

BrokerCheck Report

ANTHONY MICHAEL TANICO

CRD# 2400898

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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:
 - o 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
 - o 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 M. TANICO

CRD# 2400898

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

Registration History

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

- B KLEIN, MAUS & SHIRE INC.**
CRD# 20527
NEW YORK, NY
12/1999 - 12/1999
- B ROSS SECURITIES CORP.**
CRD# 30263
BOCA RATON, FL
10/1998 - 12/1998
- B J.P. TURNER & COMPANY, L.L.C.**
CRD# 43177
ATLANTA, GA
08/1997 - 08/1998

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	1
Civil Event	1
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 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	03/16/1994

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/16/1994

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 - 12/1999	KLEIN, MAUS & SHIRE INC.	20527	NEW YORK, NY
B 10/1998 - 12/1998	ROSS SECURITIES CORP.	30263	BOCA RATON, FL
B 08/1997 - 08/1998	J.P. TURNER & COMPANY, L.L.C.	43177	ATLANTA, GA
B 05/1997 - 08/1997	ARGENT SECURITIES, INC.	15297	ATLANTA, GA
B 01/1996 - 06/1997	FIRST HANOVER SECURITIES, INC.	14469	STATEN ISLAND, NY
B 09/1995 - 01/1996	TOLUCA PACIFIC SECURITIES CORP.	13875	BURBANK, CA
B 01/1995 - 07/1995	HANOVER, STERLING & COMPANY LTD.	15491	NEW YORK, NY
B 07/1994 - 01/1995	BARRETT DAY SECURITIES, INC.	17717	NEW YORK, NY
B 05/1994 - 06/1994	RUSSO SECURITIES INC.	14425	STATEN ISLAND, 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
12/1998 - Present	KLEIN, MAUS & SHIRE INC.	NOT PROVIDED	Y	NEW YORK, 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	1	0
Civil Event	1	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/07/1999
Docket/Case Number:	C10990204
Employing firm when activity occurred which led to the regulatory action:	BARRETT DAY SECURITIES, INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	12-10-99, ON DECEMBER 7, 1999, DISTRICT NO. 10 ACCEPTED THE LETTER OF ACCEPTANCE, WAIVER, AND CONSENT SUBMITTED BY ANTHONY MICHAEL TANICO WHEREBY RESPONDENT IS FINED \$75,000, BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY, AND ORDERED TO DISGORGE \$134,334 TO THE NASD. RESPONDENT ARRANGED FOR AN IMPOSTOR TO TAKE THE SERIES 7 AND SERIES 63 QUALIFICATION EXAMS ON HIS BEHALF IN VIOLATION OF NASD RULES 1070 AND 2110. RESPONDENT ALSO FAILED TO COMPLETE THE ON-THE-RECORD INTERVIEW HELD AT DISTRICT NO. 10 IN VIOLATION OF NASD RULES 2110 AND 8210.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/07/1999
Sanctions Ordered:	Bar



Disgorgement/Restitution
Monetary/Fine \$75,000.00

Other Sanctions Ordered:

Sanction Details: BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY
DISGORGEMENT TO THE NASD: \$134,334.00
PAYMENT OF THE FINE AND DISGORGEMENT SHALL BE A PREREQUISITE
FOR ANY APPLICATION FOR REENTRY.

