



BrokerCheck Report

CARY TODD WEINSTEIN

CRD# 2092773

About BrokerCheck®

BrokerCheck offers information on all current, and many former, FINRA-registered securities brokers, and all current and former FINRA-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 <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.nasaa.org>.

- **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.



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.

Thank you for using FINRA BrokerCheck.

CARY TODD WEINSTEIN

CRD# 2092773

This individual is no longer registered with FINRA. The individual's registration with FINRA was terminated prior to August 1999 when the enhanced CRD system was implemented. As a result, since the individual was not required to update their CRD record via the submission of a Form U4 to CRD since August 1999, BrokerCheck contains only limited information about this individual.

Report Summary for this Broker

The 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 with a FINRA firm.

This broker has passed:

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

Registration History

This broker was previously registered with the following FINRA member firms:

W.B. MCKEE SECURITIES, INC.

CRD# 27968
NEW YORK NY
06/14/1994 to 08/02/1994

CAMELOT INVESTMENT CORP.

CRD# 21925
HAUPPAUGE NY
02/19/1993 to 05/06/1994

LEW LIEBERBAUM & CO., INC.

CRD# 17341
GARDEN CITY NY
07/22/1992 to 02/17/1993

Disclosure of Regulatory Events

This section includes details regarding final regulatory events reported by or about this broker to CRD as part of the securities industry registration and licensing process.

Are there events disclosed about this broker? **Yes**

The following type of disclosure was reported:

Regulatory Event

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 passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 1 general industry/product exams, and 1 state securities law exam.

Exam Class	Exam Name	Category	Date
General Industry/Product Exams	General Securities Representative Examination	Series 7	9/8/1990
State Securities Law Exams	Uniform Securities Agent State Law Examination	Series 63	10/5/1990

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at <http://www.finra.org/Industry/Compliance/Registration/QualificationsExams/index.htm>.

Registration History

This broker previously was registered with FINRA at the following firms:

Registration Dates	Firm Name	CRD #	Branch Location
06/14/1994 to 08/02/1994	W.B. MCKEE SECURITIES, INC.	27968	NEW YORK NY
02/19/1993 to 05/06/1994	CAMELOT INVESTMENT CORP.	21925	HAUPPAUGE NY
07/22/1992 to 02/17/1993	LEW LIEBERBAUM & CO., INC.	17341	GARDEN CITY NY
09/12/1990 to 07/23/1992	ROBERT TODD FINANCIAL CORP.	7423	GARDEN CITY NY
09/12/1990 to 09/17/1990	BEST INVESTORS GROUP, INC.	19883	COMMACK NY

Disclosure of Regulatory 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 the 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 with reporting source labeled.

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 2 ~ Entry 1 of 1

Reporting Source: Regulator

Details:

1. Regulatory Action initiated by: SEC : UNITED STATES SECURITIES AND EXCHANGE COMMISSION

2. Principal Sanction/Relief Sought: Bar

Other Sanctions/Relief Sought:

3. Date Initiated (MM/DD/YYYY): 06/30/2005

4. Docket/Case Number: FILE NO. 3-11969

5. Employing Firm when activity occurred which led to the regulatory action: J.S. SECURITIES INC.

6. Principal Product Type: Penny Stock(s)

Other Product Types:

7. Describe the allegations related to this regulatory action.

SEC ADMINISTRATIVE RELEASE 34-51945, JUNE 30, 2005; IN CONNECTION TO A SCHEME TO MANIPULATE THE MARKET FOR SECURITIES ISSUED BY A COMPANY ("COMPANY"). AN EMPLOYEE WHO OWNED A LARGE BLOCK OF COMPANY STOCK, PAID UNDISCLOSED KICKBACKS TO DEFENDANTS TO SELL COMPANY STOCK TO DEFENDANT'S FIRM RETAIL CUSTOMERS. SPECIFICALLY, THE EMPLOYEE PAID KICKBACKS OF UP TO 50% OF THE PROCEEDS OF THE SALE OF COMPANY STOCK, AND THESE KICKBACKS WERE NEVER DISCLOSED TO DEFENDANT'S FIRM CUSTOMERS WHO PURCHASED COMPANY STOCK. WEINSTEIN HELPED OPERATE THE A BRANCH OFFICE AND HE DIRECTED SALESPERSONS TO UTILIZE HIGH-PRESSURE FRAUDULENT SALES TACTICS TO SELL SECURITEK STOCK TO RETAIL CUSTOMERS. DURING THE COURSE OF THIS SCHEME TO SELL COMPANY STOCK, DEFENDANTS ASSOCIATED WITH THE FIRM MAINTAINED FALSE AND MISLEADING BOOKS AND RECORDS. DEFENDANTS WERE PAID APPROXIMATELY \$1.2 MILLION IN UNDISCLOSED BRIBES.

