BrokerCheck Report

JOHN FRANCIS FEMIANO

CRD# 2132032030

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8

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.

JOHN F. FEMIANO

CRD# 2132030

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

B **ALEXANDER CAPITAL, L.P.**
10 DRS JAMES PARKER BLVD, SUITE 202
RED BANK, NJ 07701
CRD# 40077
Registered with this firm since: 04/06/2023

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
- 12 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **A.G.P / ALLIANCE GLOBAL PARTNERS**
CRD# 8361
WESTPORT, CT
05/2021 - 04/2023

B **A.G.P. / ALLIANCE GLOBAL PARTNERS**
CRD# 8361
Holmdel, NJ
05/2021 - 04/2023

IA **AEGIS CAPITAL CORP.**
CRD# 15007
NEW YORK, NY
11/2012 - 05/2021

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	5

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 12 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **ALEXANDER CAPITAL, L.P.**

Main Office Address: **10 DRS JAMES PARKER BLVD**
SUITE 202
RED BANK, NJ 07701

Firm CRD#: **40077**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	04/06/2023
B	FINRA	General Securities Representative	Approved	04/06/2023
B	FINRA	Operations Professional	Approved	04/06/2023

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/18/2023
B	California	Agent	Approved	04/13/2023
B	Colorado	Agent	Approved	04/14/2023
B	Connecticut	Agent	Approved	04/26/2023
B	Florida	Agent	Approved	04/17/2023
B	Nevada	Agent	Approved	05/08/2023
B	New Hampshire	Agent	Approved	10/15/2024
B	New Jersey	Agent	Approved	04/12/2023
B	New York	Agent	Approved	04/16/2023
B	North Carolina	Agent	Approved	04/27/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	04/10/2023
B	Pennsylvania	Agent	Approved	04/13/2023

Branch Office Locations

ALEXANDER CAPITAL, L.P.
10 DRS JAMES PARKER BLVD, SUITE 202
RED BANK, NJ 07701

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	05/21/2004

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	06/13/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	11/13/2009
B	Uniform Securities Agent State Law Examination	Series 63	07/03/1991

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
IA	05/2021 - 04/2023	A.G.P / ALLIANCE GLOBAL PARTNERS	8361	Holmdel, NJ
B	05/2021 - 04/2023	A.G.P. / ALLIANCE GLOBAL PARTNERS	8361	Holmdel, NJ
B	11/2012 - 05/2021	AEGIS CAPITAL CORP.	15007	HOLMDEL, NJ
IA	11/2012 - 05/2021	AEGIS CAPITAL CORP.	15007	HOLMDEL, NJ
IA	05/2014 - 09/2014	WALL JACOB ADVISORY GROUP LLC	170773	MATAWAN, NJ
IA	11/2011 - 12/2012	OBSIDIAN WEALTH MANAGEMENT, LLC	150065	RED BANK, NJ
B	10/2011 - 12/2012	OBSIDIAN FINANCIAL GROUP, LLC	104255	RED BANK, NJ
IA	03/2010 - 10/2011	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	124446	TINTON FALLS, NJ
B	06/1998 - 10/2011	J.P. TURNER & COMPANY, L.L.C.	43177	TINTON FALLS, NJ
B	12/1995 - 05/1998	FIRST METROPOLITAN SECURITIES, INC.	7594	NEW YORK, NY
B	03/1995 - 11/1995	WHALE SECURITIES CO., L.P.	13516	NEW YORK, NY
B	01/1993 - 03/1995	THOMAS JAMES ASSOCIATES, INC.	15609	ROCHESTER, NY
B	12/1991 - 01/1993	M.S. FARRELL & COMPANY, INC.	24232	SYOSSET, NY
B	12/1991 - 12/1991	J. GREGORY & COMPANY, INC.	14892	
B	06/1991 - 10/1991	INVESTORS ASSOCIATES, INC.	958	HACKENSACK, NJ
B	06/1991 - 06/1991	H. STARR FINANCIAL CORP.	16631	

Employment History

Registration and Employment History

Employment History, continued

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
04/2023 - Present	Alexander Capital LP	Registered Rep	Y	New York, NY, United States
05/2021 - 04/2023	A.G.P. / Alliance Global Partners	Registered Representative / Investment Adviser Representative	Y	Holmdel, NJ, United States
11/2012 - 05/2021	AEGIS CAPITAL CORP	SENIOR VP	Y	HOLMDEL, NJ, 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.

JOHN FRANCIS LLC, DBA JOHN FRANCIS INSURANCEAGENCY 253 MAIN ST. MATAWAN NJ 07747 FULL SERVICE INSURANCE AGENCY, INVESTMENT RELATED; PRESIDENT; START DATE AUGUST 2013; 10 HOURS PER MONTH DEVOTED TO BUSINESS DURING NON SECURITIES TRADING HOURS.

