

BrokerCheck Report

GEORGE PATRICK FORD JR

CRD# 2335245

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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.

GEORGE P. FORD JR

CRD# 2335245

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 S.G. MARTIN SECURITIES LLC**
CRD# 46908
JERICO, NY
12/1999 - 03/2005
- B FIN-ATLANTIC SECURITIES, INC.**
CRD# 25523
JUPITER, FL
02/1998 - 12/1999
- B VTR CAPITAL, INC.**
CRD# 21404
NEW YORK, NY
12/1997 - 02/1998

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	3
Customer Dispute	2

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 Principal Examination	Series 24	05/14/1999

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	01/06/1995

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	03/24/1995

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 12/1999 - 03/2005	S.G. MARTIN SECURITIES LLC	46908	JERICO, NY
B 02/1998 - 12/1999	FIN-ATLANTIC SECURITIES, INC.	25523	JUPITER, FL
B 12/1997 - 02/1998	VTR CAPITAL, INC.	21404	NEW YORK, NY
B 01/1995 - 12/1997	MONROE PARKER SECURITIES, INC.	31204	PURCHASE, 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
07/1999 - Present	S.G. MARTIN SECURITIES LLC	NOT PROVIDED	Y	NEW HYDE PARK, NY, United States
02/1998 - Present	FIN-ATLANTIC SECURITIES, INC.	NOT PROVIDED	Y	NEW HYDE PARK, 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	3	0
Customer Dispute	2	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 3

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/13/2005

Docket/Case Number: [ARBITRATION CASE # 01-00933](#)

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

Product Type: No Product

Other Product Type(s):

Allegations: FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR FEES OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

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: 07/13/2005



Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: NASD REGISTRATION SUSPENDED JULY 13, 2005 FOR FAILING TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR PAY FEES IN ARBITRATION CASE #01-00933 OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

Disclosure 2 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/27/2004

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: S.G. MARTIN SECURITIES LLC

Product Type: No Product

Other Product Type(s):

Allegations: RESPONDENT FAILED TO RESPOND TO REQUESTS FOR DOCUMENTS AND/OR INFORMATION BY NASD UNDER NASD PROCEDURAL RULE 8210 AND TO TAKE CORRECTIVE ACTION WITHIN 21 DAYS AFTER SERVICE OF THE PRE-SUSPENSION NOTICE ON DECEMBER 27, 2004.

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: 01/21/2005

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: RESPONDENT SUSPENDED IMMEDIATELY FROM ASSOCIATING WITH ANY NASD MEMBER FIRM IN ANY CAPACITY PURSUANT TO THE PROVISIONS OF NASD PROCEDURAL RULES 9552 ET SEQ. IF RESPONDENT FAILS TO REQUEST A HEARING TO CHALLENGE THIS SUSPENSION WITHIN SIX MONTHS OF RECEIPT OF THE PRE-SUSPENSION NOTICE (12/27/2004), HE WILL BE AUTOMATICALLY BE BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY.

Reporting Source: Firm

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 01/21/2005

Docket/Case Number: [01-00933](#)

Employing firm when activity occurred which led to the regulatory action: S.G. MARTIN SECURITIES LLC

Product Type: Other

Other Product Type(s): FAIURE TO PROVIDE INFORMATION IN A TIMELY MANNER

Allegations: FAILURE TO PROVIDE REQUESTED INFORMATION IN A TIMELY MANNER PURSUANT TO NASD PROCEDURAL RULE 9552 ET SEQ.

Current Status: Final

Resolution: Other

Resolution Date: 03/07/2005

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENSION. AS 7 AND 24

**Firm Statement**

THIS FINAL ACTION WAS DUE TO INCOMPOTANCE OF MR. FORD'S
ATTORNEY MISSING MR. FORD'S APPEAL HEARING DATE WITH THE NASD.

