

## BrokerCheck Report

**JAMES KITTREDGE BRODER**

CRD# 2421939

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**JAMES K. BRODER**

CRD# 2421939

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

- B STARWOOD CAPITAL, L.L.C.**  
 591 WEST PUTNAM AVENUE  
 GREENWICH, CT 06830  
 CRD# 146057  
 Registered with this firm since: 01/02/2013

**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
- 53 U.S. states and territories

**This broker has passed:**

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

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

- B PIERPONT SECURITIES LLC**  
 CRD# 150696  
 NEW YORK, NY  
 07/2011 - 04/2012
- B DEUTSCHE BANK SECURITIES INC.**  
 CRD# 2525  
 NEW YORK, NY  
 06/2008 - 07/2011
- B BEAR, STEARNS & CO. INC.**  
 CRD# 79  
 NEW YORK, NY  
 01/1994 - 06/2008

**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
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 1 SRO and is licensed in 53 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **STARWOOD CAPITAL, L.L.C.**

Main Office Address: **591 WEST PUTNAM AVENUE  
GREENWICH, CT 06830**

Firm CRD#: **146057**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/02/2013

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/26/2021
B	Alaska	Agent	Approved	04/05/2021
B	Arizona	Agent	Approved	04/22/2021
B	Arkansas	Agent	Approved	04/05/2021
B	California	Agent	Approved	01/03/2013
B	Colorado	Agent	Approved	03/26/2025
B	Connecticut	Agent	Approved	01/02/2013
B	Delaware	Agent	Approved	03/29/2021
B	District of Columbia	Agent	Approved	01/18/2013
B	Florida	Agent	Approved	01/03/2013
B	Georgia	Agent	Approved	01/02/2013
B	Hawaii	Agent	Approved	05/13/2021

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	03/26/2021
B	Illinois	Agent	Approved	01/03/2013
B	Indiana	Agent	Approved	04/01/2021
B	Iowa	Agent	Approved	04/02/2021
B	Kansas	Agent	Approved	03/26/2021
B	Kentucky	Agent	Approved	03/26/2021
B	Louisiana	Agent	Approved	03/26/2021
B	Maine	Agent	Approved	03/26/2021
B	Maryland	Agent	Approved	03/29/2021
B	Massachusetts	Agent	Approved	02/28/2013
B	Michigan	Agent	Approved	04/02/2013
B	Minnesota	Agent	Approved	03/29/2021
B	Mississippi	Agent	Approved	03/29/2021
B	Missouri	Agent	Approved	02/13/2013
B	Montana	Agent	Approved	03/26/2021
B	Nebraska	Agent	Approved	04/02/2021
B	Nevada	Agent	Approved	02/01/2013
B	New Hampshire	Agent	Approved	06/03/2021
B	New Jersey	Agent	Approved	01/11/2013
B	New Mexico	Agent	Approved	03/26/2021
B	New York	Agent	Approved	03/28/2021

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	01/02/2013
B	North Dakota	Agent	Approved	03/29/2021
B	Ohio	Agent	Approved	01/04/2013
B	Oklahoma	Agent	Approved	03/30/2021
B	Oregon	Agent	Approved	04/01/2021
B	Pennsylvania	Agent	Approved	01/03/2013
B	Puerto Rico	Agent	Approved	04/05/2021
B	Rhode Island	Agent	Approved	01/02/2013
B	South Carolina	Agent	Approved	04/13/2021
B	South Dakota	Agent	Approved	01/03/2013
B	Tennessee	Agent	Approved	01/08/2013
B	Texas	Agent	Approved	06/12/2013
B	Utah	Agent	Approved	04/14/2021
B	Vermont	Agent	Approved	03/26/2021
B	Virgin Islands	Agent	Approved	03/30/2021
B	Virginia	Agent	Approved	04/01/2021
B	Washington	Agent	Approved	01/08/2013
B	West Virginia	Agent	Approved	04/01/2021
B	Wisconsin	Agent	Approved	03/29/2021
B	Wyoming	Agent	Approved	03/29/2021

## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

**STARWOOD CAPITAL, L.L.C.**  
591 WEST PUTNAM AVENUE  
GREENWICH, CT 06830

**STARWOOD CAPITAL, L.L.C.**  
591 WEST PUTNAM AVENUE  
GREENWICH, CT 06830

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## 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, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	01/24/2001
<b>B</b> General Securities Representative Examination	Series 7	12/29/1993

