

## BrokerCheck Report

**THOMAS ANDREW NIEMCZYK**

CRD# 2170335

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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:
  - 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](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).

**THOMAS A. NIEMCZYK**

CRD# 2170335

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

- B D. BORAL CAPITAL**  
 60 Crossways Park Dr. W  
 Suite 305  
 Woodbury, NY 11797  
 CRD# 103792  
 Registered with this firm since: 08/26/2025

**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
- 30 U.S. states and territories

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 2 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  
 MELVILLE, NY  
 02/2012 - 08/2025
- B PAULSON INVESTMENT COMPANY, INC.**  
 CRD# 5670  
 HAUPPAUGE, NY  
 02/2011 - 02/2012
- B JHS CAPITAL ADVISORS, INC.**  
 CRD# 112097  
 MELVILLE, NY  
 12/2006 - 02/2011

**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	2
Customer Dispute	4



## 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 30 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **D. BORAL CAPITAL**

Main Office Address: **590 MADISON AVE  
39TH FLOOR  
NEW YORK, NY 10022**

Firm CRD#: **103792**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/26/2025
B	FINRA	General Securities Representative	Approved	08/26/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	08/26/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	08/26/2025

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/25/2025
B	Arkansas	Agent	Approved	10/03/2025
B	California	Agent	Approved	08/27/2025
B	Connecticut	Agent	Approved	08/27/2025
B	Florida	Agent	Approved	08/26/2025
B	Georgia	Agent	Approved	08/26/2025
B	Illinois	Agent	Approved	08/26/2025
B	Indiana	Agent	Approved	08/26/2025
B	Iowa	Agent	Approved	09/30/2025

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	09/25/2025
B	Kentucky	Agent	Approved	09/23/2025
B	Louisiana	Agent	Approved	08/26/2025
B	Massachusetts	Agent	Approved	09/04/2025
B	Minnesota	Agent	Approved	09/25/2025
B	Mississippi	Agent	Approved	08/26/2025
B	New Mexico	Agent	Approved	08/26/2025
B	New York	Agent	Approved	08/26/2025
B	North Carolina	Agent	Approved	09/25/2025
B	North Dakota	Agent	Approved	08/26/2025
B	Ohio	Agent	Approved	08/26/2025
B	Pennsylvania	Agent	Approved	08/27/2025
B	Rhode Island	Agent	Approved	09/29/2025
B	South Carolina	Agent	Approved	08/26/2025
B	South Dakota	Agent	Approved	09/25/2025
B	Texas	Agent	Approved	08/26/2025
B	Vermont	Agent	Approved	09/25/2025
B	Virginia	Agent	Approved	09/25/2025
B	Washington	Agent	Approved	09/25/2025
B	Wisconsin	Agent	Approved	08/26/2025
B	Wyoming	Agent	Approved	08/26/2025

## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

**D. BORAL CAPITAL**  
60 Crossways Park Dr. W  
Suite 305  
Woodbury, NY 11797

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## 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, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	10/10/2002

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	10/17/2000

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/21/2000

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/](http://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>B</b> 02/2012 - 08/2025	AEGIS CAPITAL CORP.	15007	MELVILLE, NY
<b>B</b> 02/2011 - 02/2012	PAULSON INVESTMENT COMPANY, INC.	5670	HAUPPAUGE, NY
<b>B</b> 12/2006 - 02/2011	JHS CAPITAL ADVISORS, INC.	112097	MELVILLE, NY
<b>B</b> 02/2006 - 12/2006	VISION SECURITIES INC.	35001	MELVILLE, NY
<b>B</b> 01/2003 - 02/2006	SALOMON GREY FINANCIAL CORPORATION	43413	DALLAS, TX
<b>B</b> 07/2002 - 10/2002	ARCHER ALEXANDER SECURITIES CORPORATION	41555	KANSAS CITY, MO
<b>B</b> 10/2000 - 07/2002	RAIKE FINANCIAL GROUP INC.	38095	WOODSTOCK, GA
<b>B</b> 05/1997 - 03/1998	DUKE & CO., INC.	8035	NEW YORK, NY
<b>B</b> 02/1992 - 12/1996	STRATTON OAKMONT INC.	18692	LAKE SUCCESS, NY

