BrokerCheck Report

Alan Weiss

CRD# 2009858

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.

Alan Weiss

CRD# 2009858

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

B **R. F. LAFFERTY & CO., INC.**
40 WALL STREET
SUITE 3602
NEW YORK, NY 10005
CRD# 2498
Registered with this firm since: 06/22/2020

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:

- 2 Self-Regulatory Organizations
- 14 U.S. states and territories

This broker has passed:

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

Registration History

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

B **J.H. DARBIE & CO., INC.**
CRD# 43520
NEW YORK, NY
02/2017 - 07/2020

B **NEWBRIDGE SECURITIES CORPORATION**
CRD# 104065
NEW YORK, NY
10/2016 - 03/2017

B **LEGEND SECURITIES, INC.**
CRD# 44952
NEW YORK, NY
11/2013 - 10/2016

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	2
Customer Dispute	4

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 2 SROs and is licensed in 14 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **R. F. LAFFERTY & CO., INC.**

Main Office Address: **40 WALL STREET**
SUITE 3602
NEW YORK, NY 10005

Firm CRD#: **2498**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/22/2020
B	FINRA	Securities Trader	Approved	06/22/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	06/22/2020
B	Nasdaq Stock Market	Securities Trader	Approved	06/22/2020

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	06/22/2020
B	Connecticut	Agent	Approved	07/08/2020
B	Delaware	Agent	Approved	08/11/2020
B	Florida	Agent	Approved	06/23/2020
B	Georgia	Agent	Approved	06/22/2020
B	Illinois	Agent	Approved	08/12/2020
B	Kansas	Agent	Approved	02/18/2021
B	Maryland	Agent	Approved	06/22/2020
B	New Hampshire	Agent	Approved	06/22/2020

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	06/24/2020
B	New York	Agent	Approved	06/22/2020
B	Pennsylvania	Agent	Approved	06/22/2020
B	Texas	Agent	Approved	06/24/2020
B	Wisconsin	Agent	Approved	01/14/2021

Branch Office Locations

R. F. LAFFERTY & CO., INC.
40 WALL STREET
SUITE 3602
NEW YORK, NY 10005

Broker Qualifications

Industry Exams this Broker has Passed

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

This individual has passed 0 principal/supervisory exams, 4 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
B	Securities Trader Exam	Series 57TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam	Series 55	03/18/1999
B	General Securities Representative Examination	Series 7	12/18/1989

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	12/29/1989

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	02/2017 - 07/2020	J.H. DARBIE & CO., INC.	43520	NEW YORK, NY
B	10/2016 - 03/2017	NEWBRIDGE SECURITIES CORPORATION	104065	NEW YORK, NY
B	11/2013 - 10/2016	LEGEND SECURITIES, INC.	44952	NEW YORK, NY
B	01/2006 - 11/2012	MAXIM GROUP LLC	120708	NEW YORK, NY
B	12/2000 - 01/2006	EARLYBIRDCAPITAL, INC.	28629	MELVILLE, NY
B	01/2000 - 08/2001	GKN SECURITIES CORP.	19415	NEW YORK, NY
B	01/2000 - 01/2000	ANDOVER BROKERAGE, L.L.C.	33848	MONTEBELLO, NY
B	01/1999 - 04/1999	ETG, L.L.C.	37453	NEW YORK, NY
B	08/1991 - 01/1999	GKN SECURITIES CORP.	19415	NEW YORK, NY
B	12/1989 - 09/1991	D. H. BLAIR & CO., INC.	6833	NEW YORK, 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	Employer Name	Position	Investment Related	Employer Location
06/2020 - Present	R F Lafferty & Co Inc	Investment Banking	Y	New York, NY, United States
12/2014 - Present	Interbill	Salesman	N	New York, NY, United States
02/2017 - 06/2020	JH DARBIE & CO INC	BROKER	Y	NEW YORK, NY, United States
10/2016 - 02/2017	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
11/2013 - 10/2016	LEGEND SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States

Registration and Employment History

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.

"INTERBILL." NON-INVESTMENT RELATED/ FAR ROCKAWAY, NY/ CREDIT CARD PROCESSING/ MAKE INTRODUCTIONS/ NO TITLE/ WORK APPROXIMATELY 2 HOURS A MONTH/ STARTED 12/2014

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.
   -
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
Regulatory Event	0	2	0
Customer Dispute	0	4	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS SECURITIES DEPARTMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/16/1998
Docket/Case Number:	9800174
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	RESPONDENT'S SALESPERSON REGISTRATION IS SUBJECT TO REVOCATION BASED UPON AN ACCEPTED LETTER OF ACCEPTANCE, WAIVER AND CONSENT (AWC) IN CASE NUMBER C10971068 ISSUED BY THE NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC., DISTRICT BUSINESS CONDUCT COMMITTEE FOR DISTRICT 10 (NASD-DBCC) WHICH IMPOSED THE FOLLOWING SANCTIONS UPON THE RESPONDENT: CENSURED; FINED $4,000; AND SUSPENDED FORM ASSOCIATION WITH

ANY
MEMBER FIRM IN ANY CAPACITY FOR A PERIOD OF THREE (3) BUSINESS DAYS.

