

BrokerCheck Report

ANTHONY JAMES MAZZO

CRD# 2385020

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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 J. MAZZO**

CRD# 2385020

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

IA RBC CAPITAL MARKETS, LLC
 5355 TOWN CENTER ROAD
 SUITE 800
 BOCA RATON, FL 33486
 CRD# 31194
 Registered with this firm since: 01/14/2022

B RBC CAPITAL MARKETS, LLC
 5355 TOWN CENTER ROAD
 SUITE 800
 BOCA RATON, FL 33486
 CRD# 31194
 Registered with this firm since: 01/14/2022

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:**

- 22 Self-Regulatory Organizations
- 31 U.S. states and territories

This broker has passed:

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

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

- IA TRUIST ADVISORY SERVICES, INC.**
 CRD# 283390
 ATLANTA, GA
 03/2021 - 01/2022
- B TRUIST INVESTMENT SERVICES, INC.**
 CRD# 17499
 Palm Beach, FL
 02/2021 - 01/2022
- IA BB&T SECURITIES, LLC**
 CRD# 142785
 RICHMOND, VA
 04/2016 - 03/2021

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
Customer Dispute	6
Termination	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 22 SROs and is licensed in 31 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	01/14/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	FINRA	General Securities Representative	Approved	01/14/2022
B	Investors' Exchange LLC	General Securities Representative	Approved	01/14/2022
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	MEMX LLC	General Securities Representative	Approved	01/14/2022
B	MIAX PEARL, LLC	General Securities Representative	Approved	01/14/2022
B	NYSE American LLC	General Securities Representative	Approved	01/14/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/14/2022
B	NYSE National, Inc.	General Securities Representative	Approved	01/14/2022

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B NYSE Texas, Inc.	General Securities Representative	Approved	01/14/2022
B Nasdaq BX, Inc.	General Securities Representative	Approved	01/14/2022
B Nasdaq GEMX, LLC	General Securities Representative	Approved	01/14/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/14/2022
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/14/2022
B Nasdaq Stock Market	General Securities Representative	Approved	01/14/2022
B New York Stock Exchange	General Securities Representative	Approved	01/14/2022

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	01/25/2022
B Arizona	Agent	Approved	01/14/2022
B California	Agent	Approved	01/18/2022
B Colorado	Agent	Approved	01/14/2022
B Connecticut	Agent	Approved	01/14/2022
B Delaware	Agent	Approved	04/06/2022
B Florida	Agent	Approved	01/14/2022
IA Florida	Investment Adviser Representative	Approved	01/18/2022
B Georgia	Agent	Approved	01/14/2022
B Illinois	Agent	Approved	05/03/2024
B Iowa	Agent	Approved	01/18/2022
B Kansas	Agent	Approved	01/14/2022
B Massachusetts	Agent	Approved	07/02/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	01/14/2022
B	Minnesota	Agent	Approved	01/25/2022
B	Nevada	Agent	Approved	01/14/2022
B	New Jersey	Agent	Approved	01/14/2022
B	New York	Agent	Approved	01/14/2022
B	North Carolina	Agent	Approved	01/14/2022
B	Ohio	Agent	Approved	01/14/2022
B	Pennsylvania	Agent	Approved	01/14/2022
B	Rhode Island	Agent	Approved	01/14/2022
B	South Carolina	Agent	Approved	01/24/2022
B	South Dakota	Agent	Approved	01/14/2022
B	Tennessee	Agent	Approved	01/25/2022
B	Texas	Agent	Approved	01/14/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	01/14/2022
B	Utah	Agent	Approved	04/12/2022
B	Virginia	Agent	Approved	01/14/2022
B	Washington	Agent	Approved	01/14/2022
B	West Virginia	Agent	Approved	09/19/2022
B	Wisconsin	Agent	Approved	01/14/2022
B	Wyoming	Agent	Approved	03/25/2022

