

BrokerCheck Report
TY KEVIN BAUER
 CRD# 2150885

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



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



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.

**TY K. BAUER**

CRD# 2150885

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: 07/28/2016

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
- 9 U.S. states and territories

This broker has passed:

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

Registration History

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

- B COKER & PALMER**
 CRD# 29163
 Oxford, MS
 01/2015 - 07/2016
- IA COKER & PALMER**
 CRD# 29163
 JACKSON, MS
 01/2015 - 07/2016
- IA J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC**
 CRD# 124446
 ATLANTA, GA
 02/2012 - 01/2015

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	3
Financial	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 9 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	07/28/2016
B	FINRA	General Securities Representative	Approved	07/28/2016
B	FINRA	Municipal Securities Principal	Approved	07/28/2016
B	FINRA	Municipal Securities Representative	Approved	07/28/2016

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/28/2016
B	California	Agent	Approved	04/07/2022
B	Florida	Agent	Approved	07/28/2016
B	Georgia	Agent	Approved	07/28/2016
B	Illinois	Agent	Approved	03/09/2017
B	Louisiana	Agent	Approved	07/28/2016
B	Mississippi	Agent	Approved	07/28/2016
B	New York	Agent	Approved	10/27/2016
B	Texas	Agent	Approved	12/14/2016

Broker Qualifications



Employment 1 of 1, continued

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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	09/19/1997
B Municipal Securities Principal Examination	Series 53	09/05/1997

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	09/29/2000
B General Securities Representative Examination	Series 7	07/19/1991

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/31/2012
B Uniform Securities Agent State Law Examination	Series 63	07/29/1991

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
B 01/2015 - 07/2016	COKER & PALMER	29163	Oxford, MS
IA 01/2015 - 07/2016	COKER & PALMER	29163	Oxford, MS
IA 02/2012 - 01/2015	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	124446	OXFORD, MS
B 11/2011 - 01/2015	J.P. TURNER & COMPANY, L.L.C.	43177	OXFORD, MS
B 04/2001 - 11/2011	CALTON & ASSOCIATES, INC.	20999	OXFORD, MS
B 07/1991 - 05/2001	CARTY & COMPANY, INC.	7001	MEMPHIS, TN

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
07/2016 - Present	Alexander Capital LP	Registered Rep	Y	New York, NY, United States
11/2011 - 07/2016	J P TURNER & COMPANY LLC	BROKER	Y	OXFORD, MS, 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.

Olin Corporation Winchester-Ammo 411 County Road, Oxford, MI Non-Investment related. Ballistics Tech, salaried employee, nights and weekends

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.
 -
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	3	N/A
Financial	0	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.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CALTON & ASSOCIATES, INC. & J.P. TURNER & COMPANY, LLC
Allegations:	MISREPRESENTATION , DATE: "SOMETIME DURING THE 2000'S" CORP BONDS WERE SOLD TO CLIENT WHILE AT CALTON & ASSOCIATES. ADVICE TO "HOLD THE BONDS" WAS GIVEN WHILE AT J.P. TURNER AFTER ACCOUNT TRANSFERRED IN 2011.
Product Type:	Debt-Corporate
Alleged Damages:	\$200,000.00
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
Docket/Case #:	13-03434
Filing date of arbitration/CFTC reparation or civil litigation:	11/21/2013

Customer Complaint Information



Date Complaint Received: 12/05/2013

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 06/03/2014

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

FINRA

Docket/Case #: CASE #13-03434

Date Notice/Process Served: 06/03/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/22/2014

Monetary Compensation Amount: \$18,000.00

Individual Contribution Amount: \$18,000.00

Firm Statement CALTON & ASSOCIATES, INC. WAS REMOVED FROM THIS CASE, WE ARE FILING TO SATISFY FINRA'S REQUEST TO REPORT. THIS INFORMATION WAS TAKEN FROM THE FILING FROM J. P. TURNER & COMPANY.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CALTON & ASSOCIATES, INC AND J.P. TURNER & COMPANY LLC

Allegations: MISREPRESENTATION, UNSUITABLE TRANSACTIONS, UNAUTHORIZED TRANSACTIONS AND BREACH OF FIDUCIARY DUTY.

Product Type: Debt-Asset Backed

Alleged Damages: \$160,000.00



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
Docket/Case #: CASE #13-03434
Filing date of arbitration/CFTC reparation or civil litigation: 11/21/2013

Customer Complaint Information

Date Complaint Received: 12/05/2013
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 06/03/2014
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: CASE #13-03434
Date Notice/Process Served: 06/03/2014
Arbitration Pending? No
Disposition: Settled
Disposition Date: 08/22/2014
Monetary Compensation Amount: \$18,000.00
Individual Contribution Amount: \$18,000.00

**Disclosure 2 of 2**

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CALTON & ASSOCIATES, INC.
Allegations:	UN-AUTHORIZED SELL DUE TO A MARGIN ERROR (CLIENT DID KEEP ALL OF THE POSITION) DATE OF SELL WAS 11/01/2007
Product Type:	Debt - Corporate
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	04/16/2008
Complaint Pending?	No
Status:	Settled
Status Date:	05/22/2008
Settlement Amount:	\$30,000.00
Individual Contribution Amount:	\$15,000.00
Broker Statement	I FEEL THIS WAS A TERRIBLE MIS-COMMUNICATION BETWEEN MYSELF, SWS AND THE CLIENT.



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	CLAIMANTS ALLEGE UNSUITABLE INVESTMENTS, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, CHURNING, FRAUD, NEGLIGENCE AND BREACH OF CONTRACT.
Product Type:	Equity-OTC
Alleged Damages:	\$500,000.00
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
Docket/Case #:	CASE #16-00243
Filing date of arbitration/CFTC reparation or civil litigation:	01/22/2016

Customer Complaint Information

Date Complaint Received:	02/01/2016
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
--------------------------	--------



Employing firm when activities occurred which led to the complaint:	J.P. Turner & Company, LLC
Allegations:	Customers allege that J. P. Turner and their agent Ty Bauer engaged in sales practices involving unsuitability and churning for the period of October 2011 to present.
Product Type:	Debt-Corporate Direct Investment-DPP & LP Interests
Alleged Damages:	\$500,000.00
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
Docket/Case #:	16-00243
Filing date of arbitration/CFTC reparation or civil litigation:	01/22/2016

Customer Complaint Information

Date Complaint Received:	03/03/2016
Complaint Pending?	No
Status:	Withdrawn
Status Date:	12/29/2016
Settlement Amount:	\$0.00
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-00243



Date Notice/Process Served: 03/03/2016

Arbitration Pending? No

Disposition: Dismissed

Disposition Date: 12/29/2016

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement

MR BAUER WAS A SUBJECT NOT A RESPONDENT DROPPED FROM THE CASE ON 12/29/2016-mr Bauer was dismissed from this case on 12/29/2016 prior to the settlement. the case was settled for \$75000 Mr. Bauer made no contribution

**Financial - Final**

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	10/15/2020
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	The US Bankruptcy Court NortherDistrict of Mississippi
Location of Court:	Mississippi USA
Docket/Case #:	20-12972-JDW
Action Pending?	No
Disposition:	Dismissed
Disposition Date:	02/26/2024

End of Report



This page is intentionally left blank.