

BrokerCheck Report
ANTHONY PACE
 CRD# 2481049

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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 PACE**

CRD# 2481049

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

- B SPARTAN CAPITAL SECURITIES, LLC**
 45 BROADWAY
 19TH FLOOR
 NEW YORK, NY 10006
 CRD# 146251
 Registered with this firm since: 04/10/2023

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:

- 2 Self-Regulatory Organizations
- 26 U.S. states and territories

This broker has passed:

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

Registration History

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

- B JOSEPH STONE CAPITAL L.L.C.**
 CRD# 159744
 NEW YORK, NY
 05/2018 - 04/2023
- B VCS VENTURE SECURITIES**
 CRD# 127921
 New York, NY
 09/2021 - 02/2022
- B WINDSOR STREET CAPITAL, LP**
 CRD# 34171
 NEW YORK, NY
 05/2018 - 05/2018

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	6
Termination	1
Financial	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 2 SROs and is licensed in 26 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SPARTAN CAPITAL SECURITIES, LLC**

Main Office Address: **45 BROADWAY
19TH FLOOR
NEW YORK, NY 10006**

Firm CRD#: **146251**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	04/10/2023
B	FINRA	General Securities Representative	Approved	04/10/2023
B	Nasdaq Stock Market	General Securities Principal	Approved	11/22/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	11/22/2024

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/10/2023
B	California	Agent	Approved	04/11/2023
B	District of Columbia	Agent	Approved	04/10/2023
B	Georgia	Agent	Approved	04/10/2023
B	Illinois	Agent	Approved	03/26/2025
B	Indiana	Agent	Approved	06/20/2023
B	Kansas	Agent	Approved	04/11/2023
B	Maryland	Agent	Approved	05/11/2023
B	Michigan	Agent	Approved	04/10/2023



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Minnesota	Agent	Approved	04/28/2023
B	Nebraska	Agent	Approved	04/10/2023
B	New Jersey	Agent	Approved	04/25/2023
B	New Mexico	Agent	Approved	04/10/2023
B	New York	Agent	Approved	04/10/2023
B	North Carolina	Agent	Approved	04/27/2023
B	Ohio	Agent	Approved	04/10/2023
B	Oklahoma	Agent	Approved	04/11/2023
B	Pennsylvania	Agent	Approved	05/02/2023
B	Rhode Island	Agent	Approved	04/10/2023
B	South Carolina	Agent	Approved	04/12/2023
B	South Dakota	Agent	Approved	04/10/2023
B	Texas	Agent	Approved	04/11/2023
B	Utah	Agent	Approved	04/25/2023
B	Washington	Agent	Approved	04/28/2023
B	West Virginia	Agent	Approved	04/10/2023
B	Wyoming	Agent	Approved	04/15/2024

Branch Office Locations

SPARTAN CAPITAL SECURITIES, LLC
 45 BROADWAY
 19TH FLOOR
 NEW YORK, NY 10006

Broker Qualifications



Employment 1 of 1, continued



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	06/06/2001

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/15/1994

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/22/1994

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
B 05/2018 - 04/2023	JOSEPH STONE CAPITAL L.L.C.	159744	NEW YORK, NY
B 09/2021 - 02/2022	VCS VENTURE SECURITIES	127921	New York, NY
B 05/2018 - 05/2018	WINDSOR STREET CAPITAL, LP	34171	NEW YORK, NY
B 10/2015 - 05/2018	WINDSOR STREET CAPITAL, LP	34171	NEW YORK, NY
B 03/2015 - 10/2015	ALEXANDER CAPITAL, L.P.	40077	RED BANK, NJ
B 09/2010 - 04/2015	GLOBAL ARENA CAPITAL CORP	16871	NEW YORK, NY
B 05/2009 - 09/2010	VFINANCE INVESTMENTS, INC	44962	NEW YORK, NY
B 07/2005 - 05/2009	J.P. TURNER & COMPANY, L.L.C.	43177	HOLLYWOOD, FL
B 03/2005 - 08/2005	INTERNET CAPITAL MARKETS CORPORATION	103725	NY, NY
B 06/2001 - 03/2005	LH ROSS & COMPANY, INC.	37920	BOCA RATON, FL
B 08/1998 - 06/2001	FAS WEALTH MANAGEMENT SERVICES, INC.	10164	SARASOTA, FL
B 07/1994 - 08/1998	BILTMORE SECURITIES, INC.	25023	FT. LAUDERDALE, FL

