

## BrokerCheck Report

**MICHAEL ROLF SIEK**

CRD# 2072767

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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](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).



MICHAEL R. SIEK

CRD# 2072767

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

- B** **DOMINARI SECURITIES LLC**  
725 FIFTH AVENUE, 23RD FL.  
NEW YORK, NY 10022  
CRD# 18975  
Registered with this firm since: 03/04/2024

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
- 48 U.S. states and territories

This broker has passed:

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

Registration History

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

- B** **AEGIS CAPITAL CORP.**  
CRD# 15007  
NEW YORK, NY  
12/2014 - 04/2024
- B** **SPENCER TRASK VENTURES, INC.**  
CRD# 28373  
NEW YORK, NY  
04/1997 - 02/2015
- B** **LAIDLAW EQUITIES, INC.**  
CRD# 19018  
NEW YORK, NY  
04/1996 - 04/1997

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	6
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 48 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **DOMINARI SECURITIES LLC**

Main Office Address: **725 FIFTH AVENUE, 23RD FL.  
NEW YORK, NY 10022**

Firm CRD#: **18975**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	03/04/2024
B	FINRA	General Securities Representative	Approved	03/04/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/09/2024
B	Alaska	Agent	Approved	03/04/2024
B	Arizona	Agent	Approved	03/04/2024
B	Arkansas	Agent	Approved	03/04/2024
B	California	Agent	Approved	03/04/2024
B	Colorado	Agent	Approved	03/04/2024
B	Connecticut	Agent	Approved	03/04/2024
B	Delaware	Agent	Approved	03/04/2024
B	District of Columbia	Agent	Approved	03/04/2024
B	Florida	Agent	Approved	03/04/2024
B	Georgia	Agent	Approved	04/18/2024

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	03/11/2024
B	Illinois	Agent	Approved	03/19/2024
B	Indiana	Agent	Approved	03/08/2024
B	Iowa	Agent	Approved	03/04/2024
B	Kansas	Agent	Approved	03/04/2024
B	Kentucky	Agent	Approved	03/04/2024
B	Louisiana	Agent	Approved	04/09/2024
B	Maine	Agent	Approved	03/04/2024
B	Maryland	Agent	Approved	03/04/2024
B	Massachusetts	Agent	Approved	04/12/2024
B	Michigan	Agent	Approved	03/04/2024
B	Minnesota	Agent	Approved	04/03/2024
B	Missouri	Agent	Approved	03/04/2024
B	Montana	Agent	Approved	03/13/2024
B	Nebraska	Agent	Approved	04/04/2024
B	Nevada	Agent	Approved	03/04/2024
B	New Jersey	Agent	Approved	03/04/2024
B	New Mexico	Agent	Approved	03/04/2024
B	New York	Agent	Approved	03/04/2024
B	North Dakota	Agent	Approved	03/04/2024
B	Ohio	Agent	Approved	03/04/2024



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oklahoma	Agent	Approved	03/04/2024
B	Pennsylvania	Agent	Approved	03/04/2024
B	Puerto Rico	Agent	Approved	04/05/2024
B	Rhode Island	Agent	Approved	03/04/2024
B	South Carolina	Agent	Approved	03/04/2024
B	South Dakota	Agent	Approved	03/04/2024
B	Tennessee	Agent	Approved	03/04/2024
B	Texas	Agent	Approved	03/04/2024
B	Utah	Agent	Approved	03/05/2024
B	Vermont	Agent	Approved	03/04/2024
B	Virgin Islands	Agent	Approved	05/15/2024
B	Virginia	Agent	Approved	03/04/2024
B	Washington	Agent	Approved	04/03/2024
B	West Virginia	Agent	Approved	03/04/2024
B	Wisconsin	Agent	Approved	03/04/2024
B	Wyoming	Agent	Approved	03/04/2024

### Branch Office Locations

**DOMINARI SECURITIES LLC**  
 725 FIFTH AVENUE, 23RD FL.  
 NEW YORK, NY 10022



## 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, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	08/05/2013

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	07/23/1990

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	08/03/1990

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/](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.





## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 12/2014 - 04/2024	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
<b>B</b> 04/1997 - 02/2015	SPENCER TRASK VENTURES, INC.	28373	NEW YORK, NY
<b>B</b> 04/1996 - 04/1997	LAIDLAW EQUITIES, INC.	19018	NEW YORK, NY
<b>B</b> 01/1993 - 05/1996	T.R. WINSTON & COMPANY, INC.	10571	BEDMINSTER, NJ
<b>B</b> 07/1990 - 12/1992	LEHMAN BROTHERS INC.	7506	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
03/2024 - Present	DOMINARI SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
12/2014 - 03/2024	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	WESTPORT, CT, 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.

1)SIEK CAPITAL, LLC 47 Charolais Way, Burlington, Ct 06013; CEO, LLC ESATBLISHED FOR 1099 TAX PURPOSES, NOT INVESTMENT RELATED; START DATE: 04/18/2016; 1 HOUR PER MONTH DEVOTED TO BUSINESS DURING NON-SECURITIES TRADING HOURS.

## 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
Customer Dispute	2	4	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.

### Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	T.R. WINSTON & CO.
<b>Allegations:</b>	SUITABILITY; CHURNING; MISREPRESENTATION; IMPROPERLY AND NEGLIGENTLY HANDLED ACCOUNT; BREACH OF FIDUCIARY DUTY
<b>Product Type:</b>	
<b>Alleged Damages:</b>	\$50,000.00
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	<a href="#">UNKNOWN - CASE #95-01028</a>
<b>Date Notice/Process Served:</b>	03/13/1995
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Other
<b>Disposition Date:</b>	01/30/1998
<b>Disposition Detail:</b>	AWARD AGAINST PARTY **10/12/98RW-SIEK WAS JOINTLY AND SEVERALLY LIABLE FOR \$15,476.00 PLUS INTEREST IN DAMAGES.



**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** T.R. WINSTON & CO.

**Allegations:** ALLEGATIONS OF UNSUITABLE AND EXCESSIVE TRADING CLAIMED LOSSES OF APPROXIMATELY \$50,000.

**Product Type:**

**Alleged Damages:** \$50,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-01028](#)

**Date Notice/Process Served:** 03/13/1995

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 01/30/1998

**Monetary Compensation Amount:** \$15,476.00

**Individual Contribution Amount:**

**Broker Statement** AWARD ENTERED JOINTLY AND SEVERALLY AGAINST MICHAEL SIEK AND T R WINSTON & COMPANY IN AMOUNT OF \$13,476.00 PLUS INTEREST FROM MARCH 15, 1995 THROUGH DATE OF PAYMENT AT A RATE OF 7% PER ANNUM.



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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	SPENCERT TRASK VENTURES
<b>Allegations:</b>	UNSUITABILITY
<b>Product Type:</b>	Other: PRIVATE EQUITY
<b>Alleged Damages:</b>	\$605,350.36

### Arbitration Information

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

<b>Docket/Case #:</b>	08-02603
<b>Date Notice/Process Served:</b>	09/12/2008
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Withdrawn
<b>Disposition Date:</b>	01/04/2010
<b>Monetary Compensation Amount:</b>	\$9,500.00
<b>Individual Contribution Amount:</b>	\$0.00

### Disclosure 2 of 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	SPENCER TRASK VENTURES
<b>Allegations:</b>	UNSUITABILITY
<b>Product Type:</b>	Other: PRIVATE EQUITY



**Alleged Damages:** \$426,612.00

### Arbitration Information

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

**Docket/Case #:** 08-02604

**Date Notice/Process Served:** 08/27/2008

**Arbitration Pending?** No

**Disposition:** Withdrawn

**Disposition Date:** 10/26/2009

**Monetary Compensation Amount:** \$9,500.00

**Individual Contribution Amount:** \$0.00

### Disclosure 3 of 3

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** LAIDLAW EQUITIES, INC.