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/29/1994

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/](http://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
<b>B</b> 07/2011 - 04/2012	PIERPONT SECURITIES LLC	150696	NEW YORK, NY
<b>B</b> 06/2008 - 07/2011	DEUTSCHE BANK SECURITIES INC.	2525	NEW YORK, NY
<b>B</b> 01/1994 - 06/2008	BEAR, STEARNS & CO. INC.	79	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
01/2021 - Present	STARWOOD CAPITAL OPERATIONS, LLC	MANAGING DIRECTOR	Y	GREENWICH, CT, United States
01/2021 - Present	STARWOOD CAPITAL, LLC	MANAGING DIRECTOR	Y	GREENWICH, CT, United States
01/2016 - 01/2021	STARWOOD CAPITAL OPERATIONS, LLC	SENIOR VICE PRESIDENT	Y	GREENWICH, CT, United States
01/2016 - 01/2021	STARWOOD CAPITAL, LLC	SENIOR VICE PRESIDENT	Y	GREENWICH, CT, United States
12/2012 - 01/2016	STARWOOD CAPITAL, LLC	DIRECTOR	Y	GREENWICH, CT, United States
11/2012 - 01/2016	STARWOOD CAPITAL OPERATIONS, LLC	DIRECTOR	Y	GREENWICH, CT, 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.

AS DISCLOSED IN SECTION 12, IN ADDITION TO MY POSITION AT STARWOOD CAPITAL, L.L.C., I AM A MANAGING DIRECTOR AT STARWOOD CAPITAL OPERATIONS, L.L.C.; INVESTMENT RELATED; LOCATED AT 591 WEST PUTNAM AVENUE, GREENWICH, CT 06830.

**Registration and Employment History**



**Other Business Activities, continued**

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## 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.
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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
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.

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	MASSACHUSETTS
<b>Sanction(s) Sought:</b>	Undertaking Other: CONSENT ORDER
<b>Date Initiated:</b>	02/28/2013
<b>Docket/Case Number:</b>	R-2013-16
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	STARWOOD CAPITAL, L.L.C.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	ON OR ABOUT JANUARY 2, 2013, SWC SUBMITTED TO THE CENTRAL REGISTRATION DEPOSITORY (THE "CRD") OF FINRA AN APPLICATION FOR SECURITIES INDUSTRY REGISTRATION (THE "APPLICATION") SEEKING REGISTRATION OF BRODER AS AN AGENT OF SWC IN MASSACHUSETTS. ON OR ABOUT APRIL 30, 2012, BRODER WAS TERMINATED FROM EMPLOYMENT WITH PPS FOR SOLICITING INTEREST IN A PRIVATE PLACEMENT ON BEHALF OF AN ISSUER, OUTSIDE THE SCOPE OF HIS EMPLOYMENT WITH PPS. THE ABOVE-STATED DISCLOSURE INCIDENT AGAINST MR. BRODER HAS MOVED THE DIVISION TO PLACE CONDITIONS



ON HIS REGISTRATION AS AN AGENT OF SWC.

**Current Status:**

Final

**Resolution:**

CONSENT ORDER

**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:**

02/28/2013

**Sanctions Ordered:**

Undertaking

Other: THE DIVISION ALLOWED BRODER'S APPLICATION FOR REGISTRATION IN MASSACHUSETTS AS AN AGENT OF SWC UPON THE CONDITIONS SET FORTH BELOW WHICH ARE EFFECTIVE FOR TWO (2) YEARS: A) BRODER SHALL BE SUPERVISED, ON A HEIGHTENED BASIS; B) SWC SHALL NOT PERMIT BRODER TO HAVE ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL DUTIES WHILE ASSOCIATED WITH SWC; D) SWC SHALL NOT PERMIT BRODER TO POSSESS OR EXERCISE DISCRETION IN THE HANDLING OF MASSACHUSETTS CUSTOMER ACCOUNTS; E) ON A QUARTERLY BASIS, SWC SHALL MONITOR AND REPORT ON BRODER'S MASSACHUSETTS CUSTOMERS WITH RESPECT TO THE CUSTOMERS' SATISFACTION WITH BRODER'S SERVICES; F) SHOULD BRODER BECOME THE SUBJECT OF ANY WRITTEN OR ORAL CUSTOMER COMPLAINT CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, SWC SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF SWC'S RECEIPT OF SUCH COMPLAINT; G) SHOULD BRODER BECOME THE SUBJECT OF ANY REGULATORY INVESTIGATION, INTERNAL INVESTIGATION, ARBITRATION PROCEEDING, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, SWC SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF THE INVESTIGATION, PROCEEDING, OR LITIGATION;