### 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
08/2025 - Present	D. BORAL CAPITAL	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
02/2012 - 08/2025	AEGIS CAPITAL CORP.	REGISTERED REP	Y	NEW YORK, NY, United States

## Registration and Employment History



### 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.

- 1) BUTTCARDS.COM - TRADE MARK 100% OWNED. NON-REVENUE GENERATING. STRICTLY AN INVESTMENT.
  - 2) TDAN HOLDINGS - PERSONAL CORPORATION FORMED FOR TAX PURPOSES AS A RESULT OF INDEPENDANT CONTRACTOR STATUS.
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## 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.
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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
Regulatory Event	0	2	0
Customer Dispute	0	4	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 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	State of Georgia Securities Division
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/15/1998
<b>Docket/Case Number:</b>	50-95-0050
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	Device, scheme and artifice to defraud; misrepresentations and omissions; unsuitable transactions failure to execute sell orders
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	12/15/1998



<b>Sanctions Ordered:</b>	Bar Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	Subject issued final Order for violations of anti-fraud provisions of Georgia Securities Act. Subject's registration is revoked, and he is permanently barred from association with a dealer, limited dealer or investment adviser in Georgia.
<b>Regulator Statement</b>	Subject's registration revoked and subject barred from registration for misrepresentations, omissions, unauthorized transactions and failure to execute sell orders, in addition to engaging in a device scheme and artifice to defraud residents of the State of Georgia. CONTACT: ROBERT TERRY, ASSISTANT COMMISSIONER, GEORGIA SECURITIES DIVISION
<hr/>	
<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	STATE OF GEORGIA SECURITIES DIVISION
<b>Sanction(s) Sought:</b>	Censure
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/15/1998
<b>Docket/Case Number:</b>	50-95-0050
<b>Employing firm when activity occurred which led to the regulatory action:</b>	STRATTON OAKMONT
<b>Product Type:</b>	Equity - OTC
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	ALLEGATIONS INCLUDED MISREPRESENTATION & OMISSION, FAILURE TO EXECUTE A SALE ORDER & UNSUITABLE TRANSACTIONS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	12/15/1998
<b>Sanctions Ordered:</b>	Bar

**Other Sanctions Ordered:**

**Sanction Details:** THIS ORDER PROHIBITS MR. NIEMCYK FROM BEING LICENSED AS A SECURITIES SALES PERSON IN GEORGIA.

**Broker Statement** CONTACT ROBERT TERRY ASSISTANT COMMISSIONER GEORGIA SECURITIES DIVISION

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 10/15/1997

**Docket/Case Number:** CAF970002

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

**Product Type:** Other

**Other Product Type(s):**

**Allegations:** VIOLATIONS OF NASD RULES 2110, 2120, 2310 (A), 2330(E), 3010, AND 3110

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Resolution Date:** 06/08/1998

**Sanctions Ordered:** Censure  
Suspension

**Other Sanctions Ordered:** REQUALIFICATION

**Sanction Details:** HE IS CENSURED, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR TWO YEARS, AND REQUIRED TO REQUALIFY BY EXAM PRIOR TO BECOMING ASSOCIATED WITH ANY MEMBER FIRM. THE SUSPENSION WILL COMMENCE 7/20/98 AND WILL CONCLUDE 7/19/00.

**Regulator Statement** [TOP] COMPLAINT NO. CAF970002 FILED 10/15/97 AGAINST MICHAEL J.



ALBINO, HOWARD S. GELFAND, ANDREW T. GREENE, DANIEL M. PORUSH, JORDAN I. SHAMAH, CHAD J. BEANLAND, ERIC BLUMAN, IRA A. BOSHACK, STEPHEN G. BUXTON, ANDREW S.

