

BrokerCheck Report

RAYMOND WALTER ROBERT BOROTA II

CRD# 1950804

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**RAYMOND W. BOROTA II**

CRD# 1950804

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

- B AEGIS CAPITAL CORP.**
 5420 LBJ FREEWAY
 SUITE 573
 DALLAS, TX 75240
 CRD# 15007
 Registered with this firm since: 03/15/2013

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:

- 3 Self-Regulatory Organizations
- 27 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 STERNE AGEE FINANCIAL SERVICES, INC.**
 CRD# 18456
 DALLAS, TX
 08/2009 - 03/2013
- B EMMETT A LARKIN COMPANY, INC.**
 CRD# 6625
 DALLAS, TX
 02/2006 - 08/2009
- B SALOMON GREY FINANCIAL CORPORATION**
 CRD# 43413
 JERSEY CITY, NJ
 05/1999 - 02/2006

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	2



Broker Qualifications

Registrations

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

This individual is currently registered with 3 SROs and is licensed in 27 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**

Main Office Address: **1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105**

Firm CRD#: **15007**

	SRO	Category	Status	Date
B	FINRA	Corporate Securities Represent	Approved	03/15/2013
B	FINRA	General Securities Principal	Approved	03/15/2013
B	FINRA	General Securities Representative	Approved	03/15/2013
B	NYSE Arca, Inc.	General Securities Principal	Approved	02/20/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/20/2025
B	Nasdaq Stock Market	Corporate Securities Represent	Approved	03/15/2013
B	Nasdaq Stock Market	General Securities Principal	Approved	03/15/2013
B	Nasdaq Stock Market	General Securities Representative	Approved	03/15/2013

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/13/2022
B	Arkansas	Agent	Approved	03/15/2013
B	California	Agent	Approved	03/15/2013
B	Colorado	Agent	Approved	02/02/2023
B	Connecticut	Agent	Approved	03/19/2013

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	03/15/2013
B	Georgia	Agent	Approved	03/20/2013
B	Idaho	Agent	Approved	07/12/2018
B	Illinois	Agent	Approved	03/18/2013
B	Louisiana	Agent	Approved	04/02/2013
B	Maryland	Agent	Approved	01/10/2024
B	Massachusetts	Agent	Approved	03/20/2013
B	Michigan	Agent	Approved	04/02/2013
B	Missouri	Agent	Approved	05/12/2022
B	Nebraska	Agent	Approved	05/18/2023
B	Nevada	Agent	Approved	05/22/2023
B	New Jersey	Agent	Approved	05/02/2013
B	New York	Agent	Approved	03/15/2013
B	Ohio	Agent	Approved	05/01/2013
B	Oklahoma	Agent	Approved	05/02/2013
B	Pennsylvania	Agent	Approved	03/15/2013
B	Rhode Island	Agent	Approved	03/15/2013
B	Tennessee	Agent	Approved	07/11/2023
B	Texas	Agent	Approved	04/29/2013
B	Utah	Agent	Approved	03/15/2013
B	Virginia	Agent	Approved	03/15/2013

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory		Category	Status	Date
B	Washington	Agent	Approved	09/15/2020

Branch Office Locations

AEGIS CAPITAL CORP.
5420 LBJ FREEWAY
SUITE 573
DALLAS, TX 75240



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 General Securities Principal Examination	Series 24	02/08/2001

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/15/1994
B Corporate Securities Limited Representative Examination	Series 62	06/27/1991

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/29/1991

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2009 - 03/2013	STERNE AGEE FINANCIAL SERVICES, INC.	18456	DALLAS, TX
B 02/2006 - 08/2009	EMMETT A LARKIN COMPANY, INC.	6625	DALLAS, TX
B 05/1999 - 02/2006	SALOMON GREY FINANCIAL CORPORATION	43413	JERSEY CITY, NJ
B 11/1995 - 04/1999	PACIFIC CORTEZ SECURITIES INCORPORATED	24341	SAN DIEGO, CA
B 11/1994 - 10/1995	VTR CAPITAL, INC.	21404	NEW YORK, NY
B 10/1994 - 11/1994	INVESTORS ASSOCIATES, INC.	958	HACKENSACK, NJ
B 07/1991 - 09/1994	J. GREGORY & COMPANY, INC.	14892	
B 07/1991 - 12/1991	BARRON CHASE SECURITIES, INC.	18969	BOCA RATON, FL
B 09/1991 - 10/1991	CHATFIELD DEAN & CO., INC.	14714	GREENWOOD VILLAGE, CO

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
03/2013 - Present	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, 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.

No information reported.

Registration and Employment History



Disclosure Events



What you should know about reported disclosure events:

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

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

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SALOMON GREY
Allegations:	ALLEGED UNSUITABLE RECOMMENDATIONS, ALLEGED UNAUTHORIZED TRADES AND ALLEGED FAILURE TO DISCLOSE COMMISSIONS.
Product Type:	Equity - OTC
Alleged Damages:	\$17,777.57

Customer Complaint Information

Date Complaint Received:	04/21/2005
Complaint Pending?	No
Status:	Settled
Status Date:	06/02/2005
Settlement Amount:	\$4,500.00
Individual Contribution Amount:	\$4,500.00
Broker Statement	BROKER HAS DENIED ALL ALLEGATIONS

Disclosure 2 of 2

Reporting Source:	Regulator
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Employing firm when activities occurred which led to the complaint: .J. GREGORY & COMPANY, INC.

Allegations: BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$160,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-05114

Date Notice/Process Served: 02/28/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/02/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND
SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER
FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY;
ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS,
AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF,
RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT
JOINTLY
AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST
IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,
AWARD
AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND
SEVERALLY

Reporting Source: Broker



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

Allegations: UNSUITABILITY \$160,000

Product Type: Debt - Corporate

Alleged Damages: \$160,000.00

Customer Complaint Information

Date Complaint Received: 02/26/1996

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/02/1996

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 95-05114

Date Notice/Process Served: 02/28/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/02/1996

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00

Broker Statement NOT PROVIDED
[CUSTOMER'S] WERE CLIENTS OF MINE AT J. GROAM & CO. FROM FEB. 99 THROUGH AUG. 94. THE [CUSTOMERS] PURCHASED SECURITIES IN 3 ACCOUNTS JOINT.INDIVIDUAL AND IR. THEY BOUGHT SEVERAL DIFFERENT STOCKS AT THE TIME WITH NO PROBLEMS IN AUG 94 I LEFT THE FIRM AND JOINED VTR CAPITAL. THE STOCK THAT WAS BOUGHT BY ME WAS SOLD BY BROKER WHO TOOK OVER



THE ACCOUNT. AT LOSSES. THE [CUSTOMERS] TRANSFERRED TO VTR
CAPITAL
AND MADE WITH ME, BUT STILL UNHAPPY WITH J. GREGORY & CO. THE
[CUSTOMERS] THEN TRANSFERRED TO MERRIL LYNCH. THE [CUSTOMERS]
THEN
PROCEEDED TO FILE ARBITRATION.

End of Report



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