Regulator Statement 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:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Injunction
Date Court Action Filed:	09/24/2007
Product Type:	Other: STOCK LOANS
Type of Court:	Federal Court
Name of Court:	U.S. DISTRICT COURT FOR THE EASTERN DISTRICT OF NEW YORK
Location of Court:	BROOKLYN, NY
Docket/Case #:	07-3928
Employing firm when activity occurred which led to the action:	AJT LTD., AJGT LTD.
Allegations:	SEC LITIGATION RELEASE 20290, SEPTEMBER 20, 2007 - SECTION 17(A) OF THE SECURITIES ACT OF 1933 AND SECTION 10(B) OF THE SECURITIES AND EXCHANGE ACT OF 1934 AND RULE 10B-5 THEREUNDER, AND WITH AIDING AND ABETTING VIOLATIONS OF THESE ANTIFRAUD-PROVISIONS - ON SEPTEMBER 20, 2007, THE SECURITIES AND EXCHANGE COMMISSION FILED A CIVIL INJUNCTIVE ACTION IN THE UNITED STATES DISTRICT COURT FOR THE EASTERN DISTRICT OF NEW YORK CHARGING 28 DEFENDANTS, INCLUDING TANICO, IN A SERIES OF FRAUDULENT SCHEMES INVOLVING PHONY FINDER FEES AND ILLEGAL KICKBACKS IN THE "STOCK LOAN" INDUSTRY. THESE TRADERS CONSPIRED IN VARIOUS SCHEMES WITH 15 PURPORTED STOCK LOAN "FINDERS" TO SKIM PROFITS ON STOCK LOAN TRANSACTIONS. THE DEFENDANTS EARNED OVER \$8 MILLION FROM THEIR UNLAWFUL SCHEMES OVER A PERIOD OF NEARLY SIX YEARS. THE COMMISSION ALLEGES THAT FROM AS FAR BACK AS 1999 UNTIL 2005, THE STOCK LOAN TRADERS ROUTINELY DEFRAUDED THE BROKERAGE FIRMS THAT EMPLOYED THEM AND OTHERS BY ENGAGING IN COLLUSIVE LOAN TRANSACTIONS AND CAUSING THE FIRMS TO PAY SHAM FINDER FEES TO COMPANIES CONTROLLED BY THE TRADERS THEMSELVES OR BY THEIR FRIENDS AND RELATIVES. ACTING AS FRONTS FOR THE TRADERS, THESE COMPANIES RECEIVED HEFTY FINDER FEES ON SEVERAL THOUSAND STOCK LOAN TRANSACTIONS



EVEN THOUGH THEY DID NOT PROVIDE ANY LEGITIMATE FINDING SERVICES AND, IN MANY CASES, WERE SIMPLY SHELL COMPANIES THAT WERE NOT EVEN INVOLVED IN THE STOCK LOAN BUSINESS. TANICO RAN TWO FINDER FIRMS WHICH RECEIVED SHAM FINDER FEES FROM A FIRM AND PAID THE INDIVIDUAL THAT CAUSED THE FEES TO BE PAID, MONTHLY CASH KICKBACKS AND KEPT THE BALANCE OF THE SHAM FINDER FEES FOR HIMSELF AND ANOTHER INDIVIDUAL.

Current Status:

Final

Resolution:

Judgment Rendered

Resolution Date:

10/28/2011

Sanctions Ordered or Relief Granted:

Injunction

Capacities 1 of 1**Capacities Affected:**

N/A

Duration:

PERMANENT

Start Date:

10/28/2011

End Date:**Regulator Statement**

JUDGMENT OF PERMANENT INJUNCTION RENDERED OCTOBER 28, 2011 WHEREIN TANICO IS PERMANENTLY ENJOINED FROM VIOLATING SECTION 17(A) OF THE SECURITIES ACT, SECTION 10(B) OF THE SECURITIES EXCHANGE ACT AND RULE 10B-5 THEREUNDER. UPON MOTION OF THE COMMISSION, THE COURT SHALL DETERMINE WHETHER TO ORDER DISGORGEMENT AND/OR A CIVIL PENALTY.



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:

Allegations: UNAUTHORIZED TRADING; UNSUITABLE TRADING; FRAUD; FORGED SIGNATURE ON MARGIN ACCOUNT AGREEMENT; UNAUTHORIZED USE OF MARGIN

Product Type: Other

Other Product Type(s): STOCKS

Alleged Damages: \$69,233.93

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #00-02297](#)

Date Notice/Process Served: 06/01/2000

Arbitration Pending? No

Disposition: Award

Disposition Date: 07/03/2002

Disposition Detail: RESPONDENT IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANT \$32,243 AS COMPENSATORY DAMAGES PLUS SIMPLE INTEREST.

End of Report



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