FRIEDMAN, DEAN S. FRIEDMAN, KENNETH J. FUINA, DANIEL J. GALLAGHER, JAMES W. GAROFALO, JR., PAUL J. GRECO, DAVID S. HEREDIA, ROBERT W. KOCH, II, THOMAS A. NIEMCZYK, GEORGE PATSIS, MICHAEL J. RASKIN, FRANK RICCUITI, JR. RICHARD L. RINGEL, ROBERT J. ROSATO, PETER T. RUBENSTEIN, LAWRENCE T. SMITH, ROBERT F. SMITH, EDWARD C. SPARACIO, MICHAEL A. TALIERCIO, JOSEPH TESEO, PETER T. TSADILAS, BONINE C. VANDENBERG, APRIL WIENER, AND CLIFFORD B. OLSHAKER ALLEGING VIOLATIONS OF NASD RULES 2110, 2120, 2310 (A), 2330(E), 3010, AND 3110 IN THAT, IN CONNECTION WITH FRAUDULENT SALES PRACTICES AND UNAUTHORIZED TRANSACTIONS, BEANLAND, BLUMEN, A. FRIEDMAN, D. FRIEDMAN, FUINA, GALLAGHER, GAROFALO, GRECO, HEREDIA, KOCH, NIEMCZYK, PATSIS, RASKINS, RICCUITI, RINGEL, ROSATO, RUBENSTEIN, L. SMITH, R. SMITH, SPARACIO, TALIERCIO, TESEO, TSADILAS, VANDENBERG, AND WEINER ENGAGED IN BASELESS AND IMPROPER PRICE PREDICTIONS; BLUMEN, BOSHACK, BUXTON, A. FRIEDMAN, D. FRIEDMAN, FUINA, GALLAGHER, GRECO, HEREDIA, KOCH, NIEMCZYK, PATSIS, RASKIN, RICCUITI, RINGEL, ROSATO, RUBENSTEIN, SHAMAH, L. SMITH, SPARACIO, TALIERCIO, TESEO, TSADILAS, VANDERBERG, AND WEINER ENGAGED IN UNAUTHORIZED TRADING IN CUSTOMER ACCOUNTS; BLUMEN, NIEMCZYK, REFUSED OR FAILED TO EXECUTE CUSTOMER SELL ORDERS. ON 6/8/98, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY NIEMCZYK WAS ISSUED; THEREFORE, HE IS CENSURED, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR TWO YEARS, AND REQUIRED TO REQUALIFY BY EXAM PRIOR TO BECOMING ASSOCIATED WITH ANY MEMBER FIRM. THE SUSPENSION WILL COMMENCE 7/20/98 AND WILL CONCLUDE 7/19/00.

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<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	Censure Requalification Suspension
<b>Date Initiated:</b>	10/15/1997
<b>Docket/Case Number:</b>	CAF70002



<b>Employing firm when activity occurred which led to the regulatory action:</b>	STRATTON OAKMONT
<b>Product Type:</b>	Equity-OTC
<b>Allegations:</b>	ALLEGING VIOLATIONS OF NASD RULES 2110,2120,2310(A), 2330(E),3010,AND 3110.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	06/08/1998
<b>Sanctions Ordered:</b>	Censure Suspension Other: REQUALIFICATION
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	GENERAL SECURITIES REPRESENTATIVE
<b>Duration:</b>	TWO YEARS
<b>Start Date:</b>	07/20/1998
<b>End Date:</b>	07/19/2000
<b>Requalification 1 of 1</b>	
<b>Requalification Type:</b>	Requalification by Exam
<b>Length of time given to requalify:</b>	TWO YEARS
<b>Type of exam required :</b>	SERIES 7
<b>Has condition been satisfied:</b>	Yes
<b>Broker Statement</b>	AN OFFER WAS SUBMITTED TO RESOLVE PROCEEDINGS AN WAS MADE WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINT.





MR. NIEMCZYK WAS CENSURED & SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR TWO YEARS AND REQUIRED TO REQUALIFY BY EXAM PRIOR TO BECOMING ASSOCIATED W/ANY MEMBER FIRM. THE SUSPENSION WILL COMMENCE ON 07/20/1998 AND WILL CONCLUDE ON 07/19/2000.



## Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

### Disclosure 1 of 1

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** STRATTON OAKMONT INC.

