

## BrokerCheck Report

**ANILESH AHUJA**

CRD# 1969746

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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.

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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](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)

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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 DEUTSCHE BANK SECURITIES INC.**  
CRD# 2525  
NEW YORK, NY  
10/2004 - 08/2008
- B RBS GREENWICH CAPITAL**  
CRD# 11707  
STAMFORD, CT  
06/2000 - 10/2004
- B GREENWICH CAPITAL MARKETS, INC.**  
CRD# 11707  
STAMFORD, CT  
03/1997 - 05/2000

### 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 | 1     |
| Criminal         | 1     |

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.**

### Principal/Supervisory Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| <b>B</b> General Securities Principal Examination | Series 24 | 12/07/2004 |

### General Industry/Product Exams

| Exam   | Category | Date       |
|--|----------|------------|
| <b>B</b> General Securities Representative Examination | Series 7 | 01/11/1993 |

### State Securities Law Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 11/20/2000 |

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.

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](#).



## 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> 10/2004 - 08/2008 | DEUTSCHE BANK SECURITIES INC.     | 2525  | NEW YORK, NY    |
| <b>B</b> 06/2000 - 10/2004 | RBS GREENWICH CAPITAL             | 11707 | STAMFORD, CT    |
| <b>B</b> 03/1997 - 05/2000 | GREENWICH CAPITAL MARKETS, INC.   | 11707 | STAMFORD, CT    |
| <b>B</b> 11/1992 - 02/1997 | LEHMAN BROTHERS INC.              | 7506  | NEW YORK, NY    |
| <b>B</b> 11/1992 - 10/1995 | LEHMAN GOVERNMENT SECURITIES INC. | 19655 |                 |
| <b>B</b> 11/1992 - 07/1994 | LEHMAN SPECIAL SECURITIES INC.    | 7242  |                 |

### 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           |
|-------------------|-------------------------------|-------------|--------------------|-----------------------------|
| 03/2010 - Present | BRANT POINT CAPITAL, LLC      | DIRECTOR    | Y                  | NEW YORK, NY, United States |
| 08/2008 - Present | PREMIUM POINT INVESTMENTS LLC | CEO AND CIO | Y                  | NEW YORK, NY, 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 | 1     | 0         |
| Criminal         | 1     | 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 1

|  |   |
|--|---|
| <b>Reporting Source:</b>   | Regulator   |
| <b>Regulatory Action Initiated By:</b>   | UNITED STATES SECURITIES AND EXCHANGE COMMISSION  |
| <b>Sanction(s) Sought:</b>   | Other: n/a  |
| <b>Date Initiated:</b>   | 09/28/2022  |
| <b>Docket/Case Number:</b>   | 3-21175   |
| <b>Employing firm when activity occurred which led to the regulatory action:</b> | n/a   |
| <b>Product Type:</b>   | No Product  |
| <b>Allegations:</b>  | The Securities and Exchange Commission ("Commission") deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted pursuant to Section 203(f) of the Investment Advisers Act of 1940 ("Advisers Act") against Anilesh Ahuja ("Ahuja" or "Respondent"). The Commission finds that in September 20, 2022, a final judgment was entered by consent against Ahuja, permanently enjoining him from future violations of Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5(a) and (c) thereunder, Sections 17(a)(1) and (3) of the Securities Act of 1933, and Advisers Act Sections 206(1), (2), and (4) and Rule 206(4)-8(a)(2) thereunder, in the civil action entitled Securities and Exchange Commission v. Premium Point Investments LP, et al., 18 Civ. 4145 (JPC), in the United States District Court for the Southern District of New York. The Commission's amended complaint alleged that, from at least September 2015 through March 2016, Ahuja engaged in a fraudulent scheme to inflate the value of securities held by several private investment funds managed by Ahuja and Premium Point. The amended complaint further alleged that Ahuja sought to hide the funds' poor performance, both to stem redemptions and to persuade investors to invest in a new fund. On April 22, 2022, Ahuja pleaded guilty to one violation of securities fraud before the United States District Court for the Southern District of New York, in United States v. Ahuja et al., 18 Cr. 328 (KPF) (S.D.N.Y.). The count |



of the indictment to which Ahuja pleaded guilty alleged that Ahuja defrauded investors by participating in an effort to deceptively mismark the value of certain securities held by one of the private funds he and Premium Point managed, and thus fraudulently inflated the net asset value of the fund as reported to investors.

