

BrokerCheck Report

JAMES HAMPTON SIMMONS JR

CRD# 2438224

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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.

**JAMES H. SIMMONS JR**

CRD# 2438224

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

- B** **ALEXANDER CAPITAL, L.P.**
 10 DRS JAMES PARKER BLVD
 SUITE 202
 RED BANK, NJ 07701
 CRD# 40077
 Registered with this firm since: 09/16/2020

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
- 26 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** **INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**
 CRD# 144426
 ORLANDO, FL
 02/2019 - 09/2020
- B** **INTERNATIONAL ASSETS ADVISORY, LLC**
 CRD# 10645
 EUGENE, OR
 08/2015 - 09/2020
- B** **J.P. TURNER & COMPANY, L.L.C.**
 CRD# 43177
 EUGENE, OR
 07/2007 - 08/2015

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
Customer Dispute	12



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

Employment 1 of 1

Firm Name: **ALEXANDER CAPITAL, L.P.**
 Main Office Address: **10 DRS JAMES PARKER BLVD
 SUITE 202
 RED BANK, NJ 07701**
 Firm CRD#: **40077**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/16/2020
B	FINRA	General Securities Representative	Approved	09/16/2020

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/13/2023
B	Alaska	Agent	Approved	09/16/2020
B	Arizona	Agent	Approved	09/16/2020
B	Arkansas	Agent	Approved	08/03/2023
B	California	Agent	Approved	09/16/2020
B	Colorado	Agent	Approved	09/18/2020
B	Delaware	Agent	Approved	07/16/2025
B	District of Columbia	Agent	Approved	12/20/2024
B	Florida	Agent	Approved	07/21/2023
B	Georgia	Agent	Approved	10/08/2020
B	Idaho	Agent	Approved	08/02/2022



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	10/06/2020
B	Maryland	Agent	Approved	09/16/2020
B	Michigan	Agent	Approved	09/16/2020
B	Minnesota	Agent	Approved	09/16/2020
B	Nevada	Agent	Approved	09/16/2020
B	New Mexico	Agent	Approved	09/16/2020
B	New York	Agent	Approved	09/16/2020
B	North Carolina	Agent	Approved	09/16/2020
B	Ohio	Agent	Approved	09/16/2020
B	Oregon	Agent	Approved	09/18/2020
B	South Carolina	Agent	Approved	09/16/2020
B	Tennessee	Agent	Approved	05/23/2025
B	Texas	Agent	Approved	09/16/2020
B	Virginia	Agent	Approved	09/16/2020
B	Washington	Agent	Approved	09/16/2020

Branch Office Locations

ALEXANDER CAPITAL, L.P.
 10 DRS JAMES PARKER BLVD
 SUITE 202
 RED BANK, NJ 07701



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 Principal Examination	Series 24	06/09/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/22/1994

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/31/2019
B Uniform Securities Agent State Law Examination	Series 63	05/23/1994

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 02/2019 - 09/2020	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	EUGENE, OR
B 08/2015 - 09/2020	INTERNATIONAL ASSETS ADVISORY, LLC	10645	EUGENE, OR
B 07/2007 - 08/2015	J.P. TURNER & COMPANY, L.L.C.	43177	EUGENE, OR
B 06/2000 - 07/2007	BROOKSTREET SECURITIES CORPORATION	14667	CRESWELL, OR
B 01/1999 - 06/2000	NATIONAL PLANNING CORPORATION	29604	LOS ANGELES, CA
B 10/1997 - 12/1998	FSC SECURITIES CORPORATION	7461	ATLANTA, GA
B 12/1995 - 10/1997	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 07/1994 - 12/1995	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2022 - Present	ALEXANDER CAPITAL WEALTH MANAGEMENT LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	NEW YORK, NY, United States
09/2020 - Present	Alexander Capital, L.P.	Registered Representative	Y	New York, NY, United States
02/2019 - 09/2020	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR	Y	EUGENE, OR, United States
08/2015 - 09/2020	INTERNATIONAL ASSETS ADVISORY	REGISTERED REPRESENTATIVE	Y	EUGENE, OR, United States

Registration and Employment History



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) INDEPENDENT LIFE, HEALTH & LONG TERM CARE AGENT - 1561 OAK STREET EUGENE, OR 97401 - INSURANCE, ANNUITY SALES - 100% OWNER SINCE 5/2016 - APPROX 10 HRS/MO - COMMISSION BASED COMPENSATION

2) Alexander Capital Wealth Management 10 Drs. James Parker Blvd Red Bank, NJ 07701- RIA Affiliate of Alexander Capital, LP - Advisor, Appox 80 hrs/mo - Fee based compensation.