**Allegations:** SUITABILITY; OMISSION OF FACTS; MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE

**Product Type:** Other

**Other Product Type(s):** WARRANTS, RIGHTS, COMMON STOCK

**Alleged Damages:** \$90,685.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #96-00700](#)

**Date Notice/Process Served:** 02/29/1996

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 03/21/1997

**Disposition Detail:** RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$5,000.00, PLUS INTEREST AT 9.25%, WHICH SHALL BEING TO ACCRUE FROM THE DATE OF THIS AWARD AND SHALL CONTINUE TO ACCRUE UNTIL THE DATE THIS AWARD IS PAID IN FULL.

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**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** STRATTON OAKMONT INC.

**Allegations:** ALLEGES EXERTION OF SALES PRESSURE, UNSUITABILITY, MISREPRESENTATIONS AND OMISSIONS.

**Product Type:**



**Alleged Damages:** \$90,685.00

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [National Assoc. of Securities Dealers; 96-00700](#)

**Date Notice/Process Served:** 02/29/1996

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 03/21/1997

**Monetary Compensation Amount:** \$5,525.00

**Individual Contribution Amount:**

**Firm Statement** THE CASE WAS SETTLED AS TO THE FIRM IN THE AMOUNT OF \$8,900 AND THE ALLEGATIONS AGAINST TOM NIEMCZYK HAVE BEEN WITHDRAWN WITH PREJUDICE.  
Not Provided

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** STRATTON OAKMONT INC.

**Allegations:** ALLEGES EXERTION OF SALES PRESSURE, UNSUITABILITY, MISREPRESENTATIONS AND OMISSIONS.



**Product Type:** Equity - OTC

**Alleged Damages:** \$90,685.00

### Customer Complaint Information

**Date Complaint Received:** 01/29/1997

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 01/29/1999

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NATIONAL ASSOC. OF SECURITIES DEALERS; 96-00700](#)

**Date Notice/Process Served:** 02/29/1996

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 03/21/1997

**Monetary Compensation Amount:** \$5,525.00

**Individual Contribution Amount:** \$2,762.50

**Broker Statement** THE CASE WAS SETTLED AS TO THE FIRM IN THE AMOUNT OF \$8,900 AND THE ALLEGATIONS AGAINST TOM NIEMCZYK HAVE BEEN WITHDRAWN WITH PREJUDICE.  
NOT PROVIDED



## 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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	Aegis Capital Corp.
<b>Allegations:</b>	Time frame: December 2012 - November 2020. Claimant alleges unsuitable investment recommendations.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$95,027.44
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	Finra; Des Moines, IA
<b>Docket/Case #:</b>	21-01073
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	04/23/2021

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/26/2021
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/19/2024
<b>Settlement Amount:</b>	\$36,671.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	I was not the primary broker of record for this account. The account was managed by my junior partner. At no time was my name ever mentioned in the complaint.



When the complaint was initially filed in 2021, my partner was no longer in the business. I was left to deal with this having limited knowledge to all the particulars. I made no contribution to any settlement, nor admitted to any wrongdoing.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	STRATTON OAKMONT INC.
<b>Allegations:</b>	ACCOUNT RELATED-NEGLIGENCE; SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE
<b>Product Type:</b>	
<b>Alleged Damages:</b>	\$12,675.09
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	UNKNOWN - CASE #96-01648
<b>Date Notice/Process Served:</b>	04/23/1996
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	12/06/1996
<b>Disposition Detail:</b>	CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY



**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** STRATTON OAKMONT INC.

**Allegations:** ALLEGES NEGLIGENCE FRAUD, CHURNING  
UNSUITABILITY, BREACH OF FIDUCIARY DUTY, UNAUTHORIZED TRADE  
FAILURE TO EXECUTE TRADE, FAILURE TO SUPERVISE.

**Product Type:**

**Alleged Damages:** \$12,675.09

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Assoc. of Securities Dealers; 96-01648

**Date Notice/Process Served:** 04/23/1996

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/06/1996

**Monetary Compensation Amount:** \$10,800.00

**Individual Contribution Amount:**

**Firm Statement** THIS CASE WAS SETTLED AS TO THE FIRM IN THE  
AMOUNT OF 10,800 AND THE ALLEGATIONS AGAINST THOMAS NIEMCZYK  
HAVE BEEN WITHDRAWN WITH PREJUDICE.  
Not Provided



**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** STRATTON OAKMONT INC.

**Allegations:** ALLEGATIONS AGAINST STRATTON OAKMONT, [THIRD PARTY] & THOMAS NIEMCZYK WERE AS FOLLOWS: NEGLIGENCE, UNSUITABILITY, BREACH OF FUDICIARY RESPONSIBILITY.

