

BrokerCheck Report

HARRY SETH DATYS

CRD# 1877750

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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:

- o 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
- o 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.



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

Thank you for using FINRA BrokerCheck.

HARRY S. DATYS

CRD# 1877750

Currently employed by and registered with the following Firm(s):**WESTPARK CAPITAL, INC.**

225 NE MIZNER BLVD
SUITE 750
BOCA RATON, FL 33432
CRD# 39914

Registered with this firm since: 06/10/2005

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
- 22 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****STERLING FINANCIAL INVESTMENT GROUP, INC.**

CRD# 41506
BOCA RATON, FL
10/2002 - 07/2005

JOSEPH STEVENS & COMPANY, INC.

CRD# 35459
BROOKLYN, NY
01/1995 - 10/2002

GKN SECURITIES CORP.

CRD# 19415
NEW YORK, NY
07/1991 - 01/1995

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	3
Criminal	1
Customer Dispute	16
Termination	1
Judgment/Lien	1



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 22 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WESTPARK CAPITAL, INC.**
 Main Office Address: **1900 AVENUE OF THE STARS
 SUITE 310
 LOS ANGELES, CA 90067**
 Firm CRD#: **39914**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	06/10/2005

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Arizona	Agent	APPROVED	06/10/2005	Mississippi	Agent	APPROVED	02/13/2006
California	Agent	APPROVED	06/10/2005	Nevada	Agent	APPROVED	02/01/2006
Connecticut	Agent	APPROVED	11/29/2005	New Hampshire	Agent	APPROVED	06/10/2005
Delaware	Agent	APPROVED	03/10/2006	New York	Agent	APPROVED	06/10/2005
District of Columbia	Agent	APPROVED	08/24/2005	North Carolina	Agent	APPROVED	06/10/2005
Florida	Agent	APPROVED	06/10/2005	Pennsylvania	Agent	APPROVED	06/10/2005
Georgia	Agent	APPROVED	01/27/2006	South Carolina	Agent	APPROVED	02/27/2006
Illinois	Agent	APPROVED	06/10/2005	Texas	Agent	APPROVED	01/24/2006
Indiana	Agent	APPROVED	03/13/2006	Virginia	Agent	APPROVED	03/16/2006
Iowa	Agent	APPROVED	07/06/2005	Wyoming	Agent	APPROVED	02/10/2006
Louisiana	Agent	APPROVED	02/02/2006				
Maryland	Agent	APPROVED	06/10/2005				

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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.

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	01/20/1990

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	03/20/1990

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
10/2002 - 07/2005	STERLING FINANCIAL INVESTMENT GROUP, INC.	41506	BOCA RATON, FL
01/1995 - 10/2002	JOSEPH STEVENS & COMPANY, INC.	35459	BROOKLYN, NY
07/1991 - 01/1995	GKN SECURITIES CORP.	19415	NEW YORK, NY
02/1991 - 06/1991	LADENBURG, THALMANN & CO., INC.	505	NEW YORK, NY
07/1990 - 01/1991	COMMONWEALTH ASSOCIATES	20833	NEW YORK, NY
06/1990 - 06/1990	A.S. GOLDMEN & CO., INC.	23180	RED BANK, NJ
01/1990 - 05/1990	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY

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 Dates	Employer Name	Employer Location
10/2002 - Present	STERLING FINANCIAL INVESTMENT GROUP	BOCA RATON, FL

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.

