

BrokerCheck Report

ANTHONY GRAHAM GILCHRIST

CRD# 2310911

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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.

ANTHONY G. GILCHRIST

CRD# 2310911

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:

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

Registration History

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

- B CANTELLA & CO., INC.**
CRD# 13905
MALDEN, MA
02/2000 - 03/2005
- B RAYMOND JAMES FINANCIAL SERVICES, INC.**
CRD# 6694
ST. PETERSBURG, FL
01/1999 - 02/2000
- B ROBERT THOMAS SECURITIES, INC**
CRD# 10147
ST. PETERSBURG, FL
09/1998 - 01/1999

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	2
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 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	07/15/1998

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	01/26/1993

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/16/1993

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 02/2000 - 03/2005	CANTELLA & CO., INC.	13905	MALDEN, MA
B 01/1999 - 02/2000	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL
B 09/1998 - 01/1999	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL
B 02/1994 - 09/1998	SANDS BROTHERS & CO., LTD.	26816	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
02/2000 - Present	CANTELLA & CO., INC.	REGISTERED REPRESENTATIVE	Y	PROVIDENCE, RI, 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	2	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 2

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/17/2006

Docket/Case Number: 20050001147

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

Product Type: No Product

Other Product Type(s):

Allegations: RESPONDENT IS SUSPENDED PURSUANT TO THE PROVISIONS OF RULE 9552 SERIES NON-SUMMARY SUSPENSION SANCTION.

Current Status: Final

Resolution: Other

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: 09/25/2006

Sanctions Ordered: Bar

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

PURSUANT TO NASD PROCEDURAL RULE 9552(H) AND IN ACCORDANCE WITH THE NOTICE OF INTENT TO SUSPEND AND NOTICE OF SUSPENSION DATED MARCH 17, 2006 AND APRIL 12, 2006, RESPECTIVELY, ON SEPTEMBER 25, 2006, RESPONDENT IS BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY.

Regulator Statement

RESPONDENT WAS SUSPENDED APRIL 12, 2006 FROM ASSOCIATING WITH ANY NASD MEMBER FIRM IN ANY CAPACITY. RESPONDENT FAILED TO REQUEST TERMINATION OF THE SUSPENSION WITH IN SIX MONTHS OF THE DATE OF THE NOTICE OF INTENT, THEREFORE HE IS AUTOMATICALLY BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY PURSUANT TO NASD RULE 9552(H).

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: IN

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/09/1999

Docket/Case Number: 98-0299 OP

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

Product Type:

Other Product Type(s):

Allegations: DISCIPLINARY HISTORY RAISED QUESTIONS REGARDING ISSUING AN AGENT REGISTRATION IN INDIANA.

Current Status: Final

Resolution: Order

Resolution Date: 03/09/1999

Sanctions Ordered:

Other Sanctions Ordered:



Sanction Details: FILED ORDER OF POSTPONEMENT OF AGENT REGISTRATION ON 10/8/98, FILED ORDER OF RESTRICTIVE AGREEMENT ON 3/8/1999.

Regulator Statement ON OR ABOUT 9/28/98, THE AGENT APPLIED FOR REGISTRATION IN INDIANA. AFTER REVIEW OF HIS DISCIPLINARY HISTORY, THE DIVISION FILED AN ORDER OF POSTPONEMENT OF AGENT REGISTRATION. THE AGENT WAS ORDERED TO RESPOND TO EACH OF THE DISCIPLINARY EVENTS. AFTER REVIEW OF THE SUBMITTALS, THE AGENT'S REGISTRATION WAS APPROVED WITH RESTRICTIONS PURSUANT TO AN ORDER OF RESTRICTIVE AGREEMENT THAT INCLUDES BUT NOT LIMITED TO: 1) STRICT SUPERVISION, 2) NO DISCRETIONARY AUTHORITY OVER INDIANA ACCOUNTS, 3) APPROVAL BY THE BRANCH MANAGER OF NEW ACCOUNTS, 4) NOTIFICATION TO THE DIVISION OF ANY COMPLAINTS, AND 5) COMPLIANCE WITH ALL STATE/FEDERAL SECURITIES LAWS. CONTACT: KATHLEEN GUYMON BLACKHAM (317) 232-6681

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF INDIANA

Sanction(s) Sought: Other

Other Sanction(s) Sought: INQUIRY

Date Initiated: 03/09/1999

Docket/Case Number: 98-0299 OP

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

Product Type: No Product

Other Product Type(s):

Allegations: DISCIPLINARY HISTORY RAISED QUESTIONS REGARDING ISSUING AN AGENT REGISTRATION IN INDIANA

Current Status: Final

Resolution: Order

Resolution Date: 03/09/1999



Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details:

Broker Statement

ORDER OF POSTPONEMENT OF AGENT REGISTRATION

INDIANA FILED ORDER OF POSTPONEMENT OF AGENT REGISTRATION ON 10/08/98, FILED ORDER OF RESTRICTIVE AGREEMENT ON 03/08/99 THAT INCLUDES BUT NOT LIMITED TO: (1) STRICT SUPERVISION, (2) NO DISCRETIONARY AUTHORITY OVER INDIANA ACCOUNTS, (3) APPROVAL BY THE BRANCH MANAGER OF NEW ACCOUNTS, (4) NOTIFICATION TO THE DIVISION OF ANY COMPLAINTS, AND (5) COMPLIANCE WITH ALL STATE/FEDERAL SECURITIES LAWS.

NOT PROVIDED



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:	SANDS BROTHERS & CO., LTD.
Allegations:	SUITABILITY; ACCOUNT RELATED - FAILURE TO SUPERVISE; MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Alleged Damages:	\$34,261.42
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #98-00021
Date Notice/Process Served:	01/16/1998
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/24/1999
Disposition Detail:	RESPONDENT ANTHONY G GILCHRIST IS LIABLE FOR AND SHALL PAY TO CLAIMANT JOHN MANSKE OF COMPENSATORY DAMAGES IN THE AMOUNT OF \$6,333.00.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SANDS BROTHERS & CO., LTD.
Allegations:	CLAIMANT CUSTOMER ALLEGED (1) VIOLATION OF SEC. 551.41 OF THE WISCONSIN STATUTES; (2) UNSUITABILITY; (3) VIOLATION OF SEC RULE 106-5; (4) COMMON LAW FRAUD; (5) NEGLIGENT MISREPRESENTATION; (6) NEGLIGENCE.
Product Type:	



Alleged Damages: \$34,261.42

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/24/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 98-00021](#)

Date Notice/Process Served: 01/16/1998

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/24/1999

Monetary Compensation Amount: \$6,333.00

Individual Contribution Amount:

Firm Statement PENDING
NOT PROVIDED

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SANDS BROTHERS & CO., LTD.

Allegations: SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED - NEGLIGENCE ALLEGED DAMAGE \$34,261.42.

Product Type: Equity - OTC

Alleged Damages: \$34,261.42



Customer Complaint Information

Date Complaint Received: 01/16/1998
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 02/24/1999
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 98-00021](#)

Date Notice/Process Served: 01/16/1998
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 02/24/1999
Monetary Compensation Amount: \$3,167.00
Individual Contribution Amount: \$3,167.00

Broker Statement RESPONDENT ANTHONY G. GILCHRIST IS LIABLE FOR
AND SHALL PAY TO CLAIMANT CUSTOMER OF COMPENSATORY DAMAGES
IN THE AMOUNT OF \$3,167.00
NOT PROVIDED

End of Report



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