

## BrokerCheck Report

**VICTOR ANTHONY DUQUE**

CRD# 2177517

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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).

**VICTOR A. DUQUE**

CRD# 2177517

This broker is not currently registered.

## 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 not currently registered.**

#### This broker has passed:

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

### Registration History

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

- B SALOMON GREY FINANCIAL CORPORATION**  
CRD# 43413  
DALLAS, TX  
12/2002 - 07/2004
- B MANTIS SECURITIES, INC.**  
CRD# 104019  
LEVITTOWN, NY  
01/2001 - 08/2002
- B MORGAN, TAYLOR & ASSOCIATES, INC.**  
CRD# 37447  
MINEOLA, NY  
01/1996 - 03/2001

### Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	5
Criminal	1
Customer Dispute	1

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## 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 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7	03/23/1992

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/28/1992

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 12/2002 - 07/2004	SALOMON GREY FINANCIAL CORPORATION	43413	DALLAS, TX
<b>B</b> 01/2001 - 08/2002	MANTIS SECURITIES, INC.	104019	LEVITTOWN, NY
<b>B</b> 01/1996 - 03/2001	MORGAN, TAYLOR & ASSOCIATES, INC.	37447	MINEOLA, NY
<b>B</b> 08/1995 - 12/1995	FIRST UNITED EQUITIES CORPORATION	36398	NEW YORK, NY
<b>B</b> 06/1994 - 02/1995	JOSEPH THAL LYON & ROSS INCORPORATED	3227	NEW YORK, NY
<b>B</b> 08/1992 - 05/1994	LEW LIEBERBAUM & CO., INC.	17341	GARDEN CITY, NY
<b>B</b> 03/1992 - 08/1992	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
12/2002 - Present	SALOMON GREY FINANCIAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MELVILLE , NY, United States

# Disclosure 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 this 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 by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	5	0
Criminal	1	0
Customer Dispute	1	N/A





## 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 5

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	05/05/2005
<b>Docket/Case Number:</b>	<a href="#">CLI050010</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	SALOMON GREY FINANCIAL CORPORATION
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	UNSPECIFIED SECURITIES
<b>Allegations:</b>	NASD CONDUCT RULES 2110, 8210 - VICTOR DUQUE, IN AN ATTEMPT TO SETTLE A COMPLAINT BY A PUBLIC CUSTOMER, PROPOSED SETTLEMENT TERMS AND MADE SETTLEMENT PAYMENTS TO THE CUSTOMER WITHOUT INFORMING AND OBTAINING AUTHORIZATION FROM HIS MEMBER FIRM. IN ADDITION, HE FAILED TO RESPOND TO NASD REQUEST FOR AN ON-THE-RECORD INTERVIEW.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	05/05/2005
<b>Sanctions Ordered:</b>	Bar
<b>Other Sanctions Ordered:</b>	



## Disclosure 2 of 5

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** ILLINOIS SECURITIES DEPARTMENT

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 03/17/1998

**Docket/Case Number:** 9800098

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** RESPONDENT SALESPERSONS REGISTRATION IS SUBJECT TO REVOCATION BASED UPON AN ORDER ISSUED BY THE NEW YORK STOCK EXCHANGE, INC.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 06/01/1998

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** ORDER OF REVOCATION ISSUED JUNE 1, 1998. RESPONDENT'S SALESPERSON REGISTRATION IN THE STATE OF ILLINOIS IS HEREBY REVOKED.

**Regulator Statement** CONTACT: 217-785-4948

**Reporting Source:** Broker

**Regulatory Action Initiated By:** REGULATOR STATE OF ILLINOIS

**Sanction(s) Sought:** Denial

**Other Sanction(s) Sought:**



**Date Initiated:** 03/17/1998

**Docket/Case Number:** 9800098

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

**Product Type:** Other

**Other Product Type(s):**

**Allegations:** DETERMINE WHETHER AN ORDER SHOULD BE ENTERED WHICH REVOKES SALESPERSON REGISTRATION IN THE STATE OF ILLINOIS AND/OR GRANTING SUCH OTHER RELIEF AS MAY BE AUTHORIZED UNDER THE ACT.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 06/01/1998

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** ILLINOIS HAS ENTERED AN ORDER TO REVOKE LICENSE IN THE STATE OF ILLIONIS BASED ON THE NEW YORK STOCK EXCHANGE STIPULATION.