|   |                 |
|---|-----------------|
| <b>Current Status:</b>  | Final           |
| <b>Resolution:</b>  | Order           |
| <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>   | 09/28/2022      |
| <b>Sanctions Ordered:</b>   | Bar (Permanent) |
| <b>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?</b>   | No              |
| <b>(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?</b> |                 |



**(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?**

**Sanction 1 of 1**

|                             |   |
|-----------------------------|---|
| <b>Sanction Type:</b>       | Bar (Permanent)   |
| <b>Capacities Affected:</b> | association with a broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or NRSRO |
| <b>Duration:</b>            | Indefinite  |
| <b>Start Date:</b>          | 09/28/2022  |
| <b>End Date:</b>            |   |



**Regulator Statement**

Respondent has submitted an Offer of Settlement (the "Offer") which the Commission has determined to accept. Accordingly, it is hereby ordered that Respondent Ahuja be, and hereby is barred from association with any investment adviser, broker, dealer, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization ("NRSRO").



## Criminal - Final Disposition

This type of disclosure event involves a conviction or guilty plea for any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently on appeal.

### Disclosure 1 of 1

|  |   |
|--|---|
| <b>Reporting Source:</b>               | Regulator   |
| <b>Formal Charges were brought in:</b> | Federal Court   |
| <b>Name of Court:</b>                  | U.S. District Court for the Southern District of New York |
| <b>Location of Court:</b>              | New York, NY  |
| <b>Docket/Case #:</b>                  | 1:18cr328   |
| <b>Charge Date:</b>                    | 05/07/2018  |
| <b>Charge(s) 1 of 4</b>                |   |
| <b>Formal Charge(s)/Description:</b>   | CONSPIRACY TO COMMIT SECURITIES FRAUD                     |
| <b>No of Counts:</b>                   | 1   |
| <b>Felony or Misdemeanor:</b>          | Felony  |
| <b>Plea for each charge:</b>           | not guilty  |
| <b>Disposition of charge:</b>          |   |
| <b>Charge(s) 2 of 4</b>                |   |
| <b>Formal Charge(s)/Description:</b>   | FRAUD BY WIRE, RADIO, OR TELEVISION                       |
| <b>No of Counts:</b>                   | 1   |
| <b>Felony or Misdemeanor:</b>          | Felony  |
| <b>Plea for each charge:</b>           | not guilty  |
| <b>Disposition of charge:</b>          |   |
| <b>Charge(s) 3 of 4</b>                |   |
| <b>Formal Charge(s)/Description:</b>   | MANIPULATIVE AND DECEPTIVE DEVICES (SECURITIES FRAUD)     |
| <b>No of Counts:</b>                   | 1   |
| <b>Felony or Misdemeanor:</b>          | Felony  |
| <b>Plea for each charge:</b>           | not guilty  |

**Disposition of charge:****Charge(s) 4 of 4****Formal  
Charge(s)/Description:**

ATTEMPT AND CONSPIRACY TO COMMIT WIRE FRAUD

**No of Counts:**

1

**Felony or Misdemeanor:**

Felony

**Plea for each charge:**

not guilty

**Disposition of charge:****Current Status:**

Final

**Status Date:**

11/25/2019

**Disposition Date:**

11/25/2019

**Sentence/Penalty:**

Ahuja is hereby committed to the custody of the Federal Bureau of Prisons to be imprisoned for a total term of 50 months to run concurrently on Counts One, Two, Three, and Four. Upon release from imprisonment, Ahuja will be on supervised release for a term of three years to run concurrently on Counts One, Two, Three, and Four. In addition, Ahuja is ordered to pay an assessment of \$400.

**Regulator Statement**

On July 11, 2019 a jury entered a guilty verdict against Anilesh Ahuja on all counts. Sentencing is schedule for November 25, 2019.

On November 25, 2019, the U.S. District Court for the Southern District of New York issued a Final Judgment as to Defendant Anilesh Ahuja. Ahuja was found guilty on Count One: Conspiracy to Commit Securities Fraud; Count Two: Conspiracy to Commit Wire Fraud; Count Three: Securities Fraud; and Count Four Wire Fraud. All open counts are dismissed on the motion of the United States.

## End of Report



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