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
Customer Dispute	3	9	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

Reporting Source:	Broker
Regulatory Action Initiated By:	OREGON DIVISION OF FINANCE AND CORPORATE SECURITIES
Sanction(s) Sought:	Other: ORDER GRANTING CONDITIONAL SECURITIES SALESPERSON LICENSE
Date Initiated:	10/08/2007
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	JP TURNER AND COMPANY, LLC
Product Type:	No Product
Allegations:	APPLICANT SIGNED AN AGREEMENT FOR CONDITIONAL SECURITIES SALESPERSON LICENSE IN OREGON REQUIRING HEIGHTENED SUPERVISION" ON OCTOBER 8, 2007. THE AGREEMENT WAS ENTERED INTO BECAUSE OF APPLICANT'S PRIOR DISCLOSURES OF MATTERS RELATED TO FINANCIAL MATTERS AND CUSTOMER DISPUTES. ALL OF THESE DISCLOSURES ARE DESCRIBED IN THIS U4 FORM.
Current Status:	Final
Resolution:	Consent



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:

10/08/2010

Sanctions Ordered:

Other: HEIGHTENED SUPERVISION

Broker Statement

The Oregon DFCS placed me on heightened supervision when I left Brookstreet Securities and affiliated with J.P. Turner & Company. All terms of the agreement were met and followed in accordance with the agreement.



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 9

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	NATIONAL PLANNING CORPORATION, BROOKSTREET SECURITIES CORPORATION
Allegations:	BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, GROSS NEGLIGENCE.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF SECURITIES
Alleged Damages:	\$2,157,949.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #07-01131](#)

Date Notice/Process Served:	04/09/2007
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/21/2008
Disposition Detail:	CLAIMANT AND RESPONDENT ENTERED INTO A SETTLEMENT AGREEMENT PRIOR TO THE ARBITRATION HEARING IN THIS MATTER; ACCORDINGLY, CLAIMANT HAS DISMISSED ALL CLAIMS AGAINST RESPONDENT.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL PLANNING CORPORATION AND BROOKSTREET SECURITIES CORPORATION
Allegations:	CLAIMANT ALLEGES BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, RESPONDEAT SUPERIOR AND GROSS NEGLIGENCE. REPRESENTATIVE WAS ASSOCIATED WITH NPC FROM DECEMBER 1998 TO JUNE 2000. THE ALLEGED ACTIVITY OCCURRED FROM DECEMBER 1998 TO JULY 2006.



Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$4,163,536.00

Customer Complaint Information

Date Complaint Received: 04/17/2007

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/17/2007

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD ARBITRATION #07-01131](#)

Date Notice/Process Served: 04/17/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/12/2008

Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$100,000.00

Firm Statement PER THE STATEMENT OF CLAIM: ACTUAL DAMAGES FROM SIMMONS IN THE AMOUNT OF \$2,157.949, ACTUAL DAMAGES FROM NPC IN THE AMOUNT OF \$306,594 AND ACTUAL DAMAGES FROM BROOKSTREET IN THE AMOUNT OF \$1,698,993. THESE THREE TOTAL THE \$4,163,536 ALLEGATION AMOUNT. BROOKSTREET'S ACTUAL LOSSES APPROXIMATELY \$900,000.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION AND BROOKSTREET SECURITIES CORPORATION



Allegations: ALLEGED BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, RESPONDEAT SUPERIOR AND GROSS NEGLIGENCE. REPRESENTATIVE WAS ASSOCIATED WITH NPC FROM DECEMBER 1998 TO JUNE 2000. ALLEGED ACTIVITY PERIOD OCCURRED FROM DECEMBER 1998 TO JULY 2006.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$4,163,536.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD

Docket/Case #: 70-01131

Date Notice/Process Served: 04/19/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/12/2008

Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$100,000.00

Broker Statement I was the selling agent on this account. When the financial relationship originally began, this client was 100% invested in stocks and preferred owning stocks as her primary investment vehicle. I worked with this client from 1995 to 2006. Her account experienced substantial appreciation throughout the 1990s. The three-year unprecedented stock market decline which occurred in March 2000-March 2003 was responsible for the subsequent losses in this account. From there, the account was profitable from 2003 through the end of 2006 when our broker/client relationship ended. The account value and damages were nowhere near the amount indicated on the original dispute. The case was settled in mediation on 5/21/2008. My financial contribution was \$100,000.00.

Disclosure 2 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FSC SECURITIES CORPORATION



Allegations: ALLEGES REPRESENTATIVE SOLD CUSTOMER UNSUITABLE BONDS THAT DEFAULTED

Product Type: Other

Other Product Type(s): BONDS

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 03/13/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/13/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO 03-01554

Date Notice/Process Served: 03/13/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/16/2004

Monetary Compensation Amount: \$275,375.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FSC SECURITIES CORPORATION

Allegations: ALLEGED UNSUITABILITY.