**Broker Statement** NOT PROVIDED

#### Disclosure 3 of 5

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NYSE DIVISION OF ENFORCEMENT

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/12/1997

**Docket/Case Number:** HPD 97-171



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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**\*\*SEPTEMBER 12, 1997\*\*** CHARGES ISSUED BY THE NYSE DIVISION OF ENFORCEMENT AND PENDING: CHARGES: I. VICTOR ANTHONY DUQUE, BY REASON OF THE FACTS SET FORTH IN THE STATEMENT OF FACTS AND EXPLANATION, ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE EFFECTED TRADES IN THE ACCOUNTS OF ONE OR MORE CUSTOMERS WHICH WERE NOT AUTHORIZED BY THE CUSTOMERS, AND HE IS THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(a). II. VICTOR ANTHONY DUQUE, BY REASON OF THE FACTS SET FORTH IN THE STATEMENT OF FACTS AND EXPLANATION, VIOLATED EXCHANGE RULE 352(c) IN THAT HE AGREED TO REIMBURSE A CUSTOMER FOR LOSSES, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(a).

**Current Status:**

Final

**Resolution:**

Consent

**Resolution Date:**

02/12/1998

**Sanctions Ordered:**

Bar  
Censure

**Other Sanctions Ordered:**

**Sanction Details:**

**\*\*DECEMBER 23, 1997\*\*** DECISION HPD 97-171 ISSUED BY NYSE HEARING PANEL. DECISION: EFFECTED UNAUTHORIZED TRANSACTIONS IN FOUR CUSTOMER ACCOUNTS AND VIOLATED RULE 352(c) BY AGREEING TO REIMBURSE A CUSTOMER FOR LOSSES -- CONSENT TO CENSURE AND FOUR MONTH BAR.

**Regulator Statement**

**\*\*FEBRUARY 12, 1998\*\*** THE DECISION IS NOW FINAL AND IS EFFECTIVE IMMEDIATELY. CONTACT: MS PEGGY L. GERMINO AT (212) 656-8450.

**Reporting Source:**

Firm

**Regulatory Action Initiated**

NEW YORK STOCK EXCHANGE



**By:**

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/12/1997

**Docket/Case Number:** HPD 97-171

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 02/12/1998

**Sanctions Ordered:** Bar  
Censure

**Other Sanctions Ordered:**

**Sanction Details:**

**Reporting Source:** Broker

**Regulatory Action Initiated By:** NEW YORK STOCK EXCHANGE

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/12/1997

**Docket/Case Number:** HPD 97-171

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

**Product Type:****Other Product Type(s):****Allegations:**

UNAUTHORIZED TRADING IN THE ACCOUNTS OF NIKT  
DEMASKIS; HARRIS DEMASIPTS . HOWARD AND BONNIE NALL, MIKE AND  
CINDY FRRAGE, SIDNEY PARKER, GARY HIGBEE, JOSEPH NOVARO, JACK  
NORTON, ACTON MORBAH AND MARILYN OULFIN, REIMBRUSING A  
CUSTOMERS LOSSES

**Current Status:**

Final

**Resolution:**

Consent

**Resolution Date:**

02/12/1998

**Sanctions Ordered:**

Bar  
Censure

**Other Sanctions Ordered:****Sanction Details:**

WITHOUT ADMITTING OR DENYING GUILT, ANTHONY  
DUQUE CONSENTS TO A CENSURE AND A BAR FROM BEING A MEMBER,  
ALLIED MEMBER OR APPROVED PERSON AND FROM EMPLOYMENT OR  
ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER OR MEMBER  
ORGANIZATION FOR A PERIOD OF FOUR MONTHS. (NEW YORK STOCK  
EXCHANGE)

**Broker Statement**

Not Provided

**Disclosure 4 of 5****Reporting Source:**

Regulator

**Regulatory Action Initiated  
By:**

GEORGIA SECURITIES DIVISION

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:**

01/31/1996

**Docket/Case Number:**

50-95-0435

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

**Other Product Type(s):**

**Allegations:** ACCORDING TO DUQUE'S RECORD, A TOTAL OF 13 COMPLAINTS WAS LODGED AGAINST HIM BY CUSTOMERS OR FIRMS DURING TWO YEARS OF REGISTRATION AS A SECURITIES SALESMAN.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 01/31/1996

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** IT IS DEEMED BY THE GEORGIA SECURITIES COMMISSION TO BE IN THE PUBLIC INTEREST TO DENY DUQUE'S APPLICATION FOR REGISTRATION AS A SECURITIES SALESMAN IN GEORGIA DUE TO THE FACT THAT HE IS NOT OF GOOD BUSINESS REPUTATION.

