT HAD VIOLATED ONLY NASD'S RULES REGARDING COMMUNICATIONS; THEREFORE, SEC SUSTAINED NASD ORDER OF FINE IN THE AMOUNT OF $1,000, JOINTLY AND SEVERALLY, AGAINST RESPONDENT. THE SEC FINDINGS FURTHER STATED THAT SEC CANNOT CONCLUDE THAT THE EVIDENCE DEMONSTRATES THAT RESPONDENT ENGAGED IN A MANIPULATIVE SCHEME; THEREFORE, SEC ORDERED THAT THE BAR FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY AND FINE IN THE AMOUNT OF $50,000, JOINTLY AND SEVERALLY, IMPOSED BY NASD AGAINST RESPONDENT BE, AND IT HEREBY IS, DISMISSED.

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NASD FILED A PETITION FOR REVIEW TO THE US COURT OF APPEALS FOR THE D.C. CIRCUIT ON MAY 6, 2004.

ON DECEMBER 13, 2005, THE U.S. COURT OF APPEALS DISMISSED THE PETITION FOR REVIEW FOR LACK OF JURISDICTION AND MARCH 13, 2006, DENIED A PETITION FOR REHEARING.

Disclosure 2 of 5

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/16/1998
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/16/1998
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	**************NASD REGISTRATION SUSPENDED ON 12/16/98********* *****************FOR FAILING TO PAY AN ARBITRATION AWARD***** **********************IN ARBITRATION CASE #95-02492 **********

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***06-16-99, SRR NOTE:THIS ARBITRATION IS RELATED TO A NON-CONSUMER-INITIATED PROCEEDING

Disclosure 3 of 5

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/18/1998
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/18/1998
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	**********NASD REGISTRATION REVOKED ON 9/18/98********* *************FOR FAILURE TO PAY FINES AND/OR COSTS***** ******************IN NASD COMPLAINT CMS950207**********

Disclosure 4 of 5

Reporting Source:	Regulator
Regulatory Action Initiated By:	OHIO DIVISION OF SECURITIES 77 S. HIGH STREET 22ND *See FAQ #1*

Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/25/1997
Docket/Case Number:	97-274
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	ELGINDY WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMIN. CODE RULE 1301:6-3-19(D)(G) & (9) AND OHIO REVISED CODE SECTION 1707.19(A).
Current Status:	Final
Resolution:	Order
Resolution Date:	07/25/1997
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	FINAL ORDER TO DENY APPLICATION FOR SECURITIES SALESMAN LICENSE.
Regulator Statement	ON JULY 25, 1997, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICATION FOR SECURITIES SALESMAN LICENSE, DIVISION ORDER 97-274, AGAINST AMR IBRAHIM ELGINDY, CRD #1824634. THE DIVISION FOUND THAT ELGINDY WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(G) AND (9) AND OHIO REVISED CODE SECTION 1707.19(A).

Reporting Source:	Broker
Regulatory Action Initiated By:	OH SECURITIES BOARD
Sanction(s) Sought:	
Other Sanction(s) Sought:	

Date Initiated:	07/25/1997
Docket/Case Number:	97-274
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	NOT OF GOOD BUSINESS REPUTE
Current Status:	Final
Resolution:	Order
Resolution Date:	07/25/1997
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	DENIEL OF REGISTRATION
Broker Statement	Not Provided

Disclosure 5 of 5

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/19/1995
Docket/Case Number:	CMS950207
Employing firm when activity occurred which led to the regulatory action:	AMR SECURITIES, INC.
Product Type:	
Other Product Type(s):	

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Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 09/22/1997

Sanctions Ordered: Censure
Monetary/Fine $30,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement [TOP] MARKET SURVEILLANCE COMMITTEE (MSC) COMPLAINT NO. CMS950207 FILED 12/19/95 AGAINST AMR I. ELGINDY ALLEGING VIOLATION OF SOES RULE AND THE ASSOCIATION'S RULES OF FAIR PRACTICE (RFP) IN THAT ELGINDY EXECUTED 108 ORDERS THROUGH SOES
FOR AMR SECURITIES (AMR) AND CAUSED AMR TO ENTER NON-BONA-FIDE
ORDERS THROUGH THE SELECTNET SYSTEM FOR THE ACCOUNT. CAUSE THREE ALLEGES VIOLATIONED OF ARTICLE III, SECTION 1 OF THE RFP FOR FAILING TO CONFIRM THE SALE OF SECURITIES TO 3 MARKET MAKERS WITHOUT EQUITABLE JUSTIFICATION. CAUSE 4 ALLEGED VIOLATION OF ARTICLE III, SECTIONS 1 AND 27 OF THE RFP FOR FAILING TO ENSURE THAT HIS FIRM ESTABLISH AND ENFORCE SUPERVISORY PROCEDURES. ON 9/22/97, MARKET REGULATION COMMITTEE
ACCEPTED ELGINDY'S OFFER OF SETTLEMENT FINDING THAT HE VIOLATED
RULES 2110 AND 3010 AND RULE 4730(C)(3). THE SANCTIONS ARE AS FOLLOWS: HE IS CENSURED, SUSPENDED FROM ASSOCIATION WITH ANY MEMBER IN A PRINCIPAL CAPACITY FOR 1 YEAR; SUSPENDED FROM ASSOCIATION WITH ANY MEMBER IN ANY CAPACITY FOR 30 DAYS; FINED 30,000. SUCH FINE SHALL BE PAID IN 23 EQUAL MONTHLY INSTALLMENTS WITH THE REMAINING AMOUNT TO BE PAID WITHIN 24 MONTHS OF THE ACCEPTANCE OF THIS OFFER BY THE NBCC. A FIXED INTEREST RATE WILL BE ASSESSED ON THE UNPAID BALANCE OF 3HE FINES AND/OR COSTS. AN EXECUTED PROMISSORY NOTE FOR THE UNPAID
BALANCE OF FINE PLUS INTEREST IS REQUIRED; AND, WITHIN 60 DAYS OF ACCEPTANCE OF THIS OFFER OF SETTLEMENT KEY WEST SECURITIES,
THE FIRM WITH IS PRESENTLY ASSOCIATED, SHALL IMPLEMENT WRITTEN

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SUPERVISORY PROCEDURES SPECIFICALLY TO OVERSEEING HIS ACTIVITIES WITHIN 60 DAYS OF THE ACCEPTANCE OF THIS OFFER, ELGINDY SHALL PRODUCE A COPY OF THESE PROCEDURES TO THE MARKET
REGULATION COMMITTEE. SUSPENSION IN A PRINCIPAL CAPACITY COMMENCES 11/17/97 AND CONCLUDES 11/16/98. SUPENSION IN ALL CAPACITIES COMMENCES 11/17/97 CONCLUDED 12/19/97. REVOKED FOR NON-PAYMENT OF FINES AND/OR COSTS ON 9/18/98***

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/19/1995
Docket/Case Number:	CMS950207
Employing firm when activity occurred which led to the regulatory action:	AMR SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	RULES VIOLATION
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	09/22/1997
Sanctions Ordered:	Censure Monetary/Fine $30,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	FINE-$30,000- SUSPENSION-S-24 LICENSE FOR 1 YR. BEGINNING 11/17/97 SUSPENSION-S-7 LICENSE FOR 1 MONTH BEGINNING 11/17/97
Broker Statement	Not Provided

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End of Report

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