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

RBC CAPITAL MARKETS, LLC
5355 TOWN CENTER ROAD
SUITE 800
BOCA RATON, FL 33486

RBC CAPITAL MARKETS, LLC
Wellington, FL



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	05/17/2010

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/17/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/22/2005
B Uniform Securities Agent State Law Examination	Series 63	08/27/1993

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2021 - 01/2022	TRUIST ADVISORY SERVICES, INC.	283390	PALM BEACH, FL
B 02/2021 - 01/2022	TRUIST INVESTMENT SERVICES, INC.	17499	Palm Beach, FL
IA 04/2016 - 03/2021	BB&T SECURITIES, LLC	142785	RICHMOND, VA
B 04/2016 - 02/2021	BB&T SECURITIES, LLC	142785	RICHMOND, VA
IA 07/2011 - 05/2016	UBS FINANCIAL SERVICES INC.	8174	BOCA RATON, FL
B 07/2011 - 05/2016	UBS FINANCIAL SERVICES INC.	8174	BOCA RATON, FL
IA 02/2007 - 07/2011	OPPENHEIMER & CO. INC.	249	BOCA RATON, FL
B 02/2007 - 07/2011	OPPENHEIMER & CO. INC.	249	BOCA RATON, FL
IA 09/2002 - 02/2007	WACHOVIA SECURITIES, LLC	19616	DELRAY BEACH, FL
B 09/2002 - 02/2007	WACHOVIA SECURITIES, LLC	19616	DELRAY BEACH, FL
IA 07/2000 - 09/2002	RAYMOND JAMES & ASSOCIATES, INC.	705	BOCA RATON, FL
B 06/2000 - 09/2002	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL
B 12/1998 - 07/2000	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
B 11/1995 - 01/1999	GRUNTAL & CO., L.L.C.	372	NEW YORK, NY
B 08/1993 - 12/1995	GKN SECURITIES CORP.	19415	NEW YORK, NY

Employment History



Registration and Employment History

Employment History, continued

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
03/2022 - Present	City National Bank	Employee of an Affiliate	Y	Boca Raton, FL, United States
01/2022 - Present	RBC Capital Markets, LLC	Registered Representative	Y	Boca Raton, FL, United States
03/2021 - 01/2022	TRUIST ADVISORY SERVICES, INC.	Mass Transfer	Y	PALM BEACH, FL, United States
02/2021 - 01/2022	TRUIST INVESTMENT SERVICES, INC.	Mass Transfer	Y	Palm Beach, FL, United States
04/2016 - 03/2021	BB&T SECURITIES	FINANCIAL ADVISOR	Y	PALM BEACH, FL, United States
07/2011 - 04/2016	UBS FINANCIAL SERVICES	SR VICE PRESIDENT	Y	BOCA RATON, FL, 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) NAME OF ENTITY: East Marine Boats Inc.

ADDRESS: 5401 North Haverhill Rd. Unit 125 West Palm Beach, FL 33414

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Inflatable boats manufacturing

CAPACITY: Owner - Passive

START DATE: 1/1/21

DUTIES: I set up the company for my two children who run the entire operation. I spend 2-4 hours per month reviewing the financial statements

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

2) NAME OF ENTITY: Mazzo Properties LLC

ADDRESS: 2221 Widener Ter, Wellington, FL 33414

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Rental Property



Registration and Employment History

Other Business Activities, continued

START DATE: 02.06.25

CAPACITY: Owner

DUTIES: My wife and I just created an LLC and are the sole owners of the LLC that holds investment properties.

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

(3) NAME OF ENTITY: The Cove Dockominium Association

ADDRESS: 1756 SE 3rd ct., Deerfield Beach, Florida, 33414

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Private Company

START DATE: 15/05/2025

CAPACITY: Board of Directors

DUTIES: I will assist on making decisions pertaining to the normal business activity of a small marina such as trash vendor selection, insurance selection and monthly bank statement review.