8. Current status? Final

9. If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.

10. How was matter resolved: Order

11. Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

12. Resolution Date (MM/DD/YYYY): 06/30/2005

13. Resolution Detail:

A. Were any of the following sanctions ordered? (Check all appropriate items):

Bar

B. Other sanctions ordered:

C. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against the subject, date paid and if any portion of penalty was waived:

WITHOUT ADMITTING OR DENYING THE FINDINGS HEREIN, RESPONDENT CONSENTS TO THE ENTRY OF THIS ORDER, ACCORDINGLY, IT IS HEREBY ORDERED, PURSUANT TO SECTION 15(B)(6) OF THE EXCHANGE ACT, THAT: DEFEDNATS BE AND HEREBY ARE, BARRED FROM ASSOCIATION WITH ANY BROKER OR DEALER.

14. Comment (Optional) - You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition and/or finding(s). Include relevant terms, conditions and dates. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction, the total amount invested and whether the action is based on a referral or investigation from your securities division.

ON MAY 24, 2005, A FINAL JUDGMENT WAS ENTERED BY CONSENT AGAINST WEINSTEIN IN A CIVIL ACTION ENTITLED SECURITIES AND EXCHANGE COMMISSION V. SZUR, ET AL., 97 CIV. 9305 (LAP), IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, PERMANENTLY ENJOINING WEINSTEIN FROM FUTURE VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT, SECTIONS 15(A)(1) AND 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 THEREUNDER, AND FROM PARTICIPATING IN ANY OFFERING OF A PENNY STOCK. ON JUNE 10, 1998, IN U.S. VS. SZUR, ET AL., 97 CR. 108 (S.D.N.Y.), A CRIMINAL ACTION ARISING OUT OF THE COMPANY SCHEME, DEFENDANTS, WERE EACH CONVICTED OF A SINGLE COUNT OF CONSPIRACY TO COMMIT SECURITIES FRAUD, PENNY STOCK FRAUD, WIRE FRAUD, AND COMMERCIAL BRIBERY. WEINSTEIN WAS CONVICTED OF ONE COUNT OF COMMERCIAL BRIBERY IN VIOLATION OF THE TRAVEL ACT AND TWO COUNTS OF MONEY LAUNDERING. WEINSTEIN WAS SENTENCED TO 51 MONTHS IN PRISON FOLLOWED BY THREE YEARS OF SUPERVISED RELEASE AND ORDERED TO PAY RESTITUTION OF \$3,709,829.50.

Disclosure 2 of 2 ~ Entry 1 of 1

Reporting Source: Regulator

Details:

LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. CMS960083 AWC

ON AUGUST 21, 1996, CARY T. WEINSTEIN (WEINSTEIN) WAS NOTIFIED THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT (AWC) HE SUBMITTED WAS ACCEPTED BY THE MARKET SURVEILLANCE AND THE NATIONAL BUSINESS CONDUCT COMMITTEES. WEINSTEIN IS IN VIOLATION OF FAILING TO PROVIDE REQUESTED DOCUMENTS AND APPEAR FOR ON-THE-RECORD TESTIMONY.

WEINSTEIN IS HEREBY CENSURED, BARRED FROM ASSOCIATION WITH ANY MEMBER IN ANY CAPACITY, FINED \$50,000, PROVIDED THAT THE ASSOCIATION SHALL SUSPEND ALL COLLECTION EFFORTS WITH RESPECT TO SUCH FINE, UNLESS AND UNTIL RESPONDENT WEINSTEIN ATTEMPTS TO BECOME ASSOCIATED WITH A MEMBER FIRM, AND WEINSTEIN MUST PROVIDE THE REQUESTED DOCUMENTS AND TESTIMONY PRIOR TO BECOMING ASSOCIATED WITH A MEMBER FIRM.

THE AWC BECAME FINAL ON AUGUST 21, 1996.