Current Status:	Final
Resolution:	Consent
Resolution Date:	08/27/1998
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	CONSENT ORDER OF CENSURE ISSUED AUGUST 27, 1998. RESPONDENT IS CENSURED.
Regulator Statement	CONTACT: 217-785-4948

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF ILLINOIS
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	06/16/1998
Docket/Case Number:	9800174
Employing firm when activity occurred which led to the regulatory action:	GKN SECURITIES CORP.
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	BASED UPON A PREVIOUS DERIVATIVE CLAIM ARISING FROM AN NASD CONSENT ORDER
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/27/1998
Sanctions Ordered:	Censure

Other Sanctions Ordered:	
Sanction Details:	AGREED TO A SIMPLE CENSURE COLLARED WITH A SIMILIAR FINDING OF NO VIOLATION OF ILLINOIS LAW
Broker Statement	NOT PROVIDED

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/13/1997
Docket/Case Number:	C10970168
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/13/1997
Sanctions Ordered:	Censure Monetary/Fine $4,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON AUGUST 13, 1997, DISTRICT NO. 10 NOTIFIED ALAN WEISS THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C10970168 WAS ACCEPTED; THEREFORE, RESPONDENT WEISS IS CENSURED, FINED $4,000

AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR THREE BUSINESS DAYS - (NASD RULES 2110 AND 2440 - RESPONDENT WEISS CHARGED RETAIL CUSTOMERS UNFAIR PRICES IN TRANSACTIONS WHERE THE GROSS COMMISSIONS RANGED FROM APPROXIMATELY 12 TO 20 PERCENT OF THE PRINCIPAL AMOUNT OF THE TRANSACTION).

THE SUSPENSION WILL COMMENCE WITH THE OPENING SEPTEMBER 15, 1997 AND WILL CONCLUDE SEPTEMBER 17, 1997.

$4,000.00 PAID ON 9/11/97, INVOICE #97-10-736

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD REGULATION INC
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	08/13/1997
Docket/Case Number:	C10970168
Employing firm when activity occurred which led to the regulatory action:	GKN SECURITIES CORP.
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	VIOLATION OF NASD CONDUCT RULES 2110 AND 2440
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/13/1997
Sanctions Ordered:	Censure Monetary/Fine $4,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS APPLICANT AGREED TO: CENSURE FINE OF $4,000, SUSPENSION WITH

ANY MEMBER IN ANY CAPACITY FOR A PERIOD OF THREE (3) BUSINESS DAYS.

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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EARLYBIRDCAPITAL, INC.
Allegations:	UNAUTHORIZED TRADING, USE OF MARGIN. BREACH OF FIDUCIARY DUTY.
Product Type:	Equity - OTC
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received:	04/20/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	04/20/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD # 01-01933
Date Notice/Process Served:	04/20/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/25/2002
Monetary Compensation Amount:	$132,500.00
Individual Contribution Amount:	$100,000.00

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GKN SECURITIE CORP
Allegations:	UNAUTHORIZED TRANSACTIONS AND MISHANDLINGS OF THIS CLIENT'S ACCOUNT. ALLEGED DAMAGES IN EXCESS OF $30,000.
Product Type:	Equity - OTC
Alleged Damages:	$30,000.00

Customer Complaint Information

Date Complaint Received:	06/08/1992
Complaint Pending?	No
Status:	Settled
Status Date:	01/19/1993
Settlement Amount:	$20,000.00
Individual Contribution Amount:	$10,000.00
Broker Statement	WITHOUT ADMITTING ANY WRONGDOING THIS MATTER WAS SETTLED FOR $20,000 OF WHICH MY LIABILITY WAS $10,000. NOT PROVIDED

Disclosure 3 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	GKN SECURITIES CORP.
Allegations:	OTHER; ACCOUNT RELATED - FAILURE TO SUPERVISE; MISREPRESENTATION; COMMON STOCK
Product Type:	
Alleged Damages:	$39,170.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #92-03583
Date Notice/Process Served:	11/12/1992
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/10/1993
Disposition Detail:	CASE IS CLOSED, SETTLED Not Provide

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GKN SECURITIES CORP.
Allegations:	ALLEGED 10B-5-6 RICO VIOLATIONS, MONETARY DAMAGES OF $39,170 AS A RESULT
Product Type:	Equity - OTC
Alleged Damages:	$39,170.00

Customer Complaint Information

Date Complaint Received:	11/12/1992
Complaint Pending?	No
Status:	Arbitration/Reparation Settled
Status Date:	09/10/1993
Settlement Amount:	$18,335.00
Individual Contribution Amount:	$18,335.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 92-03583
Date Notice/Process Served:	11/12/1992

Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/10/1993
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$18,335.00
Broker Statement	DISPUTE WAS SETTLED DIRECTLY FROM NASD ARBITRATION PROCESS. THE TOTAL AMOUNT OF MY LIABILITY IS $18,335. NOT PROVIDED

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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GKN SECURITIES CORP.
Allegations:	UNSUITABLE TRANSACTIONS.
Product Type:	Equity - OTC
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	11/19/1999
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/15/1999
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	FIRM REVIEWED MATTER AND DETERMINED THAT NO FURTHER ACTION WAS WARRANTED.

End of Report

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