**Regulator Statement** CONTACT: ANDREW J. EKONOMOU, ASSISTANT COMMISSIONER OF SECURITIES, GEORGIA

**Reporting Source:** Broker

**Regulatory Action Initiated By:** GEORGIA DIVISION OF SECURITIES

**Sanction(s) Sought:** Denial

**Other Sanction(s) Sought:**

**Date Initiated:** 01/31/1996

**Docket/Case Number:** 50-95-0435

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

**Product Type:** Other

**Other Product Type(s):**

**Allegations:** DENIAL OF REG. ON FROM GA ON 1/27/96

**Current Status:** Final

**Resolution:** Order



**Resolution Date:** 01/31/1996

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** I WAS DENIED REG IN THE STATE OF GEORGIA

**Broker Statement** ALL PAPER WORK IS BEGIN PROCESS FOR AN APPEAL BE MY ATTORNEY. I WAS NOT DENIED REG FROM THE STATE OF GEORGIA WHEN, I WAS REG WITH THE PREVIOUS FIRM OF FIRST UNITED AND NO COMPLAINTS WERE ISSUED AFTER NY DEPARTURE FROM FIRST INTEC

#### Disclosure 5 of 5

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** MARYLAND DIVISION OF SECURITIES

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/26/1996

**Docket/Case Number:**

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** THE DIVISION ISSUED AN ORDER TO SHOW CAUSE AND AN ORDER OF SUMMARY POSTPONEMEN

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 03/27/1996

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** ON 1/26/96 AN ORDER TO SHOW CAUSE AND AN ORDER OF SUMMARY POSTPONEMENT WAS ISSUED, SUMMARILY POSTPONING





DUQUE'S  
AGENT APPLICATION. THE ORDERS PROVIDED THAT FAILURE TO  
REQUEST  
A HEARING WITHIN 15 DAYS FROM THE DATE OF RECEIPT OF THE ORDERS  
OR TO WITHDRAW THE APPLICATION BY SUBMITTING A FORM U-5 TO BOTH  
THE DIVISION AND THE CRD WOULD RESULT IN THE APPLICATION BEING  
DENIED.

#### Regulator Statement

AGENT APPLICATION REJECTED 3/27/96. CONTACT:  
ELLEN E. CHERRY, (410) 576-6494.

**Reporting Source:**  
**Regulatory Action Initiated By:**  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:**  
**Docket/Case Number:**  
**Employing firm when activity occurred which led to the regulatory action:**

Broker  
MARYLAND DIVISION OF SECURITIES  
Denial  
  
01/26/1996

**Product Type:**  
**Other Product Type(s):**

Other

**Allegations:**  
DIVISION ISSUED AN ORDER TO SHOW CAUSE & AN  
ORDER OF SUMMARY POSTPONEMENT.

**Current Status:**  
Final

**Resolution:**  
Order

**Resolution Date:**  
03/27/1996

**Sanctions Ordered:**  
Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:**  
AGENT APPLICATION REJECTED. ON 1/26/96 AN ORDER  
TO SHOW CAUSE & AN ORDER OF SUMMARY POSTPONEMENT WAS  
ISSUED.  
POSTPONING THE APPLICATION. ORDERS PROVIDED THAT FAILURE TO  
REQUEST A HEARING WITHIN 15 DAYS FROM THE DATE OF RECEIPT OF