HOURS DEVOTED PER MONTH: 0 - 4 Hours

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0 - 4 Hours

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
Customer Dispute	0	6	N/A
Termination	N/A	1	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.

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:	BB&T Securities, LLC
Allegations:	Customer alleged that the registered representative did not provide him with accurate information on his choices regarding a stock in a tender offer in September 2016, which resulted in a loss of over \$5,000 when he received a cash tender, instead of stock.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Customer alleged the losses at over \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/10/2016
Complaint Pending?	No
Status:	Settled



Status Date:	12/01/2016
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	The firm corrected the tender offer choice to stock, resolving the matter between all parties.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	Elderly clients state that the FA guaranteed the clients that their portfolio was just fine and never disclosed that the structured notes invested in were risky and the lost dividend interest was now coming out of my account investments and not from earnings and dividends.
Product Type:	Other: Structured Notes
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Estimated to be in excess of \$5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/17/2016
Complaint Pending?	No
Status:	Settled
Status Date:	07/14/2016
Settlement Amount:	\$138,855.92



Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: Elderly clients state that the FA guaranteed the clients that their portfolio was just fine and never disclosed that the structured notes invested in were risky and the lost dividend interest was now coming out of my account investments and not from earnings and dividends.

Product Type: Other: Structured Notes

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Estimated to be in excess of \$5,000

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/05/2016

Complaint Pending? No

Status: Settled

Status Date: 07/14/2016

Settlement Amount: \$138,855.92

Individual Contribution Amount: \$0.00

Broker Statement RR's comments: In my twenty four year career as an advisor I have never guaranteed investment performance. I was no longer affiliated with UBS when the complaint was initiated by the UBS client. I was not consulted or included in the settlement process, nor did I contribute towards the settlement payment. UBS Financial services Inc. has voluntarily settled a case regarding investments into UBS structured notes with a regulatory agency.



Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: Time Frame: March 2013 - November 2014 Claimant alleges unsuitable investment recommendation, misrepresentation, and failure to supervise in connection with purchase of shares in unit investment trust.

Product Type: Other: unit investment trust

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 16-00458

Filing date of arbitration/CFTC reparation or civil litigation: 03/24/2016

Customer Complaint Information

Date Complaint Received: 03/24/2016

Complaint Pending? No

Status: Settled

Status Date: 11/14/2016

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when UBS FINANCIAL SERVICES INC



activities occurred which led to the complaint:

Allegations: Time Frame: March 2013 - November 2014 Claimant alleges unsuitable investment recommendation, misrepresentation, and failure to supervise in connection with purchase of shares in unit investment trust.

Product Type: Other: unit investment trust

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 16-00458

Filing date of arbitration/CFTC reparation or civil litigation: 03/24/2016

Customer Complaint Information

Date Complaint Received: 03/24/2016

Complaint Pending? No

Status: Settled

Status Date: 11/14/2016

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement Registered Representative's Comments: The arbitration was between the client and my previous firm. I was not a named respondent in the arbitration and was not required to contribute to the settlement. This same client filed an arbitration the previous year (#15-01022) and the FINRA Arbitrator denied the Claimant's claims in their entirety.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	ALLEGED UNAUTHORIZED PURCHASE OF L & L ENERGY ON 1/26/2011
Product Type:	Equity-OTC
Alleged Damages:	\$22,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA - FLORIDA
Docket/Case #:	15-01022
Filing date of arbitration/CFTC reparation or civil litigation:	05/04/2015

Customer Complaint Information

Date Complaint Received:	05/12/2015
Complaint Pending?	No
Status:	Denied
Status Date:	02/01/2016
Settlement Amount:	
Individual Contribution Amount:	



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLIENT'S REPRESENTATIVE ALLEGES ALLEGED UNAUTHORIZED PURCHASE OF L & L ENERGY ON 1/26/2011.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$22,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 15-01022

