

BrokerCheck Report

MARY GRACE FISCHETTI

CRD# 208406

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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:
 - 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.

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.

**MARY G. FISCHETTI**

CRD# 208406

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

- B A.G.P. / ALLIANCE GLOBAL PARTNERS**
 590 Madison Avenue
 28th Floor
 New York, NY 10022
 CRD# 8361
 Registered with this firm since: 12/09/2020

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
- 5 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 AEGIS CAPITAL CORP.**
 CRD# 15007
 NEW YORK, NY
 07/2014 - 12/2020
- B DU PASQUIER & CO., INC.**
 CRD# 24750
 NEW YORK, NY
 01/2006 - 07/2014
- B JANNEY MONTGOMERY SCOTT LLC**
 CRD# 463
 PHILADELPHIA, PA
 03/1979 - 01/2006

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
Regulatory Event	1
Termination	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 2 SROs and is licensed in 5 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **A.G.P. / ALLIANCE GLOBAL PARTNERS**

Main Office Address: **88 POST ROAD WEST
2ND FLOOR
WESTPORT, CT 06880**

Firm CRD#: **8361**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	12/09/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	12/09/2020

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	12/09/2020
B	Florida	Agent	Approved	12/09/2020
B	New Jersey	Agent	Approved	12/09/2020
B	New York	Agent	Approved	12/09/2020
B	Wyoming	Agent	Approved	10/20/2021

Branch Office Locations

A.G.P. / ALLIANCE GLOBAL PARTNERS
590 Madison Avenue
28th Floor
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 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 General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B AMEX Put and Call Exam	PC	09/19/1984
B Registered Representative Examination	Series 1	03/01/1968

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/12/1984

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 07/2014 - 12/2020	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
B 01/2006 - 07/2014	DU PASQUIER & CO., INC.	24750	NEW YORK, NY
B 03/1979 - 01/2006	JANNEY MONTGOMERY SCOTT LLC	463	PHILADELPHIA, PA
B 04/1976 - 03/1979	MOSELEY, HALLGARTEN & ESTABROOK INC	7501	
B 04/1974 - 03/1979	MOSELEY, HALLGARTEN & ESTABROOK INC.	6679	
B 04/1973 - 03/1979	HALLGARTEN & CO.	382	
B 11/1971 - 05/1973	NEWBURGER, LOEB & CO., INC.	618	
B 07/1970 - 11/1971	AXELROD & CO.	1134	

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
12/2020 - Present	A.G.P. / Alliance Global Partners	Registered Representative	Y	New York, NY, United States
07/2014 - 12/2020	AEGIS CAPITAL CORP	REGISTERED REP	Y	NEW YORK, NY, 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



Other Business Activities, continued

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	1	0
Termination	N/A	1	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/23/1980
Docket/Case Number:	80-23
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/23/1980
Sanctions Ordered:	Censure Monetary/Fine \$3,000.00

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

MAY 23, 1980 NYSE HEARING PANEL DECISION 80-23: IMPOSED PENALTY
 CONSENTED TO BY FISCHETTI OF A CENSURE AND A FINE OF \$3,000.
 (SEE INCIDENT #2 FOR FULL DETAILS RE: CENSURE AND FINE.)

Reporting Source:

Broker

**Regulatory Action Initiated
By:**

NEW YORK STOCK EXCHANGE

Sanction(s) Sought:

Censure

Other Sanction(s) Sought:

FINE

Date Initiated:

04/10/1980

Docket/Case Number:

80-23

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

MOSELEY, HALLGARTEN, ESTABROOK & WEEDEN, INC.

Product Type:

No Product

Other Product Type(s):**Allegations:**

ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE
 PRINCIPLES OF TRADE

Current Status:

Final

Resolution:

Decision

Resolution Date:

05/23/1980

Sanctions Ordered:

Censure
 Monetary/Fine

Other Sanctions Ordered:**Sanction Details:**

05/23/1980 NYSE IMPOSED PENALTY CONSENTED TO BY FISCHETTI OF A
 CENSURE AND \$3000 FINE

Broker Statement

MAY 23, 1980 NYSE HEARING PANEL DECISION 80-23: IMPOSED PENALTY
 CONSENTED TO BY FISCHETTI OF A CENSURE AND A FINE OF \$3000. (SEE
 INCIDENT #2 FOR FULL DETAILS RE: CENSURE AND FINE.)





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: MOSLEY, HALLGARTEN, ESTABROOK & WEEDON, INC.

Termination Type: Permitted to Resign

Termination Date: 02/07/1979

Allegations: ALLEDGED SENDING MAIL NOT IN ACCORDANCE WITH FIRM POLICY.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Types:

Broker Statement

MARY G. FISCHETTI WAS DISCHARGED FROM MOSLEY, HALLGARTEN, ESTABROOK & WEEDON, INC. ON 2/7/79, FISCHETTI AND HER FORMER EMPLOYER AGREED ON A TWO WEEK PERIOD FOR CHANGE OF EMPLOYMENT. HER REQUESTED RESIGNATION WAS DUE TO THE FACT THAT SHE WAS SENDING MAIL NOT IN ACCORDANCE WITH FIRM'S POLICY. FISCHETTI FAILED TO SHOW TO, AND RECEIVE INITIALLED APPROVAL FROM THE OFFICE MANAGER BEFORE MAILING. THE FIRST 2 LETTERS, FISCHETTI MAILED WERE ANNOUNCEMENTS OF A SECONDARY UTILITY OFFERING --- MAKING THE STATEMENT "NO COMMISSIONS" WHICH WAS INCORRECT. FISCHETTI REVISED THE LETTER TO STATE "NET BASIS" WHICH WAS CORRECT, AND APPROVED BY COMPLIANCE AND OFFICE MANAGER. THE SECOND LETTER, ENCLOSED COMPANY RESEARCH, AND OFFERED A 35% DISCOUNT ON AN ENCLOSED COMMISSION SCHEDULE, AND ALSO AN INVITATION TO HAVE THEIR NAMES PLACED ON THE FIRM'S MAILING LIST. FISCHETTI WAS CENSURED AND FINED BY THE NEW YORK STOCK EXCHANGE, INC. IN 1980.

End of Report



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