

BrokerCheck Report

CHRISTOPHER SCHOEFIELD CARLIN

CRD# 2238819

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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



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.

**CHRISTOPHER S. CARLIN**

CRD# 2238819

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: 03/24/2014

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
- 44 U.S. states and territories

This broker has passed:

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

Registration History

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

- B NETWORK 1 FINANCIAL SECURITIES INC.**
 CRD# 13577
 New York, NY
 07/2016 - 05/2019
- IA AEGIS CAPITAL CORP.**
 CRD# 15007
 NEW YORK, NY
 01/2012 - 04/2014
- B AEGIS CAPITAL CORP.**
 CRD# 15007
 NEW YORK, NY
 12/2011 - 04/2014

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	1
Customer Dispute	3



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 44 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 Representative	Approved	03/24/2014
B	FINRA	Investment Banking Representative	Approved	09/09/2015

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	05/20/2019
B	Arkansas	Agent	Approved	12/06/2019
B	California	Agent	Approved	03/25/2014
B	Colorado	Agent	Approved	10/21/2019
B	Connecticut	Agent	Approved	03/24/2014
B	Delaware	Agent	Approved	03/24/2014
B	District of Columbia	Agent	Approved	10/25/2019
B	Florida	Agent	Approved	03/24/2014
B	Georgia	Agent	Approved	03/25/2014
B	Illinois	Agent	Approved	04/09/2014
B	Indiana	Agent	Approved	10/21/2019

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Iowa	Agent	Approved	10/21/2019
B	Kansas	Agent	Approved	10/29/2019
B	Kentucky	Agent	Approved	10/24/2019
B	Louisiana	Agent	Approved	10/21/2019
B	Maine	Agent	Approved	10/22/2019
B	Maryland	Agent	Approved	03/24/2014
B	Massachusetts	Agent	Approved	03/27/2014
B	Michigan	Agent	Approved	10/23/2019
B	Minnesota	Agent	Approved	10/22/2019
B	Mississippi	Agent	Approved	10/21/2019
B	Missouri	Agent	Approved	10/24/2019
B	Nebraska	Agent	Approved	10/24/2019
B	Nevada	Agent	Approved	10/31/2019
B	New Jersey	Agent	Approved	03/24/2014
B	New York	Agent	Approved	03/24/2014
B	North Carolina	Agent	Approved	10/21/2019
B	North Dakota	Agent	Approved	10/25/2019
B	Ohio	Agent	Approved	10/21/2019
B	Oklahoma	Agent	Approved	10/22/2019
B	Oregon	Agent	Approved	10/30/2019
B	Pennsylvania	Agent	Approved	03/24/2014



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Puerto Rico	Agent	Approved	05/27/2021
B	Rhode Island	Agent	Approved	12/02/2022
B	South Carolina	Agent	Approved	10/23/2019
B	South Dakota	Agent	Approved	10/22/2019
B	Texas	Agent	Approved	03/24/2014
B	Utah	Agent	Approved	10/22/2019
B	Vermont	Agent	Approved	11/23/2020
B	Virginia	Agent	Approved	03/24/2014
B	Washington	Agent	Approved	07/17/2019
B	West Virginia	Agent	Approved	11/04/2019
B	Wisconsin	Agent	Approved	10/21/2019
B	Wyoming	Agent	Approved	10/30/2019

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/09/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/30/1992
B Uniform Securities Agent State Law Examination	Series 63	06/19/1992

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/.

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 07/2016 - 05/2019	NETWORK 1 FINANCIAL SECURITIES INC.	13577	New York, NY
IA 01/2012 - 04/2014	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
B 12/2011 - 04/2014	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
IA 12/2011 - 12/2011	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
IA 11/2010 - 12/2011	FCG ADVISORS LLC	40633	CHATHAM, NJ
B 11/2010 - 12/2011	FCG ADVISORS, LLC	40633	CHATHAM, NJ
IA 04/2008 - 11/2010	1ST WORLDWIDE ADVISORS, LLC.	133225	SHORT HILLS, NJ
B 12/2007 - 11/2010	1ST WORLDWIDE FINANCIAL PARTNERS, LLC	132038	SHORT HILLS, NJ
B 11/2002 - 12/2007	THOMAS GROUP CAPITAL	112901	FAR HILLS, NJ
B 01/2001 - 10/2002	DEUTSCHE BANK SECURITIES INC.	2525	NEW YORK, NY
B 09/1997 - 01/2001	DB ALEX. BROWN LLC	17790	BALTIMORE, MD
B 09/1996 - 09/1997	ALEX. BROWN & SONS INCORPORATED	20	
B 07/1993 - 09/1996	SMITH BARNEY INC.	7059	NEW YORK, NY
B 06/1992 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, 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
07/2016 - Present	Network 1 Financial Securities, Inc.	Registered Representative	Y	Red Bank, NJ, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2014 - Present	ALEXANDER CAPITAL, L.P.	REGISTERED REP.	Y	NEW YORK, NY, 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.

No information reported.