Product Type: Other: BONDS



Alleged Damages: \$500,000.00

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: 03/13/2003

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 03/13/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD

Docket/Case #: 03-01554

Date Notice/Process Served: 03/13/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/16/2004

Monetary Compensation Amount: \$275,375.00

Individual Contribution Amount: \$0.00

Broker Statement I was not the selling agent on this account and never met or spoke with these clients at anytime. I was named in this complaint because I was a supervisor in the office. I didn't take part in the settlement discussions nor did I make any financial contribution to the settlement.



Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BROOKSTREET SECURITIES CORPORATION
Allegations:	AS BRANCH MANAGER AND SUPERVISOR, ALLEGED FAILURE TO SUPERVISE BROKER OF RECORD.
Product Type:	No Product
Alleged Damages:	\$1,105,000.00
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:	02/08/2002
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/08/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	02-00639
Date Notice/Process Served:	02/08/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/27/2003
Monetary Compensation Amount:	\$325,000.00



Individual Contribution Amount: \$0.00

Broker Statement I was never the selling agent on this account nor did I ever meet or talk to the client. I was named in this dispute only because I was a supervisor in the office. I wasn't part of the mediation in this matter and made no contributions toward this settlement.

Disclosure 4 of 9

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BROOKSTREET SECURITIES CORPORATION

Allegations: ALLEGED FAILURE TO SUPERVISE THE BROKER OF RECORD, AS BRANCH MANAGER AND SUPERVISOR.

Product Type: No Product

Alleged Damages: \$225,000.00

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: 02/26/2002

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 02/26/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD



Docket/Case #:	02-01650
Date Notice/Process Served:	02/26/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/09/2003
Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	I was not the selling agent on this account and had only incidental contact with the client. I was named in this dispute because I was a supervisor in the office. I never took part in any settlement discussions and did not contribute financially to the settlement.

Disclosure 5 of 9

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BROOKSTREET SECURITIES CORPORATION
Allegations:	ALLEGED FAILURE TO SUPERVISE AS BRANCH MANAGER AND SUPERVISOR.
Product Type:	No Product
Alleged Damages:	\$500,000.00
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:	09/09/2002
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	09/09/2002

**Settlement Amount:**

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

NASD

Docket/Case #: 02-05043

Date Notice/Process Served: 09/09/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/29/2003

Monetary Compensation Amount: \$162,000.00

Individual Contribution Amount: \$0.00

Broker Statement

I was not the selling agent on this account and only met the client once in a social setting away from the office. I wasn't part of any settlement discussions and did not contribute financially to the settlement.

Disclosure 6 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORP.

Allegations: [CUSTOMER] CLAIMS MISHANDLING OF HER ACCOUNT INCLUDING UNSUITABLE AND MISREPRESENTED INVESTMENTS.

Product Type: Other

Other Product Type(s): PRIVATE PLACEMENT, PARTNERSHIP, STOCKS

Alleged Damages: \$295,000.00

Customer Complaint Information

Date Complaint Received: 10/15/2001

Complaint Pending? No



Status: Settled

Status Date: 10/15/2001

Settlement Amount: \$237,500.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE #1-04634

Date Notice/Process Served: 10/15/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/27/2003

Monetary Compensation Amount: \$225,000.00

Individual Contribution Amount: \$12,500.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: ALLEGED MISHANDLING OF ACCOUNT, ALLEGED UNSUTABILITY, ALLEGED MISREPRESENTED INVESTMENTS.

Product Type: Other: PRIVATE PLACEMENT, PARTNERSHIP, STOCKS

Alleged Damages: \$295,000.00

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: 10/15/2001



Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	10/15/2001
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	1-004634
Date Notice/Process Served:	10/15/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/27/2003
Monetary Compensation Amount:	\$225,000.00
Individual Contribution Amount:	\$12,500.00
Broker Statement	I was never the selling agent on this account and had only incidental contact with the client. I was named in this dispute only because I was a supervisor in the office.

Disclosure 7 of 9

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL PLANNING CORPORATION
Allegations:	MISREPRESENTATION OF PRODUCT
Product Type:	CD(s)
Alleged Damages:	\$7,650.00

Customer Complaint Information



Date Complaint Received: 11/06/2000

Complaint Pending? No

Status: Settled

Status Date: 11/24/2000

Settlement Amount: \$7,650.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: ALLEGED MISREPRESENTATION OF PRODUCT

Product Type: CD

Alleged Damages: \$7,650.00

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: 11/06/2000

Complaint Pending? No

Status: Settled

Status Date: 11/24/2000

Settlement Amount: \$7,650.00

Individual Contribution Amount: \$0.00

Broker Statement This dispute is related to the sale of a callable CD. The customer understood the full terms and conditions of the purchase of his CD. The dispute was filed after I'd left the broker dealer where the CD was sold. I didn't learn that this dispute existed



until a year after I'd left the broker dealer. I never took part in any settlement discussions nor did I financially contribute to the settlement.