JOHN FRANCIS BUSINESSES, LLC., 253 MAIN ST. STE. 137 MATAWAN, NJ 07747; INSURANCE MARKETING SERVICES; GENRAL DIGITAL MARKETING SERVICES. START DATE: 1/1/21; 10 HOURS PER MONTH DEVOTED TO BUSINESS; 0 HOURS DURING SECURITIES TRADING HOURS.

Alexander Capital Insurance Agency - 10 Drs. James Parker Blvd, Suite 202 Red Bank, NJ 07710 - Position , Managing Partner -10 -20 hours per month

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	0	5	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.

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:	Firm
Employing firm when activities occurred which led to the complaint:	AEGIS CAPITAL CORP.
Allegations:	Client alleges unsuitable investments.
Product Type:	No Product
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Damages not specified by alleged to be no less than $100,000
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/30/2023
Complaint Pending?	No
Status:	Settled
Status Date:	04/13/2023

Settlement Amount: $20,000.00

Individual Contribution Amount: $0.00

Reporting Source: Broker

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

Allegations: UNSUITABLE INVESTMENTS

Product Type: No Product

Alleged Damages: $100,000.00

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/13/2023

Complaint Pending? No

Status: Settled

Status Date: 04/13/2023

Settlement Amount: $20,000.00

Individual Contribution Amount: $0.00

Disclosure 2 of 3

Reporting Source: Broker

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

Allegations: TIME FRAME: 01/31/2017 TO 11/17/2017. CLIENT ALLEGES RR DID NOT FOLLOW INSTRUCTIONS TO ENTER A STOP LOSS ORDER.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/17/2017
Complaint Pending?	No
Status:	Settled
Status Date:	09/06/2018
Settlement Amount:	$36,272.00
Individual Contribution Amount:	$18,136.00

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AEGIS CAPITAL CORP
Allegations:	TIME FRAME: UNSPECIFIED. CLAIMANT ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS, BREACH OF FIDUCIARY DUTY, FRAUD, NEGLIGENT MISREPRESENTATION.
Product Type:	Other: UNSPECIFIED
Alleged Damages:	$250,000.00
Alleged Damages Amount Explanation (if amount not exact):	AEGIS CAPITAL PORTION IS ESTIMATED TO BE APPROXIMATELY $12,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes

Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA, DES MOINES IA
Docket/Case #:	17-00477
Filing date of arbitration/CFTC reparation or civil litigation:	02/06/2017

Customer Complaint Information

Date Complaint Received:	03/01/2017
Complaint Pending?	No
Status:	Settled
Status Date:	09/25/2017
Settlement Amount:	$14,999.00
Individual Contribution Amount:	$0.00
Broker Statement	This claim is against multiple brokerage firms of which we are a small part of. Only a couple of trades were done with this client over the course of three years. The client's objectives were "Speculation" and stated a risk tolerance of "Max Risk". His losses with us are minimal. As of the date of this response this client is down less than twenty thousand dollars with our firm. This complaint, pertaining to our involvement is not only erroneous but is slander, defamation & blackmail. The client never expressed any issues & was contacted by a unscrupulous consultant who is aware that even inaccurate & invalid allegations are made public in our business. The client is NOT retired and in fact owns a privately held company that has annual revenue of $20 to 50 million and employs a staff of approximately 20 to 49. The fact that these defaming lies has to be disclosed on our licenses is disheartening & unjustifiable.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	CLIENT ALLEGES DISHONESTY AND DECEPTION WITH REGARD TO INVESTMENTS IN HER ACCOUNT OVER THE YEARS.
Product Type:	Equity-OTC
Alleged Damages:	$17,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/28/2013
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/19/2013
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	CLIENT ALLEGES DISHONESTY AND DECEPTION WITH REGARD TO INVESTMENTS IN HER ACCOUNT OVER THE YEARS

Product Type:	Equity-OTC
Alleged Damages:	$17,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/28/2013
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/19/2013
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE ACCOUNT WAS INHERITED FROM A PREVIOUS REPRESENTATIVE AT JP TURNER AND AT THAT TIME HAD ALREADY INCURRED SIGNIFICANT LOSSES AND VALUE FROM PREVIOUS RECOMMENDATIONS. UNFORTUNATELY THERE WAS NOTHING THAT COULD BE DONE.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	MISREPRESENTATION
Product Type:	No Product
Alleged Damages:	$5,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/04/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/04/2008
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	AS OF 11/04/2010 COMPLAINT IS NO LONGER REPORTABLE AND SHOULD BE ARCHIVED.

End of Report

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