Filing date of arbitration/CFTC reparation or civil litigation: 05/04/2015

Customer Complaint Information

Date Complaint Received: 05/12/2015

Complaint Pending? No

Status: Denied

Status Date: 02/01/2016

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE ALLEGATIONS HAVE BEEN DENIED BY THE FIRM UPON REVIEW OF THE INFORMATION GATHERED. ALL EXECUTED TRADES WERE AUTHORIZED DIRECTLY BY THE CLIENT.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLIENT ALLEGES THAT INVESTMENTS MADE IN HER ACCOUNT DID NOT MEET HER INVESTMENT OBJECTIVES OVER THE LIFE OF THE ACCOUNT (MARCH 2007 - PRESENT). NO DAMAGES ALLEGED, BUT BELIEVED TO BE OVER \$5000. CLIENT ALLEGES UNAUTHORIZED TRADING IN A NEW LETTER RECEIVED 3/07/2008.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 01/22/2008

Complaint Pending? No

Status: Denied

Status Date: 05/02/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement I DENY THE ALLEGATIONS RELATED TO THIS COMPLAINT. THREE MEETINGS TOOK PLACE WITH THE CLIENT DISCUSSING ALL INVESTMENTS PRIOR TO THE PURCHASES. THE INVESTMENTS WERE MADE DURING OCTOBER, 2007 AND THE ALLEGED UNAUTHORIZED TRADING COMPLAINT DID NOT ARISE UNTIL MARCH, 2008. DURING THIS TIME THERE HAD BEEN TWO ADDITIONAL ACCOUNT REVIEW MEETINGS.

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC.

Allegations: FLORIDA RESIDENT CLAIMS FA RECOMMENDED B SHARE EATON VANCE GOVT OBLIGATION FUND DEC 2002, EVEN THOUGH CLIENT WANTED SAFETY AND ACCESS TO FUNDS WITHIN 3 YEARS. CLIENT WANTS ALL HIS MONEY BACK WHICH, WITH CDSC, WOULD COST APPROXIMATELY \$6378.



Product Type: Mutual Fund(s)

Alleged Damages: \$6,378.00

Customer Complaint Information

Date Complaint Received: 09/05/2003

Complaint Pending? No

Status: Denied

Status Date: 10/13/2003

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

CLAIM DENIED. BRANCH CANCELED EARLIER TRADE FOR CLIENT BECAUSE HE DID NOT WANT UPFRONT SALES CHARGE. THIS CLAIM INVOLVED B SHARES, WHICH WERE FULLY EXPLAINED TO CLIENT, AS WAS MARKET AND INCOME FLUCTUATION. NO GUARANTEE OF 6% RETURN WAS GIVEN.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	GRUNTAL & CO., L.L.C.
Termination Type:	Voluntary Resignation
Termination Date:	12/23/1998
Allegations:	AT THE TIME, IN CONNECTION W/HIS HANDLING OF A CUSTOMER ACCOUNT, MR. MAZZO WAS UNDER INTERNAL REVIEW FOR POSSIBLE VIOLATION OF FIRM RULES AND/OR INDUSTRY REGULATIONS CONCERNING UNAUTHORIZED TRADING IMPROPER MARKING OF ORDER TICKETS, UNAPPROVED UNCOVERED OPTION TRANSACTIONS AND FREE RIDING
Product Type:	Options
Other Product Types:	
Broker Statement	IN RESPONSE TO THE ALLEGATION OF UNAUTHORIZED TRADING, I HAVE NEVER ENGAGED IN UNAUTHORIZED TRADING. THE CLIENT GRANTED WRITTEN TRADING AUTHORIZATION TO HIS BROTHER AND IS IN THE PROCESS OF PROVIDING ME WITH A STATEMENT OF THAT EFFECT. TH REMAINING ISSUES ARE BEING RESOLVED TO THE SATISFACTION OF THE FIRM, THE CLIENT AND MYSELF. IN ADDITION, THERE HAS NEVER BEEN A CUSTOMER COMPLAINT CONCERNING ANY OF THESE ALLEGATIONS.

End of Report



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