



**BrokerCheck Report**

**CYRUS BROWN FOLLMER JR**

CRD# 210736

## 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](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).

**Thank you for using FINRA BrokerCheck.**

**CYRUS BROWN FOLLMER JR**  
**CRD# 210736**

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:

**ENERIC FINANCIAL SERVICES, INC.**

CRD# 11761  
GREENVILLE NC  
07/13/1989 to 08/19/1991

**THE PLANNER'S SECURITIES GROUP, INC.**

CRD# 16546  
GREENVILLE NC  
04/17/1989 to 07/18/1989

**HIBBARD BROWN & CO., INC.**

CRD# 18246  
GREENVILLE NC  
06/05/1987 to 10/31/1988

### 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.**

<b>Exam Class</b>	<b>Exam Name</b>	<b>Category</b>	<b>Date</b>
General Industry/Product Exams	Registered Representative Examination	Series 1	03/25/1974
State Securities Law Exams	Uniform Securities Agent State Law Examination	Series 63	08/30/1982

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
07/13/1989 to 08/19/1991	ENERIC FINANCIAL SERVICES, INC.	11761	GREENVILLE NC
04/17/1989 to 07/18/1989	THE PLANNER'S SECURITIES GROUP, INC.	16546	GREENVILLE NC
06/05/1987 to 10/31/1988	HIBBARD BROWN & CO., INC.	18246	GREENVILLE NC
02/10/1987 to 05/26/1987	INTEGRATED RESOURCES EQUITY CORPORATION	6403	GREENVILLE NC
07/17/1986 to 01/29/1987	PLANVEST CAPITAL CORPORATION	14849	GREENVILLE NC
11/19/1984 to 08/12/1986	PILOT FINANCIAL SERVICES, INC.	7838	GREENVILLE NC
03/10/1981 to 11/28/1984	FSC SECURITIES CORPORATION	7461	ATLANTA GA
11/21/1979 to 05/01/1981	PROVIDENT SECURITIES CORPORATION	3099	WYNNEWOOD PA
06/05/1976 to 12/17/1979	ADL INVESTMENT CO., INC.	4233	RALEIGH NC
07/18/1975 to 07/08/1983	HARTFORD EQUITY SALES COMPANY, INC.	6604	HARTFORD CT
04/01/1974 to 09/18/1975	OPPENHEIMER ASSET MANAGEMENT CORPORATION	386	DENVER CO

## 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 1 ~ Entry 1 of 1

**Reporting Source:** Regulator

**Details:**

COMPLAINT NO. C07920038 FILED JUNE 19, 1992 BY NASD DISTRICT NO. 7 AGAINST RESPONDENT CYRUS B. FOLLMER, JR. ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 18 AND 19(a) OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT FOLLMER SOLICITED AND ACCEPTED CHECKS IN THE AMOUNT OF \$53,000 FROM PUBLIC CUSTOMERS FOR THE PURCHASE OF SECURITIES AND, INSTEAD, DEPOSITED THE CHECKS IN HIS COMPANY'S BANK ACCOUNT AND APPLIED THE PROCEEDS TO HIS OWN USE AND BENEFIT; AND, PROVIDED FALSE AND MISLEADING ACCOUNT STATEMENTS TO PUBLIC CUSTOMERS WHICH SHOWED INVESTMENTS WHEN NO SUCH INVESTMENTS HAD BEEN MADE.

DECISION RENDERED APRIL 27, 1993, WHEREIN RESPONDENT FOLLMER IS CENSURED, FINED \$50,000, BARRED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY, ORDERED TO PAY RESTITUTION IN THE AMOUNT OF \$53,000 PLUS INTEREST THEREON AT 9% PER ANNUM TO PUBLIC CUSTOMERS AND TO PROVIDE THE NASD STAFF WITH SATISFACTORY PROOF THAT SAID RESTITUTION WAS MADE WITHIN 45 DAYS OF THIS DECISION, AND, ASSESSED COSTS IN THE AMOUNT OF \$418.70. IF NO FURTHER ACTION, DECISION IS FINAL JUNE 11, 1993.

JUNE 11, 1993 - DECISION IS FINAL.