NAME: BARRYVILLE SPORTSMAN
 INVESTMENT-RELATED: NO
 CITY/STATE: BARRYVILLE, NY
 RELATIONSHIP: CONSULTANT
 # OF HOURS PER MONTH: 8
 DUTIES: NONE; WIFE OWNS AND MANAGES BUSINESS

Registration and Employment History



Other Business Activities, continued

STERLING ASSET MANAGEMENT

POSITION: General Mgr. Managing Member NATURE: Business for tax purposes only. INVESTMENT RELATED: No

NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 01/05/2000

ADDRESS: 19 High Ridge Road, Warwick NY

DESCRIPTION: None



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	3	0



Criminal	0	1	0
Customer Dispute	3	13	N/A
Termination	N/A	1	N/A
Judgment/Lien	1	N/A	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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW JERSEY BUREAU OF SECURITIES
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/11/2014
Docket/Case Number:	N/A
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	WESTPARK CAPITAL, INC. (CRD# 39914)
Product Type:	No Product
Allegations:	DATYS CONTINUED TO ACTIVELY TRANSACT BUSINESS IN ACCOUNTS OF NEW JERSEY RESIDENTS AFTER HIS REGISTRATION WAS REVOKED. ALTHOUGH THE BUREAU REVOKED DATYS' REGISTRATION, BETWEEN MAY 15, 2008 AND AUGUST OF 2012, DATYS ACCEPTED NUMEROUS ORDERS FOR SECURITIES TRADES IN ACCOUNTS OF UP TO FOUR NEW JERSEY RESIDENTS. EVEN THOUGH DATYS WAS NO LONGER REGISTERED WITH THE BUREAU, HE CONTINUED TO COMMUNICATE WITH CLIENTS WHO WERE NEW JERSEY RESIDENTS AS AN AGENT OF WESTPARK. BETWEEN MAY OF 2008 AND NOVEMBER OF 2010 DATYS HAD SEVERAL EMAIL



COMMUNICATIONS, REGARDING INVESTMENTS, WITH CLIENTS WHO WERE NEW JERSEY RESIDENTS. AFTER REVOCATION, DATYS CAUSED NEW JERSEY CLIENTS' ADDRESSES TO BE CHANGED TO NEW YORK COMMERCIAL LOCATIONS. ACCORDING TO WESTPARK'S SUPERVISORY PROCEDURES MANUAL "WSP" "[I]T IS UNACCEPTABLE FOR A CUSTOMER TO CHANGE AN ADDRESS TO A P.O. BOX OR OTHER LOCATION NOT INDICATIVE OF THE CUSTOMER'S TRUE STREET ADDRESS AND REGISTERED REPRESENTATIVES ENTERING CUSTOMER ADDRESS CHANGES OF THIS NATURE IN THE RECORD WITHOUT PRIOR CLEARANCE WILL BE SUBJECT TO FURTHER INQUIRY AND ASKED FOR A FULL EXPLANATION." ADDITIONALLY, WESTPARK'S WSP STATE "REGISTERED REPRESENTATIVES MUST BE REGISTERED IN THE STATE FROM WHICH THEY CONDUCT BUSINESS AND MAY BE REQUIRED TO BE REGISTERED IN OTHER STATES

WHERE CUSTOMERS ARE DOMICILED ... , AND FURTHER THAT "[N]O REGISTERED REPRESENTATIVE MAY SOLICIT OR CONDUCT SECURITIES TRANSACTIONS IN A GIVEN STATE BEFORE SUCH INDIVIDUAL HAS BEEN APPROVED TO CONDUCT SECURITIES BUSINESS IN THAT STATE." DESPITE THE OBLIGATIONS SET OUT IN THE WSP, DATYS CAUSED UP TO FOUR CLIENTS, WHO WERE NEW JERSEY RESIDENTS, TO CHANGE THEIR PRINCIPAL ADDRESS OF RECORD TO NEW YORK BUSINESS LOCATIONS IN ORDER TO CONTINUE TO DO BUSINESS WITH THEM WITHOUT BEING REGISTERED IN NEW JERSEY.