THE ORDERS OR TO WITHDRAW MY APPLICATION BY SUBMITTING A U-5  
TO  
MARYLAND & CRD.  
NOT PROVIDED

**Broker Statement**



## Criminal - Final Disposition

This type of disclosure event involves a conviction or guilty plea for any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently on appeal.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Court Details:</b>	NASSAU COUNTY FIRST DISTRICT COURT, HEMPSTEAD, NEW YORK 25768/95
<b>Charge Date:</b>	09/08/1995
<b>Charge Details:</b>	POSS FORGED INSTRUMENT 2ND D FELONY;CRIM POSS STOLEN PROPERTY CLASS A MISDEM.; DRIV/SUSP LICENSE 2ND MISDEM;DRIV/SUSP REGISTRATION MISDEM;TURNING MOV & REQUIRED SIGNALS MISDEM;POSSESSION FORGED INSTRU 2ND D FELONY REDUCED TO (ATTEMPT POSS FORG INSTR 3RD CLASS A MISDEM)CRIM POSS STOLEN PROPRETY A MISDEM REDUCED TO DISORDERLY CONDUCT;DRIV W/SUSP LIC 2ND D MISDEM REDUCED TO DRIV/SUSPENDED REGISTRA MISDEM COVERED BY POSSESS FORGED INSTRUMENT 3RD (A MISDEM) ATTEMPT;TURNING MOVEMENTS & REQUIRED SIGNALS COVERED BY (ATTEMPT POSSESS FORGED INSTRU) (ATTEMPT POSS FORG INSTRU CL A MISD) PG; (DIS.CONDUCT)PG (DRIVING SUSP LICENSE-VIOL)PG
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	12/20/1995
<b>Disposition Details:</b>	POSS FORGED INSTRUMENT 2ND D FELONY;CRIM POSS STOLEN PORPERTY CLASS A MISDEM; DRIV/SUSP LICENSE 2ND MISDEM; DRIV/SUSP REGISTRATION MISDEM;TURNING MOV & REQUIRED SIGNALS MISDEM; POSSESSION FORGED INSTRU 2ND D FELONY REDUCED TO (ATTEMPT POSS FORG INSTR 3RD CLASS A MISDEM) CRIM POSS STOLEN PROPERTY A MISDEM REDUCED TO DISORDERLY CONDUCT; DRIV W/SUSP LIC 2ND D MISDEM REDUCED TO DRIV/SUSPENDED REGISTRA MISDEM COVERED BY POSSESS FORGED INSTRUMENT 3RD (A MISDEM) ATTEMPT;TURNING MOVEMENTS & REQUIRED SIGNAL COVERED BY (ATTEMPT POSSESS FORGED INSTRU)(ATTEMPT POSS FORG INSTRU CL A MISD)PG;(DIS. CONDUCT)PG (DRIVING SUSP LICENSE-VIOL)PG



## 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 named 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:** JOSEPHTHAL LYON & ROSS INC.

**Allegations:** UNAUTHORIZED TRADING, MISHANDLED ACCOUNTS

**Product Type:**

**Alleged Damages:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [UNKNOWN - CASE #95-04065](#)

**Date Notice/Process Served:** 11/22/1995

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 02/20/1996

**Disposition Detail:** AWARD AGAINST PARTY  
\*\*\*VICTOR TONY DUQUE IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO THE CLAIMANTS \$4,920.00 IN ACTUAL DAMAGES\*\*\*

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** JOSEPHTHAL LYON & ROSS INC.

**Allegations:** PURCHASE OF \$2,500 SHARES OF NATIONAL RECORD MART INC. AT \$5.25 WAS UNAUTHORIZED; NO OPTIONS INVOLVED; NO SPECIFIC DAMAGES CLAIMED

**Product Type:**

**Alleged Damages:**



## Customer Complaint Information

**Date Complaint Received:** 05/10/1995  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 02/20/1996

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD; 95-04065](#)

**Date Notice/Process Served:** 11/22/1995  
**Arbitration Pending?** No  
**Disposition:** Award to Customer  
**Disposition Date:** 02/20/1996  
**Monetary Compensation Amount:** \$4,920.00

**Individual Contribution Amount:**

**Firm Statement** AFTER CAREFULLY REVIEWING THE COMPLAINT IT WAS DETERMINED THAT THE COMPLAINT HAD NOT MERIT.  
Not Provided

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** JOSEPHTHAL LYON & ROSS INC.

**Allegations:** PURCHASE OF 2500 SHARES OF NATIONAL RECORD @ 5 1/4 WAS ALLEGED UNAUTHORIZED

**Product Type:**

**Alleged Damages:**



## Customer Complaint Information

**Date Complaint Received:** 05/10/1995

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 02/20/1996

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD; 95-04065](#)

**Date Notice/Process Served:** 11/22/1995

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 02/20/1996

**Monetary Compensation Amount:** \$4,920.00

**Individual Contribution Amount:**

**Broker Statement**

NA

FIRM DETERMINE THAT CLIENT DIDNT HAVE A VALID CASE  
ALL ALLEGATIONS CAME OUT AFTER MY DEPARTURE FROM  
JOSEPHTAL LYON ROSS ALL TRADES WERE TO BE CHECKED BY  
MANGEMNT  
EXCUTIONS AND WAS DISCUSS WITH CLIENTS

## End of Report



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