BrokerCheck Report

BRUCE EDWARD ROBERTS

CRD# 2359901

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.

BRUCE E. ROBERTS

CRD# 2359901

Currently employed by and registered with the following Firm(s):

B **BEECH HILL SECURITIES, INC.**
880 THIRD AVENUE
16TH FLOOR
NEW YORK, NY 10022
CRD# 24771
Registered with this firm since: 10/08/2014

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
- 15 U.S. states and territories

This broker has passed:

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

Registration History

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

B **ROBERTS MITANI, LLC**
CRD# 30022
NEW YORK, NY
10/1993 - 10/2014

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

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 15 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **BEECH HILL SECURITIES, INC.**

Main Office Address: **880 3RD AVENUE 16TH FLOOR**
NEW YORK, NY 10022-4730

Firm CRD#: **24771**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/08/2014
B	FINRA	General Securities Representative	Approved	10/08/2014
B	FINRA	Investment Banking Representative	Approved	10/08/2014
B	FINRA	Operations Professional	Approved	10/08/2014
B	FINRA	Investment Banking Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	10/08/2014
B	Connecticut	Agent	Approved	10/08/2014
B	District of Columbia	Agent	Approved	10/08/2014
B	Florida	Agent	Approved	10/08/2014
B	Illinois	Agent	Approved	10/08/2014
B	Massachusetts	Agent	Approved	11/10/2014
B	Minnesota	Agent	Approved	10/08/2014
B	Nevada	Agent	Approved	10/08/2014

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	10/08/2014
B	New York	Agent	Approved	10/08/2014
B	Pennsylvania	Agent	Approved	10/08/2014
B	Texas	Agent	Approved	10/08/2014
B	Utah	Agent	Approved	01/04/2024
B	Virginia	Agent	Approved	10/08/2014
B	Washington	Agent	Approved	10/08/2014

Branch Office Locations

BEECH HILL SECURITIES, INC.
880 THIRD AVENUE
16TH FLOOR
NEW YORK, NY 10022

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, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	07/27/1993

General Industry/Product Exams

	Exam	Category	Date
B	Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	07/07/1993

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	07/11/2006

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.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/1993 - 10/2014	ROBERTS MITANI, LLC	30022	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
10/2014 - Present	BEECH HILL SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
10/2014 - Present	RM GLOBAL PARTNERS, LLC.	MANAGING DIRECTOR	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.

1)CONTROL MEDICAL TECHNOLOGY, INC. dba VENTIV SCIENTIFIC; NOT INVESTMENT RELATED; MEDICAL DEVICE COMPANY MANUFACTURING PRODUCTS FOR CLOT MANAGEMENT, BIOPSY, AND VASCULAR ACCESS; ADDRESS: 2490 SOUTH 300 WEST, SALT LAKE CITY, UTAH 84115; DIRECTOR; 05/2009; 5-10 HRS/MONTH;0 HRS DURING TRADING.

2) MANAGING DIRECTOR OF RM GLOBAL PARTNERS, LLC., A STRATEGIC FINANCIAL ADVISORY BUSINESS; ADDRESS: 880 THIRD AVENUE, NEW YORK, NY 10022; 40 HOURS DURING TRADING.

3) NECTERO MEDICAL, INC. dba NECTERO THERAPEUTICS; NOT INVESTMENT RELATED; MEDICAL DEVICE COMPANY DEVELOPING TREATMENTS FOR AORTIC ANEURYSM DISEASE AND OTHER APPLICATIONS; ADDRESS:1155 WEST RIO SALADO PARKWAY, SUITE B-104 TEMPE, AZ 85281; BEGINNING 4/30/17, DIRECTOR; BEGINNING 11/12/21, VICE-CHAIRMAN; 5-10 HOURS/MONTH/DURING TRADING.

