

BrokerCheck Report

JAMES HOWARD POLLAK JR

CRD# 2310056

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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.](http://www.finra.org)

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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
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B CHESTNUT ENERGY PARTNERS, INC.**
CRD# 127228
RICHARDSON, TX
12/2009 - 02/2010
- B BRIGHT TRADING, LLC**
CRD# 34702
HENDERSON, NV
03/2009 - 12/2009
- B ASSENT LLC**
CRD# 104162
BOLINGBROOK, IL
07/2003 - 01/2004

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	1
Civil Event	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, 2 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 General Securities Representative Examination	Series 7	03/03/2009
B Limited Representative-Equity Trader Exam	Series 55	07/14/2003

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/21/2009
IA Uniform Investment Adviser Law Examination	Series 65	04/15/1993

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2009 - 02/2010	CHESTNUT ENERGY PARTNERS, INC.	127228	RICHARDSON, TX
B 03/2009 - 12/2009	BRIGHT TRADING, LLC	34702	HENDERSON, NV
B 07/2003 - 01/2004	ASSENT LLC	104162	BOLINGBROOK, IL
B 03/1998 - 02/2000	FSC SECURITIES CORPORATION	7461	ATLANTA, GA
B 07/1997 - 03/1998	CARLIN EQUITIES CORP.	31295	NEW YORK, NY
B 10/1996 - 07/1997	JANCO PARTNERS, INC.	40055	GREENWOOD VILLAGE, CO
B 04/1995 - 11/1996	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 02/1993 - 04/1995	PRUDENTIAL SECURITIES INCORPORATED	7471	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
06/2015 - Present	Swan Energy, Inc.	Senior Marketing	Y	Houston, TX, United States
03/2010 - Present	Patriot Natural Resources	President/CEO	Y	Greenwood Village, CO, 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	1	0
Civil Event	1	0



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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	COLORADO DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Date Initiated:	11/19/2008
Docket/Case Number:	XY 09-CD-06
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	APOLLO ENERGY DEVELOPMENT, LLC
Product Type:	Investment Contract
Allegations:	SELLING UNREGISTERED/NON-EXEMPT SECURITIES
Current Status:	Final
Resolution:	Stipulation and 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:	11/19/2008

Reporting Source: Broker



Regulatory Action Initiated By: COLORADO DIVISION OF SECURITIES

Sanction(s) Sought: Cease and Desist

Date Initiated: 05/22/2008

Docket/Case Number: XY 09-CD-06

Employing firm when activity occurred which led to the regulatory action: APOLLO ENERGY DEVELOPMENT LLC

Product Type: No Product

Allegations: COLORADO DIVISION OF SECURITIES STAFF ALLEGED CERTAIN JOINT VENTURE UNITS OFFERED AND SOLD BY APOLLO FROM MARCH TO MAY 2008 WERE UNREGISTERED SECURITIES WHICH WERE REQUIRED TO BE REGISTERED UNDER THE CRS 11-51-301.

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: 11/19/2008

Sanctions Ordered: Other: none



Civil - Final

This type of disclosure event involves an injunction issued by a court in connection with investment-related activity or a finding by a court of a violation of any investment-related statute or regulation.

Disclosure 1 of 1

Reporting Source:	Regulator
Initiated By:	Colorado Securities Commissioner, Colorado Division of Securities
Relief Sought:	Injunction
Date Court Action Filed:	07/22/2009
Date Notice/Process Served:	07/27/2009
Product Type:	Investment Contract
Type of Court:	State Court
Name of Court:	Denver District Court
Location of Court:	Denver CO
Docket/Case #:	2009CV7181
Employing firm when activity occurred which led to the action:	Heartland Energy Inc., HEI Resources, Inc.
Allegations:	Offer and sale of unregistered Securities, unlicensed sales representative activity, and securities fraud
Current Status:	Final
Resolution:	Judgment Rendered
Resolution Date:	01/12/2018
Sanctions Ordered or Relief Granted:	Injunction Other: Monetary sanctions awarded by Order dated May 29, 2018.

Capacities 1 of 1

Capacities Affected:	All
Duration:	Permanent
Start Date:	01/12/2018
End Date:	

Monetary Sanction 1 of 1



Monetary Sanction:	Restitution
Total Amount:	\$433,633.06
Portion against individual:	433633.06
Date Paid:	
Portion Waived:	No
Amount Waived:	
Regulator Statement	Joint venture partnership interests in oil and gas.
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Reporting Source:	Broker
Initiated By:	Colorado Division Of Securities
Relief Sought:	Disgorgement Injunction Restitution
Date Court Action Filed:	07/22/2009
Date Notice/Process Served:	07/27/2009
Product Type:	Investment Contract
Type of Court:	State Court
Name of Court:	Denver District Court
Location of Court:	Denver CO
Docket/Case #:	09cv7181
Employing firm when activity occurred which led to the action:	Heartland Energy Inc., HEI Resources, Inc.
Allegations:	Offer and sale of unregistered Securities, unlicensed sales representative activity, and securities fraud
Current Status:	Pending
Limitations or Restrictions in Effect During Appeal:	N/A

End of Report



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