Current Status:	Final
Action Appealed To:	
Date Appeal filed:	04/11/2014
Appeal Limitation Details:	
Resolution:	Consent
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:	04/11/2014
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)



Total Amount: \$15,000.00

Portion Levied against individual: \$15,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

THE BUREAU, HAVING EXAMINED THE FACTS AND CIRCUMSTANCES RELATING TO TWO SPECIFIC NEW JERSEY CLIENT RELATIONSHIPS WITH DATYS DOES NOT OBJECT TO DATYS CONDUCTING BUSINESS WITH THESE CLIENTS WHILE HE IS BEING SUPERVISED BY WESTPARK AS LONG AS SUCH BUSINESS IS NOT TRANSACTED TO OR FROM NEW JERSEY; AND WHEREAS, WESTPARK HAS SEPARATELY CONSENTED TO NOTIFYING THE CLIENTS OF THE MATTERS THAT ARE THE SUBJECT OF THIS CONSENT ORDER PRIOR TO COMMENCEMENT OF TRANSACTIONS WITH DATYS.

Reporting Source: Broker

Regulatory Action Initiated By: NEW JERSEY BUREAU OF SECURITIES

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 04/11/2014

Docket/Case Number: N/A

Employing firm when activity occurred which led to the regulatory action: WESTPARK CAPITAL INC (CRD# 39914)

Product Type: No Product

Allegations: THE STATE OF NEW JERSEY ALLEGED THAT REPRESENTATIVE HARRY DATYS CONTINUED TO CONDUCT BUSINESS WITH NEW JERSEY RESIDENTS BETWEEN MAY 15 2008 - AUGUST 2012 AFTER THE BEREU REVOKED HIS REGISTRATION

Current Status: Final



Resolution: Consent

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: 04/14/2014

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$15,000.00

Portion Levied against individual: \$15,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

THE NEW JERSEY BUREAU OF SECURITIES INITIATED DISCUSSIONS WITH THE FIRM IN MAY 2012 REGARDING SALES ACTIVITIES OF HARRY DATYS (FROM 2008-2012). SUCH ACTIVITIES INVOLVED CERTAIN NEW JERSEY RESIDENTS WHO ALSO HAD ADDRESSES IN NEW YORK. THE RESULT OF THOSE DISCUSSIONS WAS HARRY DATYS AGREED TO ENTER INTO A CONSENT ORDER, WHICH PROVIDED FOR THE PAYMENT OF A FINE OF \$15,000 EXTENDED LIMITED AUTHORIZATIONS FOR THE REGISTERED REPRESENTATIVE TO CONTINUE TO TRANSACT BUSINESS WITH CERTAIN NEW JERSEY RESIDENTS WHO HAVE ADDRESSES IN NEW YORK WITHOUT REGISTRATION AS AN AGENT IN THE STATE OF NEW JERSEY, AS LONG AS THE COMMUNICATION TAKES PLACE WHILE THE CLIENT IS NOT IN THE STATE OF NEW JERSEY.

Disclosure 2 of 3

Reporting Source: Regulator



Regulatory Action Initiated By: NEW JERSEY BUREAU OF SECURITIES

Sanction(s) Sought: Revocation

Other Sanction(s) Sought:

Date Initiated: 05/15/2008

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: WESTPARK CAPITAL, INC. (CRD#: 39914)

Product Type: No Product

Other Product Type(s):

Allegations: DATYS VIOLATED HIS SUPERVISORY AGREEMENT BY FAILING TO INFORM THE BUREAU OF NEW DISCLOSURE.

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: 05/15/2008

Sanctions Ordered: Monetary/Fine \$6,000.00
Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: DATYS IS THE SUBJECT OF AN ORDER OF A STATE SECURITIES REGULATOR DENYING HIS SECURITIES LICENSE. DATYS ENGAGED IN DISHONEST OR UNETHICAL PRACTICE IN THE SECURITIES BUSINESS. DATYS FAILED TO REPORT TO THE BUREAU SEVERAL NEW DISCLOSURES AS REQUIRED BY THE SUPERVISORY AGREEMENT.

Reporting Source: Broker



Regulatory Action Initiated By: NEW JERSEY BUREAU OF SECURITIES

Sanction(s) Sought: Revocation

Other Sanction(s) Sought:

Date Initiated: 05/15/2008

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: WESTPARK CAPITAL, INC.

Product Type: No Product

Other Product Type(s):

Allegations: NEW JERSEY BUREAU OF SECURITIES CLAIMED MR. DATYS VIOLATED HIS SUPERVISORY AGREEMENT WITH THE STATE.