4) RMGP BIO PHARMA INVESTMENTS, LP., WHICH IS GP OF RMGP BIO PHARMA INVESTMENT FUND, L.P. (CAYMAN), AN INVESTMENT PARTNERSHIP INVESTING IN PRIVATE BIOTECHNOLOGY COMPANIES; INVESTMENT RELATED; BEGINNING 5/11/2017, MINORITY EQUITY HOLDER AND SERVING ON INVESTMENT COMMITTEE OF THE FUND; APPROXIMATELY 20 HOURS PER MONTH DURING BUSINESS HOURS. ADDRESS: 9 YEHUDA-HALEVI ST.,TEL-AVIV 6513515,ISRAEL. 5) SELECT MEDICAL OPPORTUNITIES

Registration and Employment History

Other Business Activities, continued

MANAGEMENT, LLC, WHICH IS MANAGER OF SMO-NECTERO, LLC, A SPECIAL PURPOSE VEHICLE ESTABLISHED SOLELY TO INVEST IN NECTERO MEDICAL, INC.; BEGINNING 4/30/20, MANAGER AND MEMBER, AND ALSO A MEMBER OF SMO-NECTERO, LLC. ; APPROXIMATELY 10 HOURS PER MONTH DURING BUSINESS HOURS; ADDRESS: 885 THIRD AVENUE, 16TH FLOOR, NEW YORK, NY 10022.

6) RMG-KB BP MANAGEMENT LTD., WHICH IS GP OF RMG-KB BIOACCESS FUND, L.P. (CAYMAN), AN INVESTMENT PARTNERSHIP INVESTING IN PRIVATE BIOTECHNOLOGY & MEDICAL TECHNOLOGY COMPANIES; INVESTMENT RELATED; BEGINNING JUNE 2021, OFFICER AND EQUITY HOLDER, AND OFFICER AND EQUITY HOLDER OF RM GLOBAL BIOACCESS FUND MANAGEMENT, LLC, WHICH IS MANAGEMENT COMPANY OF FUND; SERVING ON INVESTMENT COMMITTEE OF THE FUND; APPROXIMATELY 50 HOURS PER MONTH DURING TRADING HOURS; ADDRESS: 885 THIRD AVENUE, 16TH FLOOR, NEW YORK, NY 10022.

7) HEALTH FAMILY CAPITAL LLC, A FAMILY INVESTMENT PARTNERSHIP INVESTING IN PRIVATE MEDICAL TECHNOLOGY COMPANIES; BEGINNING NOVEMBER 2014, MANAGER AND EQUITY HOLDER; APPROXIMATELY 4 HOURS PER MONTH DURING TRADING HOURS; ADDRESS: 110 RIVERSIDE DRIVE, 11E, NY, NY 10024.

8) ADVANCED MEDICAL TECHNOLOGY ASSOCIATION (ADVAMED) , ACCEL DIVISION, BOARD OF DIRECTORS, SERVING AS NON EXECUTIVE DIRECTOR ON THE BOARD OF THE ACCEL DIVISION REPRESENTING EMERGING MEDICAL TECHNOLOGY COMPANIES AT NON PROFIT TRADE ASSOCIATION OF THE MEDICAL DEVICE INDUSTRY; APPROXIMATELY 1 HOUR PER MONTH DURING BUSINESS HOURS; ADDRESS: 701 PENNSYLVANIA AVENUE NW #800, WASHINGTON, DC 20004.

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.
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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

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/13/2003
Docket/Case Number:	C05030014
Employing firm when activity occurred which led to the regulatory action:	ROBERTS MITANI, LLC
Product Type:	No Product
Allegations:	NASD RULES 1120(A) AND 2110 - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM, ALLOWED INDIVIDUALS TO ACT IN THE CAPACITY OF REGISTERED REPRESENTATIVES WHEN THEIR REGISTRATIONS WERE DEEMED INACTIVE DUE TO THEIR FAILURE TO SATISFY THE REGULATORY ELEMENT OF THE CONTINUING EDUCATION REQUIREMENT. ADDITIONALLY, ROBERTS ACTED IN THE CAPACITY OF REGISTERED PRINCIPAL AND REGISTERED REPRESENTATIVE WHEN HIS REGISTRATION WAS DEEMED INACTIVE DUE TO HIS FAILURE TO SATISFY THE REGULATORY ELEMENT OF THE CONTINUING EDUCATION REQUIREMENT.
Current Status:	Final

Resolution:	Acceptance, Waiver & Consent(AWC)
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:	03/13/2003
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	

Is Payment Plan Current:	
Date Paid by individual:	03/31/2003
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE THE HE IS CENSURED AND FINED $7500.00, JOINTLY AND SEVERALLY.