**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?**

#### **Regulator Statement**

) BRODER SHALL NOT PERFORM ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL DUTIES WHILE ASSOCIATED WITH SWC; I) BRODER SHALL NOT POSSESS OR EXERCISE DISCRETION IN THE HANDLING OF MASSACHUSETTS CUSTOMER ACCOUNTS; J) BRODER SHALL NOTIFY MR. GUTTIN, OR HIS SUCCESSOR, OF THE RECEIPT OF ANY CUSTOMER COMPLAINT, ORAL OR WRITTEN, CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT AS A REGISTERED REPRESENTATIVE; K) BRODER SHALL NOTIFY MR. GUTTIN, OR HIS SUCCESSOR, OF THE INITIATION OF ANY ARBITRATION PROCEEDING, REGULATORY INVESTIGATION, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS NO LATER THAN THE END OF THE FIFTH BUSINESS DAY AFTER WHICH HE IS MADE AWARE OF THE PROCEEDING, INVESTIGATION OR LITIGATION; L) BRODER SHALL NOTIFY MR. GUTTIN, OR HIS SUCCESSOR, OF ANY INACCURACY IN ANY REPRESENTATION MADE TO THE DIVISION HEREIN OR THE BREACH OF ANY PROVISION OF HIS UNDERTAKINGS AND REPRESENTATIONS; M) TWENTY-FOUR (24) MONTHS AFTER THE ENTRY OF THE ORDER, BRODER SHALL SUBMIT TO SWC AND THE DIRECTOR AN AFFIDAVIT STATING THAT HE HAS FULLY COMPLIED WITH ALL CONDITIONS OF THE ORDER REFERENCED IN PART 9 OF THE UNDERTAKINGS. IN THE EVENT THAT BRODER CANNOT SUBMIT THE REQUIRED AFFIDAVIT, HE SHALL INSTEAD SUBMIT A STATEMENT EXPLAINING WHY THE AFFIDAVIT CANNOT BE SUBMITTED.

**Reporting Source:**

Broker





<b>Regulatory Action Initiated By:</b>	MASSACHUSETTS SECURITIES DIVISION/MICHIGAN SECURITIES DIVISION
<b>Sanction(s) Sought:</b>	Other: HEIGHTENED SUPERVISION
<b>Date Initiated:</b>	02/28/2013
<b>Docket/Case Number:</b>	R-2012-16 (MASS), NONE FOR MICHIGAN
<b>Employing firm when activity occurred which led to the regulatory action:</b>	PIERPONT SECURITIES, LLC
<b>Product Type:</b>	No Product
<b>Allegations:</b>	VIOLATIONS OF COMPANY POLICY AND PROVISIONS OF EMPLOYMENT CONTRACT FOR MY PREVIOUS EMPLOYER. I INCOMPLETELY DISCLOSED MY INVOLVEMENT IN A COMPANY THAT BENEFITS THE AUTISM COMMUNITY OF WHICH MY WIFE AND I ARE EXTREMELY INVOLVED WITH THROUGH AUTISM SPEAKS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	02/28/2013
<b>Sanctions Ordered:</b>	Other: CONSENTED TO HEIGHTENED SUPERVISION IN MASSACHUSETTS FOR TWO YEARS BEGINNING 2/28/13 AND FOR ONE YEAR IN MICHIGAN MICHIGAN BEGINNING 3/25/13. IN MASSACHUSETTS, DURING THE PERIOD OF HEIGHTENED SUPERVISION, I AGREED NOT TO POSSESS OR EXERCISE DISCRETION IN THE HANDLING OF MASSACHUSETTS CUSTOMER ACCOUNTS OR PERFORM ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL DUTIES.
<b>Broker Statement</b>	WITH RESPECT TO QUESTION 14(D)(1)(B), NEITHER MASSACHUSETTS NOR MICHIGAN FOUND MR. BRODER TO HAVE BEEN INVOLVED IN VIOLATION OF INVESTMENT-RELATED REGULATIONS OR STATUTES.



## 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

<b>Reporting Source:</b>	Broker
<b>Employer Name:</b>	PIERPONT SECURITIES LLC
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	03/30/2012
<b>Allegations:</b>	VIOLATIONS OF COMPANY POLICY AND PROVISIONS OF EMPLOYMENT CONTRACT. I INCOMPLETELY DISCLOSED MY INVOLVEMENT IN A COMPANY THE BENEFITS THE AUTISM COMMUNITY OF WHICH MY WIFE AND I ARE EXTREMELY INVOLVED WITH THROUGH AUTISM SPEAKS.
<b>Product Type:</b>	No Product

## End of Report



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