Current Status: Final

Resolution: Order

Resolution Date: 05/15/2008

Sanctions Ordered: Monetary/Fine \$6,000.00
Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: DATYS IS THE SUBJECT OF AN ORDER OF A STATE SECURITIES REGULATOR DENYING HIS SECURITIES LICENSE. DATYS FAILED TO REPORT TO THE BUREAU SEVERAL NEW DISCLOSURES AS REQUIRED BY THE SUPERVISORY AGREEMENT.

Broker Statement THE NEW JERSEY BUREAU OF SECURITIES DID NOT GIVE MR. DATYS THE OPPORTUNITY TO REBUT THE ORDER AND FILED A FINAL ORDER IN THIS MATTER WITHOUT MR. DATYS KNOWLEDGE. MR. DATYS IS CURRENTLY SEEKING LEGAL REMEDIES WITH THE STATE OF NEW JERSEY TO RESOLVE THIS MATTER.

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: COLORADO DIVISION OF SECURITIES



Sanction(s) Sought: Denial
Other Sanction(s) Sought:
Date Initiated: 05/10/2006
Docket/Case Number: XY 2006-0002
Employing firm when activity occurred which led to the regulatory action: STERLING FINANCIAL
Product Type: Equity - OTC
Other Product Type(s): EQUITY LISTED; PRIVATE PLACEMENTS
Allegations: UNLICENSED OFFER & SALE OF SECURITIES, SECURITIES FRAUD
Current Status: Final
Resolution: Stipulation and Consent
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: 11/20/2006
Sanctions Ordered: Revocation/Expulsion/Denial
Other Sanctions Ordered:
Sanction Details: THE DENIED STATUS IS OPEN ENDED BEGINNING 11/20/2006.

Reporting Source: Broker
Regulatory Action Initiated By: COLORADO DIVISION OF SECURITIES
Sanction(s) Sought: Denial
Other Sanction(s) Sought:
Date Initiated: 05/10/2006
Docket/Case Number: XY 2006-0002



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

Product Type: Equity - OTC

Other Product Type(s): LISTED EQUITIES AND PRIVATE PLACEMENTS

Allegations: UNLICENSED OFFER & SALE OF SECURITIES, SECURITIES FRAUD

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 11/30/2006

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: DENIED REGISTRATION ON 11/20/2006

Broker Statement THE ALLEGATIONS IN THE CASE WERE DROPPED AND THE MATTER WAS RESOLVED BY ACCEPTING A DENIAL OF REGISTRATION.



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	CRIMINAL COURT OF THE CITY OF NEW YORK DOCKET NO. 7K037541
Charge Date:	06/22/1987
Charge Details:	CRIMINAL POSS NARCO DRUG INT/SELL 220.16 PL CLASS B FELL CRIMINAL SALE MARIHUANA 4TH DEGREE 221.40 CLASS A MISD. CRIMINAL POSS MARIHUANA 5TH DEGREE 221.10 CLASS B MISD.
Felony?	Yes
Current Status:	Final
Status Date:	01/13/1988
Disposition Details:	CHARGES WERE REDUCED TO MISSEMEANORS AND I WAS PUT ON THREE YEARS PROBATION. THE COURT HAD BEEN PARTITION BY MY PROBATION OFFICER FOR EARLY DISCHARGE AND WAS APPROVED THE COURT CAN BE REACHED AT 718 802-4471 FOR MORE INFORMATION OR TO VERIFY HIS NAME IS STUART BERNSTEIN. I PAID NO FINED AND NO COURT FEES.
Broker Statement	Not Provided



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 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WestPark Capital Inc
Allegations:	Excessive and Unsuitable Trading without Diversification & false and misleading statements
Product Type:	Other: Product Not stated
Alleged Damages:	\$250,000.00
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 #:	17-00477
Filing date of arbitration/CFTC reparation or civil litigation:	02/24/2017

Customer Complaint Information

Date Complaint Received:	02/27/2017
Complaint Pending?	No
Status:	Settled
Status Date:	04/18/2018
Settlement Amount:	\$6,000.00
Individual Contribution Amount:	\$6,000.00
Broker Statement	Rep vehemently denies all allegations.