**Product Type:** Equity - OTC

**Alleged Damages:** \$12,675.09

### Customer Complaint Information

**Date Complaint Received:** 04/10/1996

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 04/23/1996

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOC. OF SECURITIES DEALERS; 96-01648

**Date Notice/Process Served:** 04/23/1996

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/06/1996

**Monetary Compensation Amount:** \$10,800.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** THIS CASE WAS SETTLED AS TO THE FIRM IN THE AMOUNT OF 10,800 THOMAS NIEMCZYK WAS DISMISSED AS PART OF THE SETTLEMENT. ALL ALLEGATIONS AGAINST MR. NIEMCZYK HAVE BEEN





WITHDRAWN WITH PREJUDICE.  
NOT PROVIDED

### Disclosure 3 of 3

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** STRATTON OAKMONT INC.

**Allegations:** CHURNING; MISREPRESENTATION; OMISSION OF FACTS; SUITABILITY

**Product Type:**

**Alleged Damages:** \$34,107.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #95-05944

**Date Notice/Process Served:** 12/27/1995

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/07/1996

**Disposition Detail:** CASE IS CLOSED, SETTLED  
\*\* BANKRUPTCY ORDER \*\*

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** STRATTON OAKMONT INC.

**Allegations:** ALLEGED VIOLATION OF 10(B) 10(B)- 5 CHURNING, MISREPRESENTATIONS, UNSUITABILITY NEGLIGENCE, BREACH OF FIDUCIARY DUTY & FAILURE TO SUPERVISE WITH MONETARY CLAIMS OF \$34,107.

**Product Type:**

**Alleged Damages:** \$34,107.00



## Customer Complaint Information

### Date Complaint Received:

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 10/07/1996

### Settlement Amount:

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Assoc. of Securities Dealers; 95-05944

**Date Notice/Process Served:** 12/27/1995

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/07/1996

**Monetary Compensation Amount:** \$16,000.00

**Individual Contribution Amount:**

**Firm Statement** THE CASE WAS SETTLED AS TO THE FIRM IN THE AMOUNT OF \$16,000 & ALL ALLEGATIONS AGAINST THOMAS NIEMCZYK WERE WITHDRAWN WITH PREJUDICE.  
Not Provided

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** STRATTON OAKMONT INC.

**Allegations:** MR. NIEMCZYK BECAME THE ACCOUNT EXECUTIVE WHEN PETER JOHNSON LEFT THE FIRM. MR. NIEMCZYK ONLY HANDLED TWO TRANSACTIONS BEFORE ACCOUNT TRANSFERRRED. ALLEGATIONS AGAINST STRATTON OAKMONT, DANIEL PORUSH, PETER JOHNSON & TOM NIEMCZYK ARE AS FOLLOWS:ALLEGED VIOLATION OF 10(B) - 10 (B) 5



CHURNING, MISREPRESENTATIONS, UNSUITABILITY, NEGLIGENCE,  
BREACH OF FIDUCIARY DUTY & FAILURE TO SUPERVISE.

**Product Type:** Equity - OTC

**Alleged Damages:** \$34,107.00

### Customer Complaint Information

**Date Complaint Received:** 10/07/1996

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 12/12/1996

**Settlement Amount:** \$0.00

**Individual Contribution  
Amount:** \$0.00

### Arbitration Information

**Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:** NATIONAL ASSOC. OF SECURITIES DEALERS; 95-05944

**Date Notice/Process Served:** 12/06/1996

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/10/1998

**Monetary Compensation  
Amount:** \$16,000.00

**Individual Contribution  
Amount:** \$0.00

**Broker Statement** THE CASE WAS SETTLED TO THE FIRM IN THE  
AMOUNT OF \$16,000 & ALL ALLEGATIONS AGAINST THOMAS NIEMCZYK  
WERE WITHDRAWN. THIS WAS DISMISSED IN BANKRUPTCY.

## End of Report



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