Reporting Source:	Broker
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	02/13/2003
Docket/Case Number:	C05030014
Employing firm when activity occurred which led to the regulatory action:	ROBERTS MITANI, LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 1120(A) AND 2110 - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM, ALLOWED INDIVIDUALS TO ACT IN THE CAPACITY OF REGISTERED REPRESENTATIVES WHEN THEIR REGISTRATIONS WERE DEEMED INACTIVE DUE TO THEIR FAILURE TO SATISFY THE REGULATORY ELEMENT OF THE CONTINUING EDUCATION REQUIREMENT. ADDITIONALLY, ROBERTS ACTED IN THE CAPACITY OF REGISTERED PRINCIPAL AND REGISTERED REPRESENTATIVE WHEN HIS REGISTRATION WAS DEEMED INACTIVE DUE TO HIS FAILURE TO SATISFY THE REGULATORY ELEMENT OF THE CONTINUING EDUCATION REQUIREMENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Resolution Date:	03/13/2003
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE THE HE IS CENSURED AND FINED $7500.00, JOINTLY AND SEVERALLY.
Broker Statement	WITH RESPECT TO THE FULFILLMENT BY HIDEKI MITANI, JEFFREY OH, AND BRUCE ROBERTS OF THE CONTINUING EDUCATION REQUIREMENT, WE HAVE REVIEWED THE FACTS AVAILABLE TO US AND CONCLUDED THE FOLLOWING: A. WHEN THE NOTIFICATION PROCESS FOR CONTINUING EDUCATION AND OTHER MATTERS CONVERTED FROM WRITTEN FORM TO ELECTRONIC FORM ON THE WEB/CRD, IT WAS OUR UNDERSTANDING THAT SUCH NOTICES ON WEB/CRD WERE TO BE MONITORED BY OUR REGULATORY CONSULTANT AS PART OF THEIR DUTIES IN COORDINATING OUR FINANCIAL AND REGULATORY FILINGS VIA WEB/CRD. B. THEREFORE THE FIRM UNINTENTIONALLY DID NOT RECEIVE ANY NOTICE OF DEFICIENCY REGARDING THE REGULATORY ELEMENT OF CONTINUING EDUCATION OR ANY OTHER NOTICE OF INACTIVE STATUS FOR THESE INDIVIDUALS AND THEY WERE NOT NOTIFIED. C. AS A RESULT, EACH REPRESENTATIVE PERFORMED CERTAIN ACTIVITIES AS A REGISTERED PERSON WITHOUT KNOWLEDGE THEY WERE INACTIVE. D. PROMPTLY AFTER IT WAS BROUGHT TO OUR ATTENTION IN CONNECTION WITH A STATE REGISTRATION THAT THE ABOVE INDIVIDUALS WERE INACTIVE, WE TOOK REMEDIAL ACTION TO CURE THE DEFICIENCIES. E. TO CURE THE DEFICIENCY, THE ABOVE INDIVIDUALS WERE PROMPTLY NOTIFIED TO SATISFY THESE REQUIREMENTS AND SESSIONS WERE SCHEDULED FOR EACH AT THE EARLIEST POSSIBLE TIME. ALL INDIVIDUALS PROMPTLY SATISFIED THE REQUIREMENT AND RETURNED TO ACTIVE STATUS. F. WE HAVE ADOPTED NEW PROCEDURES TO MONITOR AND PROVIDE FOR COMPLIANCE WITH THESE CONTINUING EDUCATION REQUIREMENTS.

End of Report

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