Disclosure 2 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WestPark Capital Inc.
Allegations:	[Customer] invested in a private offering in December 2012 and is now alleging WPC was involved in among other things, various acts of negligence, breach of fiduciary duty, lack of suitability and failure to supervise.
Product Type:	Other: Private Placement
Alleged Damages:	\$200,000.00
Alleged Damages Amount Explanation (if amount not exact):	Exact amount was not alleged
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 #:	16.0097
Filing date of arbitration/CFTC reparation or civil litigation:	04/05/2016

Customer Complaint Information

Date Complaint Received:	04/18/2016
Complaint Pending?	No
Status:	Settled
Status Date:	08/18/2017
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00

**Broker Statement**

The arbitration brought by [Customer] against WPC includes claims made against Mr. Datys, and stems from a transaction in which [Customer] invested in December 2012. [Customer] was a customer of Mr. Datys, The claims made against Mr. Datys vehemently denies [Customers'] allegations and intends to vigorously defend the arbitration and claims made against him in this matter.

Disclosure 3 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: ALLEGED UNAUTHORIZED TRADING IN THE CUSTOMER ACCOUNTS FROM JUNE 2005 THROUGH 2008.

Product Type: Equity-OTC
Other: PRIVATE PLACEMENTS

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-02240

Date Notice/Process Served: 09/02/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/30/2013

Monetary Compensation Amount: \$52,500.00

Individual Contribution Amount: \$52,500.00

Disclosure 4 of 8

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: STERLING FINANCIAL INVESTMENT GROUP, INC.

Allegations: EXCESSIVE AND UNAUTHORIZED TRADING FROM MAY 2003-AUGUST 2003, EXCESSIVE COMMISSIONS, MISREPRESENTATION, UNAUTHORIZED USE OF MARGIN, UNSUITABLE INVESTMENTS, FAILURE TO FOLLOW INSTRUCTIONS.

Product Type: Equity - OTC

Alleged Damages: \$5,809.04

Customer Complaint Information

Date Complaint Received: 12/16/2003

Complaint Pending? No

Status: Settled

Status Date: 03/15/2004

Settlement Amount: \$4,500.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: JOSEPH STEVENS & CO. INC.

Allegations: NASD STATEMENT OF CLAIM ALLEGES MISREPRESENTATION, UNSUITABLE INVESTMENTS, UNAUTHORIZED TRANSACTIONS AND OTHER NASD RULE VIOLATIONS

Product Type: Equity - OTC

Other Product Type(s): PRIVATE PLACEMENTS

Alleged Damages: \$15,000,000.00

Customer Complaint Information

Date Complaint Received: 11/11/2002

Complaint Pending? No



Status: Arbitration/Reparation

Status Date: 11/06/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION # 02-06260

Date Notice/Process Served: 11/06/2002

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JOSEPH STEVENS & CO. INC.

Allegations: NASD STATEMENT OF CLAIM ALLEGES MISREPRESENTATION, UNSUITABLE INVESTMENTS, UNAUTHORIZED TRANSACTIONS AND OTHER NASD RULE VIOLATIONS. THE BEFORE MENTIONED WAS SETTLED, BUT THE CLIENT FILED ANOTHER ARBITRATION CLAIMING THAT ORIGINAL SETTLEMENT HAD NOT BEEN FOLLOWED