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
Regulatory Event	0	1	0
Customer Dispute	0	3	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Arkansas
Sanction(s) Sought:	Undertaking
Date Initiated:	11/20/2019
Docket/Case Number:	S-19-0060
URL for Regulatory Action:	http://www.securities.arkansas.gov/userfiles/Alexander%20Capital,%20L_P_%20S-19-0060-19-OR01.pdf
Employing firm when activity occurred which led to the regulatory action:	Alexander Capital, L.P.
Product Type:	No Product
Allegations:	Christopher Carlin transacted business as a broker-dealer agent with Alexander Capital without proper registration
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date: 11/20/2019

Sanctions Ordered: Undertaking

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$15,000.00

Portion Levied against individual: \$0.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 11/21/2019

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement Christopher Carlin transacted business as a broker-dealer agent with Alexander Capital without proper registration. Fine included activity unrelated to Christopher Carlin.

Reporting Source: Broker

Regulatory Action Initiated By: Arkansas

Sanction(s) Sought: Undertaking

Date Initiated: 11/20/2019

Docket/Case Number: S-19-0060

Employing firm when activity occurred which led to the regulatory action: Alexander Capital, L.P.



Product Type:	No Product
Allegations:	Transacted business as a Broker-Dealer Agent with Alexander Capital, L.P. without proper registration.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	11/20/2019
Sanctions Ordered:	Undertaking



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:	Broker
Employing firm when activities occurred which led to the complaint:	DEUTSCHE BANC ALEX.BROWN INC
Allegations:	CLIENT UNSATISFIED WITH THE ACCOUNT PERFORMANCE AND IR'S MANAGEMENT OF THEIR MANAGED ACCOUNT. CLIENT INDICATED IR INSUFFICIENTLY ATTENDED TO ACCOUNT.
Product Type:	Equity - OTC
Alleged Damages:	\$250,000.00

Customer Complaint Information

Date Complaint Received:	05/11/2001
Complaint Pending?	No
Status:	Settled
Status Date:	07/26/2001
Settlement Amount:	\$68,551.20
Individual Contribution Amount:	\$34,275.60
Broker Statement	CLIENT AGREED TO SETTLE FOR \$68,551.20

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	DEUTSCHE BANK SECURITIES INC.
Allegations:	CLIENT CLAIMS BROKER MADE UNAUTHORIZED AND UNSUITABLE TRADES IN HER ACCOUNT, CAUSING A LOSS OF \$107,000, INCLUDING COMMISSIONS AND FEES.
Product Type:	Equity - OTC
Alleged Damages:	\$107,000.00



Customer Complaint Information

Date Complaint Received: 06/26/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/26/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE, CASE NO. 02-010368

Date Notice/Process Served: 06/26/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/18/2003

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Firm Statement WITHOUT ADMITTING OR DENYING LIABILITY, AND IN THE INTERESTS OF AVOIDING THE EXPENSE AND UNCERTAINTY OF PROTRACTED LITIGATION, THE FIRM SETTLED THIS MATTER.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: DEUTSCHE BANC ALEX.BROWN INC.

Allegations: CLIENT CLAIMS BROKER MADE UNAUTHORIZED AND UNSUITABLE TRADES IN HER ACCOUNT CAUSING A LOSS OF \$107,000 INCLUDING COMMISSIONS AND FEES.

Product Type: Equity - OTC



Alleged Damages: \$107,000.00

Customer Complaint Information

Date Complaint Received: 05/28/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/26/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE 2002-010368

Date Notice/Process Served: 06/26/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/18/2003

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount:

Broker Statement WITHOUT ADMITTING OR DENYING LIABILITY, AND IN THE INTERESTS OF AVOIDING THE EXPENSE OF UNCERTAINTY OF PROTRACTED LITIGATION, THE FIRM SETTLED THIS MATTER

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: the clients alleged unauthorized and unsuitable trading (equity). alleged damages - unspecified

Product Type:

**Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 10/03/1997**Complaint Pending?** No**Status:** Settled**Status Date:****Settlement Amount:** \$3,500.00**Individual Contribution Amount:****Firm Statement** after further consideration, the branch agreed to settle the claim for \$3,500.
contact: lisa kratka 212-723-3056**Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:****Allegations:** THE CLIENTS ALLEGED UNAUTHORIZED AND UNSUITABLE TRADING (EQUITY). ALLEGED DAMAGES-UNSPECIFIED.**Product Type:****Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 10/03/1997**Complaint Pending?** No**Status:** Settled**Status Date:****Settlement Amount:** \$3,500.00**Individual Contribution Amount:****Broker Statement** AFTER FURTHER CONSIDERATION, THE BRANCH AGREED TO SETTLE THE CLAIM FOR \$3,500.



THE CASE WAS SETTLED WITHOUT MY KNOWLEDGE. I WANT TO AGAIN RESTATE THAT I AM INNOCENT AND I WHOLE-HEARTEDLY DENY THESE RIDICULOUS ACCUSATIONS. IT IS MY UNDERSTANDING THAT THE CASE WAS SETTLED BECAUSE THE CLAIM WAS LESS THAN THE COST OF DEFENDING UNTRUE ALLEGATIONS

End of Report



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