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 01/21/2005

Docket/Case Number: MRD 200446893

Employing firm when activity occurred which led to the regulatory action: S.G. MARTIN SECURITIES LLC

Product Type: No Product

Other Product Type(s):

Allegations: FAILURE TO PROVIDE INFORMATION IN PRPOER AMOUNT OF TIME
PURSUANT TO NASD PROCEDURAL RULE 8210

Current Status: On Appeal

Appealed To and Date Appeal Filed: IN PROCESS OF BEING FILED

Resolution: Other

Resolution Date: 01/21/2005

Sanctions Ordered: Suspension

Other Sanctions Ordered: NONE

Sanction Details: SUSPENSION PENDING APPEAL HEARING

Broker Statement APPEAL HEARING TO BE SCHEDULED PURSUANT TO NASD PROCEDURAL
RULE 9559

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated NASD



By:

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 02/02/2004

Docket/Case Number: [01-00933](#)

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

Product Type: No Product

Other Product Type(s):

Allegations: FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE

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: 02/02/2004

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: NASD REGISTRATION SUSPENDED FEBRUARY 2, 2004 FOR FAILURE TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE. THE ARBITRATION CASE IS EMPLOYMENT-RELATED AND IS NOT POSTED TO FORD'S WEB CRD RECORD.
SUSPENSION LIFTED FEBRUARY 19, 2004 DUE TO NOTIFICATION BY NASD DISPUTE RESOLUTION THAT THE AWARD OR SETTLEMENT AGREEMENT HAS BEEN SATISFIED OR SATISFACTORY INFORMATION RECEIVED SHOWING VALID REASONS FOR NON-COMPLIANCE.



Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	02/02/2004
Docket/Case Number:	01-00933
Employing firm when activity occurred which led to the regulatory action:	S.G. MARTIN SECUTITIES LLC
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	FAILED TO COMPLY WITH ARBITRATION AWARD
Current Status:	Final
Resolution:	Other
Resolution Date:	02/02/2004
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	NASD REGISTRATION SUSPENDED FEB 2 2004 FOR FAILURE TO COMPLY WITH ARBITRATION AWARD. SUSPENSION LIFTED FEB. 19, 2004
Broker Statement	SUSPENSION WAS IN ERROR DUE TO ADMINISTRATIVE MISHANDLING OF DOCUMENTS AND CONTACTS MADE TO THE NASD. SITUATION WAS RECTIFIED WITH NASD AND THE ERRONEOUS SUSPENSION WAS LIFTED.



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 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	S.G. MARTIN SECURITIES LLC
Allegations:	FAILURE TO EXECUTE A SALE ORDER; BREACH OF CONTRACT; NEGLIGENCE
Product Type:	Other
Other Product Type(s):	STOCK
Alleged Damages:	\$6,575.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #02-02785
Date Notice/Process Served:	05/09/2002
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/27/2003
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANTS \$4,275 AS COMPENSATORY DAMAGES, PLUS INTEREST.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	S.G. MARTIN SECURITIES LLC
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS
Product Type:	Equity - OTC
Alleged Damages:	\$6,575.00

Customer Complaint Information



Date Complaint Received: 05/22/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/09/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD CASE # 02-02785 NASD ARBITRATION](#)

Date Notice/Process Served: 05/09/2002

Arbitration Pending? No

Disposition: Award to Applicant

Disposition Date: 02/27/2003

Monetary Compensation Amount: \$4,275.00

Individual Contribution Amount: \$4,275.00

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MONROE PARKER SECURITIES, INC.

Allegations: MISMANAGEMENT AND UNSUITABLE RECOMMENDATIONS.

Product Type: Other

Alleged Damages: \$18,055.58

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #01-00933](#)



Date Notice/Process Served: 02/26/2001
Arbitration Pending? No
Disposition: Award
Disposition Date: 11/06/2001
Disposition Detail: RESPONDENT IS LIABLE AND SHALL PAY TO THE CLAIMANT \$10,807.06,
PLUS INTEREST, JOINTLY AND SEVERALLY.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MONROE PARKER SECURITIES
Allegations: MISMANAGEMENT AND UNSUITABLE RECOMMENDATIONS
Product Type: Equity - OTC
Alleged Damages: \$18,055.58

Customer Complaint Information

Date Complaint Received: 02/26/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 02/26/2001
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD CASE # 01-00933](#)
Date Notice/Process Served: 02/26/2001
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 11/06/2001



Monetary Compensation Amount:	\$10,807.06
Individual Contribution Amount:	\$0.00

End of Report



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