Product Type: Other: SETTLEMENT PAYMENT

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date: 06/25/2014

Settlement Amount: \$400,000.00

Individual Contribution Amount: \$400,000.00

Civil Litigation Information



Type of Court:	State Court
Name of Court:	SUPREME COURT OF NEW YORK
Location of Court:	COUNTY OF ORANGE
Docket/Case #:	2013008139
Date Notice/Process Served:	10/03/2013
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	06/25/2014
Monetary Compensation Amount:	\$400,000.00
Individual Contribution Amount:	\$400,000.00
Broker Statement	THE CLIENT FILED THIS ARBITRATION BECAUSE HE BELIEVES HARRY DATYS BREACHED THE PREVIOUS SETTLEMENT REGARDING THIS MATTER. CASE SETTLED ON 06/25/2014

Disclosure 6 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GKN SECURITIES & JOSEPH STEVENS & CO.
Allegations:	THE STAEMENT OF CALIM ALLEGES UNAUTHORIZED AND UNSUITABLE INVESTMENTS RESULTED IN LOSSES TO CLAIMANT WHEN HE MAINTAINED AN ACCOUNT AT GKN SECURITIES. AFTER THE ACCOUNT WAS TRANSFERRED TO JOSEPH STEVENS & CO. THE CLAIMANT ALLEGED THE ACTIVITY CONTINUED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$325,000.00

Customer Complaint Information

Date Complaint Received:	10/29/1998
Complaint Pending?	No
Status:	Settled



Status Date: 10/01/1999
Settlement Amount: \$45,000.00
Individual Contribution Amount: \$22,500.00

Disclosure 7 of 8

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: JOSEPH STEVENS & CO., INC.

Allegations: THE STATEMENT OF CLAIM ALLEGES THAT A SALE WAS NOT ENTERED FOR DATATREND, A SECURITY BOUGHT BY THE CLAIMANTS ON A UNSOLICITED BASIS.

Product Type: Equity - OTC
Alleged Damages: \$142,730.00

Customer Complaint Information

Date Complaint Received: 10/15/1999
Complaint Pending? No
Status: Settled
Status Date: 10/19/2000
Settlement Amount: \$52,500.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - 99-04431
Date Notice/Process Served: 09/23/1999
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/19/2000



Monetary Compensation Amount: \$52,500.00

Individual Contribution Amount: \$0.00

Broker Statement THE FIRM DECIDED TO SETTLE IN ORDER TO AVOID LONG LITIGATION COSTS. THE CLAIMANT WITHDREW ALL CLAIMS AGAINST THE BROKER.

Disclosure 8 of 8

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: JOSEPH STEVENS & COMPANY, INC.

Allegations: OTHER; OMISSION OF FACTS; MISREPRESENTATION; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$422,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-03143

Date Notice/Process Served: 07/17/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/31/1998

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
** PARTIES SETTLED THRU MEDIATION **

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JOSEPH STEVENS & COMPANY, INC.

Allegations: THE [CUSTOMERS] ALLEGED THAT I PREACHED MY FUDICIARY RESPONSIBILITY WITH REGARD TO THE HANDLING OF THEIR ACCT.

**Product Type:****Alleged Damages:** \$422,000.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 07/31/1998**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 97-03143**Date Notice/Process Served:** 07/17/1997**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 07/31/1998**Monetary Compensation Amount:** \$195,000.00**Individual Contribution Amount:** \$0.00**Broker Statement**

THE FIRM AGREED TO PAY \$195,000 TO SETTLED THE MATTER WITHOUT ADMITTING ANY LIABILITY, AND SOLELY TO AVOID THE EXPENSE OF LITIGATION. I MADE NO CONTRIBUTION TO THE SETTLEMENT.

I VEHEMENTLY DENY ALL THE ALLEGATIONS SET FORTH BY [CUSTOMER] AND THE [CUSTOMER]. ALL TRANSACTIONS WERE DONE WITH [CUSTOMER]'S FULL KNOWLEDGE & CONSENT.



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 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL INC.

Allegations: [CUSTOMER] CLAIMES THAT HER BROKER HARRY DATYS MISREPRESENTED THAT A PRIVATE PLACEMENT SHE INVESTED IN WOULD GO PUBLIC IN SEPT 2014 AND THAT SHE WAS NEVER MADE AWARE THAT THE SHARES WOULD BE RESTRICTED.