Disclosure 8 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: MISREPRESENTATION OF PRODUCT

Product Type: CD(s)

Alleged Damages: \$6,700.00

Customer Complaint Information

Date Complaint Received: 08/18/2000

Complaint Pending? No

Status: Settled

Status Date: 08/29/2000

Settlement Amount: \$6,700.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: ALLEGED MISREPRESENTATION OF PRODUCT

Product Type: CD

Alleged Damages: \$6,700.00

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: 08/18/2000

Complaint Pending? No

Status: Settled

Status Date: 08/29/2000

Settlement Amount: \$6,700.00

Individual Contribution Amount: \$0.00

Broker Statement This dispute relates to the purchase of a callable CD. I was the selling agent and all information related to the terms of this CD were fully disclosed to the client. This dispute was filed after I'd left the firm where the CD was sold. I was never made aware that any dispute existed or had been settled until the year after I'd left the firm where the investment was purchased. I did not take part in any settlement discussions and did not financially contribute to the settlement.

Disclosure 9 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: ALLEGED INACCURATE INFORMATION REGARDING INVESTMENTS

Product Type: CD(s)

Other Product Type(s): STEP DOWN CD(S)

Alleged Damages: \$105,000.00

Customer Complaint Information

Date Complaint Received: 06/28/2000

Complaint Pending? No

Status: Settled

Status Date: 08/25/2000

Settlement Amount: \$17,854.54

Individual Contribution Amount: \$0.00



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: ALLEGED INACCURATE INFORMATION REGARDING INVESTMENTS

Product Type: CD
Other: STEP DOWN CD(S)

Alleged Damages: \$105,000.00

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: 06/28/2000

Complaint Pending? No

Status: Settled

Status Date: 08/25/2000

Settlement Amount: \$17,854.54

Individual Contribution Amount: \$0.00

Broker Statement

I was a securities principal in this office but did not work with this client. I never met with or had any conversation with this client. I didn't become aware that this client's dispute existed until a year after I'd left the broker dealer where the trade was placed. By that time, the matter was settled. I never took part in any settlement discussions and did not personally contribute to any financial settlement related to this dispute.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: ALLEGED OMISSION OF MATERIAL INFORMATION REGARDING INVESTMENT.

Product Type: CD(s)

Alleged Damages: \$7,750.00

Customer Complaint Information

Date Complaint Received: 03/28/2001

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: ALLEGED OMISSION OF MATERIAL INFORMATION REGARDING INVESTMENT.

Product Type: CD

Alleged Damages: \$7,750.00

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: 03/28/2001

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement This dispute is related to the sale of a callable CD. I wasn't aware that this dispute existed until after I'd left the broker dealer where the CD was sold. I never took part in any settlement discussions and am unaware of any settlement being made to the client. This should not show as pending on my U-4.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: FORGERY OF SIGNATURES ON APPLICATIONS AND DOCUMENTS

Product Type: No Product

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/28/2000

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL PLANNING CORPORATION

Allegations: ALLEGED FORGERY OF SIGNATURES ON APPLICATIONS AND DOCUMENTS.
NO ALLEGED DAMAGES, ASSUME IT'S \$5000.00 OR ABOVE.



Product Type: No Product

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): NO ALLEGED DAMAGES, ASSUME IT'S \$5000.00 OR ABOVE.

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: 08/28/2000

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement This dispute should not show as pending on my U-4. I was not the selling agent on this client's account and never filled out or submitted any paperwork on her behalf. I wasn't made aware that this dispute existed until a year after I'd changed my broker dealer affiliation. It is my understanding that nothing related to this dispute ever materialized.

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FSC SECURITIES

Allegations: UNSUITABLE INVESTMENTS

Product Type: CD

Alleged Damages: \$20,000.00

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: 09/23/1999

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

This should not be a pending disclosure on my U-4. I was made aware that this dispute existed after I'd left the firm where the transaction took place. It is my understanding that this dispute never materialized.

The original dispute had to do with "unsuitable investments" related to the client's purchase of a callable CD. I was a registered principal in this office but NOT the selling agent on this account. I sat in a meeting with these clients and their agent following their CD purchase. They understood the terms of their CD and I wasn't aware that this complaint existed until long after it was placed on my U-4 after I'd left the broker dealer and moved my licenses to another broker dealer.

End of Report



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