**Allegations:** MISREPRESENTATION; OMISSION OF FACTS; ACCOUNT RELATED-NEGLIGENCE

**Product Type:**

**Alleged Damages:** \$648,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #97-02938

**Date Notice/Process Served:** 07/07/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/30/1998



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

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**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** LAIDLAW EQUITIES, INC.

**Allegations:** Equitable recision, breach of fiduciary duty, negligence, breach of contract, fraud, negligent misrepresentation, federal securities law violations, seeking approximate damages of \$648,000.00.

**Product Type:**

**Alleged Damages:** \$648,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 07/30/1998

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 97-02938

**Date Notice/Process Served:** 07/07/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/30/1998

**Monetary Compensation Amount:** \$250,000.00

**Individual Contribution Amount:**





**Firm Statement** Pending  
Not Provided

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** LAIDLAW EQUITIES, INC.  
**Allegations:** UNSUITABLE RECOMMENDATIONS  
**Product Type:**  
**Alleged Damages:** \$648,000.00

### Customer Complaint Information

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 07/30/1998  
**Settlement Amount:**  
**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 97-02938  
**Date Notice/Process Served:** 07/07/1997  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 07/30/1998  
**Monetary Compensation Amount:** \$250,000.00  
**Individual Contribution Amount:**

**Broker Statement** LAIDLAW EQUITIES MY FORMER EMPLOYER PAID APPROXIMATELY \$250,000. IN SETTLEMENT OF THE CUSTOMERS CLAIMS.



ALL CLAIMS AGAINST ME AND THE FIRM HAVE BEEN DISMISSED.  
NOT PROVIDED



## 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 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	AEGIS CAPITAL CORP.
<b>Allegations:</b>	Time frame: Unspecified. Claimants allege unsuitable investments.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Unspecified damages. Estimated to be \$5,000 or greater
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA, Des Moines IA
<b>Docket/Case #:</b>	24-02557
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	12/03/2024

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/03/2024
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** AEGIS CAPITAL CORP.

**Allegations:** Time frame: Unspecified. Claimants allege unsuitable investments.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Unspecified damages. Estimated to be \$5,000 or greater

**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, Des Moines IA

**Docket/Case #:** 24-02557

**Filing date of arbitration/CFTC reparation or civil litigation:** 12/03/2024

### Customer Complaint Information

**Date Complaint Received:** 12/03/2024

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 2 of 2

**Reporting Source:** Firm



**Employing firm when activities occurred which led to the complaint:** AEGIS CAPITAL CORP.

**Allegations:** Time Frame: 2015 to Present. The Claimant alleges unsuitable investments.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Unspecified damages. The firm has made a good faith determination that the damages from the alleged conduct would be greater than \$5,000.

**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; Los Angeles, CA

**Docket/Case #:** 24-01989

**Filing date of arbitration/CFTC reparation or civil litigation:** 09/16/2024

### Customer Complaint Information

**Date Complaint Received:** 09/17/2024

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** AEGIS CAPITAL CORP.

**Allegations:** The Claimant alleges unsuitable investments.

**Product Type:** Equity Listed (Common & Preferred Stock)



<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Employing firm made a good faith determination that the damages from the alleged conduct would be greater than \$5,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA; Los Angeles, CA
<b>Docket/Case #:</b>	24-01989
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	09/16/2024

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/17/2024
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



## Judgment / Lien

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

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	Connecticut - Department of Revenue Services (DRS)
<b>Judgment/Lien Amount:</b>	\$40,679.69
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	09/17/2024
<b>Date Individual Learned:</b>	10/01/2024
<b>Type of Court:</b>	Payment plan done over the phone. No court docs provided.
<b>Name of Court:</b>	Department of Revenue Services - Connecticut
<b>Location of Court:</b>	Hartford, CT
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Payment plan is in place.

## End of Report



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