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$75,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 09/16/2014

Complaint Pending? No

Status: Denied

Status Date: 10/14/2014

Settlement Amount:

Individual Contribution Amount:

Broker Statement [CUSTOMER] CLAIMES THAT HER BROKER HARRY DATYS MISREPRESENTED THAT A PRIVATE PLACEMENT SHE INVESTED IN WOULD GO PUBLIC IN SEPT 2014 AND THAT SHE WAS NEVER MADE AWARE THAT THE SHARES WOULD BE RESTRICTED. [CUSTOMER] SIGNED SUBSCRIPTION DOCUMENTS ACKNOWLEDGING THAT THE INVESTMENT



WAS ILLIQUID AND WOULD BE SO FOR AN INDEFINITE AMOUNT OF TIME.

Disclosure 2 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL INC
Allegations:	CLIENT CLAIMING THAT HE INVESTED IN A PRIVATE PLACEMENT AND WAS NEVER TOLD THAT HIS ENTIRE INVESTMENT COULD BE AT RISK. CLAIMING MISREPRESENTATION
Product Type:	Other: PRIVATE PLACEMENT
Alleged Damages:	\$50,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/05/2014
Complaint Pending?	No
Status:	Denied
Status Date:	08/19/2014
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Broker Statement	CLIENT CLAIMED THAT HE INVESTED IN A PRIVATE PLACEMENT AND WAS NEVER TOLD THAT HIS ENTIRE INVESTMENT COULD BE AT RISK. CLAIMING MISREPRESENTATION. THE CLIENT HAS PARTICIPATED IN MULTIPLE PRIVATE PLACEMENTS AND SIGNED OFF ON DOCUMENTS STATING THAT HE WAS AWARE OF ALL RISK FACTORS PROVIDED IN THE PPM INCLUDING POSSIBLE LOSS OF ENTIRE INVESTMENT.
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Disclosure 3 of 5



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL INC

Allegations: [CUSTOMER] IN AN EMAIL TO HARRY DATYS CLAIMES THAT HE WAS PROMISED HE WOULD RECEIVE MONIES FROM AN INVESTMENT BACK IN WEEKS, TO WHICH HE HAD NOT RECEIVED AT THE TIME OF THE EMAIL MONTHS LATER.

Product Type: Equity-OTC
Other: PRIVATE PLACEMENT

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): THE CLIENT DID NOT SPECIFY AN AMMOUNT THAT HE SHOULD OF RECEIVED

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/20/2012

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/04/2012

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement THE REP CLAIMS HE NEVER PROMISED [CUSTOMER] A DATE ON WHEN HIS FUNDS WOULD BE RETURNED, EITHER FROM FAGATA, OR YINLIPS, AS THESE ARE PRIVATE INVESTMENTS, AND PRIVATELY HELD COMPANIES. IN FACT [CUSTOMER] STATES IN HIS LETTER THAT HE IS FRUSTRATED THAT I HAVE NOT BEEN ABLE TO GIVE HIM A FIRM DATE AS TO WHEN THESE FUNDS WOULD BE RETURNED. THE FUNDS THAT I WAS REFERRING TO WERE THE SALES PROCEEDS OF ISORAY, (SYMBOL ISR) AND STUDIO ONE MEDIA (SYMBOL SOMD), THESE FUNDS WERE SENT TO HIM.



Disclosure 4 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: CUSTOMER ACKNOWLEDGED BUYING 50,000 SHARES OF NEW YORK HEALTHCARE SHARES ON 10/17/2006 AND NOT PAYING FOR THE TRANSACTION. THE LOSS RESULTED IN A \$7,897 LOSS IN THE ACCOUNT. WHEN A BRIDGE LOAN WAS PAID TO THE ACCOUNT FROM ANOTHER INVESTMENT CUSTOMER WAS UNHAPPY THAT THE \$7,897 LOSS WAS DEDUCTED FROM THE PROCEEDS AND CUSTOMER RECEIVED. CUSTOMER WAS SENT THE BALANCE OF PROCEEDS TO HIM.

Product Type: Equity - OTC

Alleged Damages: \$7,897.00

Customer Complaint Information

Date Complaint Received: 08/02/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/21/2006

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: STERLING FINANCIAL INVESTMENT GROUP, INC.

Allegations: CUSTOMER COMPLAINED THAT STOCK WAS DOWN AND WAS NOT LISTED ON THE AMEX. AMEX LISTING WAS APPLIED FOR, BUT NO ASSURANCES MADE AS TO IF OR WHEN IT WOULD BE LISTED.

Product Type: Other

Other Product Type(s): PRIVATE PLACEMENT



Alleged Damages: \$17,000.00

Customer Complaint Information

Date Complaint Received: 05/12/2005

Complaint Pending? No

Status: Denied

Status Date: 07/06/2005

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: STERLING FINANCIAL INVESTMENT GROUP, INC.

Allegations: CUSTOMER COMPLAINED THAT STOCK WAS DOWN AND WAS NOT LISTED ON THE AMEX. AMEX LISTING WAS APPLIED FOR, BUT NO ASSURANCES MADE AS TO IF OR WHEN IT WOULD BE LISTED.

Product Type: Other

Other Product Type(s): PRIVATE PLACEMENT

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 05/12/2005

Complaint Pending? No

Status: Denied

Status Date: 07/06/2005

Settlement Amount:

Individual Contribution Amount:



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WestPark Capital inc
Allegations:	unsuitable recommendations
Product Type:	Other: Private PLacements
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	No exact amount given

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	17-02536
Date Notice/Process Served:	12/13/2017
Arbitration Pending?	Yes
Broker Statement	Client was accredited and participated in multiple private placements prior to becoming my client. All transactions were approved and client completed sub docs containing PPM and risk factors.

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	STERLING FINANCIAL INVESTMENT
Allegations:	CUSTOMER COMPLAINED THAT STOCK WAS SUPPOSE TO BE LISTED ON AMEX. THE AMEX LISTING WAS APPLKIED FOR , BUT NO ASSURANCES



MADE AS TO LISTING.

Product Type: Other**Other Product Type(s):** PRIVATE PLACEMENT**Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 03/29/2006**Complaint Pending?** No**Status:** Litigation**Status Date:** 03/29/2006**Settlement Amount:****Individual Contribution Amount:****Civil Litigation Information****Court Details:** WESTERN DISTRICT OF TEXAS, AUSTIN DIVISION, NO. A-05-CA-1070-SS**Date Notice/Process Served:** 03/29/2006**Litigation Pending?** Yes**Disclosure 3 of 3****Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** JOSEPH STEVENS & COMPANY**Allegations:** UNAUTHORIZED TRANSACTIONS,CHURNING,EXCESSIVE TRADING**Product Type:** Equity - OTC**Alleged Damages:** \$24,000.00**Customer Complaint Information****Date Complaint Received:** 02/05/2004**Complaint Pending?** Yes**Settlement Amount:**



**Individual Contribution
Amount:**



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	JOSEPH STEVENS & COMPANY INC.
Termination Type:	Voluntary Resignation
Termination Date:	10/07/2002
Allegations:	THE FIRM WAS CONDUCTING AN INTERNAL REVIEW ON COMPLAINTS FROM THREE CLIENTS ALEEGING A VARIETY OF WRONGFUL ACTS, INCLUDING BUT NO LIMITED TO UNAUTHORIZED TRANSACTIONS.
Product Type:	Equity - OTC
Other Product Types:	
Broker Statement	IT WAS A VOLUNTARY RESIGNATION.



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	State of New York
Judgment/Lien Amount:	\$33,121.85
Judgment/Lien Type:	Tax
Date Filed with Court:	05/04/2018
Date Individual Learned:	11/26/2018
Type of Court:	State Court
Name of Court:	State of New York
Location of Court:	Orange County
Docket/Case #:	E-126544247-W004-4
Judgment/Lien Outstanding?	Yes

End of Report



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