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
04/2023 - Present	Spartan Capital Securities, LLC	Registered Representative	Y	New York, NY, United States
09/2021 - 04/2023	Primary Capital LLC	Registered Representative	Y	Miami, FL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
05/2018 - 04/2023	JOSEPH STONE CAPITAL LLC	REPRESENTATIVE	Y	MINEOLA, NY, United States
10/2015 - 05/2018	Windsor Street Capital, L.P.	Registered Representative	Y	NEW YORK, NY, United States
03/2015 - 10/2015	Alexander Capital	registered representative	Y	New York, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

Pace, LLC: Not Investment Related. 71-31 Myrtle Avenue, Glendale, NY 11385. Nature of Business: Bookkeeping. Position: Owner. Approximately 4 hours a month, not during trading 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
Regulatory Event	0	1	0
Customer Dispute	0	6	N/A
Termination	N/A	1	N/A
Financial	0	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

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 12/03/2019

Docket/Case Number: 2017052475702

Employing firm when activity occurred which led to the regulatory action: Windsor Street Capital, LP

Product Type: No Product

Allegations: Without admitting or denying the findings, Pace consented to the sanctions and to the entry of findings that he failed to reasonably supervise a registered representative of his member firm who excessively traded two customer accounts. The findings stated that Pace was responsible for implementing the additional supervisory guidelines as detailed in the representative's heightened supervision plan (HS plan). Pace did not pre-approve all customer orders the representative submitted, and he did not otherwise follow the firm's procedures to review for excessive trading and churning. Soon after the representative became the registered representative on the accounts for the customers, both accounts began to appear on the firm's active account report over multiple months. The firm's active account report included the amount of commission, number of trades and



activity levels, which indicated excessive trading. Pace also failed to follow up on other red flags. Pace was aware that one of the customers was 81 years old at account opening and although the customer's new account documentation showed an investment objective of growth and income, the account had a high level of activity. Rather than investigate the suitability of the transactions or confirm with the customer, Pace relied on the representative's representation that the investment objective was speculation. Pace was copied on email correspondence from the other customer in which that customer questioned the representative's trading. Pace failed to follow up with the customer or the representative regarding the issues raised in the emails.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/03/2019
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
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?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Any principal capacity
Duration:	60 days
Start Date:	01/06/2020
End Date:	03/05/2020

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	06/01/2020
Was any portion of penalty waived?	No

Amount Waived:



Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	12/03/2019
Docket/Case Number:	2017052475702
Employing firm when activity occurred which led to the regulatory action:	WINDSOR STREET CAPITAL, LP
Product Type:	No Product
Allegations:	<p>Without admitting or denying the findings, Pace consented to the sanctions and to the entry of findings that he failed to reasonably supervise a registered representative of his member firm who excessively traded two customer accounts. The findings stated that Pace was responsible for implementing the additional supervisory guidelines as detailed in the representative's heightened supervision plan (HS plan). Pace did not pre-approve all customer orders the representative submitted, and he did not otherwise follow the firm's procedures to review for excessive trading and churning. Soon after the representative became the registered representative on the accounts for the customers, both accounts began to appear on the firm's active account report over multiple months. The firm's active account report included the amount of commission, number of trades and activity levels, which indicated excessive trading. Pace also failed to follow up on other red flags. Pace was aware that one of the customers was 81 years old at account opening and although the customer's new account documentation showed an investment objective of growth and income, the account had a high level of activity. Rather than investigate the suitability of the transactions or confirm with the customer, Pace relied on the representative's representation that the investment objective was speculation. Pace was copied on email correspondence from the other customer in which that customer questioned the representative's trading. Pace failed to follow up with the customer or the representative regarding the issues raised in the emails.</p>
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/03/2019
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY PRINCIPAL CAPACITY
Duration:	60 DAYS
Start Date:	01/06/2020
End Date:	03/05/2020
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	06/01/2020
Was any portion of penalty waived?	No
Amount Waived:	



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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	VFINANCE, INC & GLOBAL ARENA CAPITAL CORP
Allegations:	CHURNING,UNSUITABILITY,BREACH OF FIDUCIARY DUTY,COMMON LAW FRAUD,BREACH OF CONTRACT.
Product Type:	Equity-OTC
Alleged Damages:	\$400,000.00
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
Docket/Case #:	13-01774
Filing date of arbitration/CFTC reparation or civil litigation:	06/06/2013

Customer Complaint Information

Date Complaint Received:	06/24/2013
Complaint Pending?	No
Status:	Settled
Status Date:	05/06/2014
Settlement Amount:	\$60,000.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	VFINANCE AAND GLOBE ARENA CAPITAL CORP
Allegations:	CHURNING, UNSUITABILITY, BREACH OF FIDUCIARY DUTY, COMMON LAW FRAUD, BREACH OF CONTRACT
Product Type:	Equity-OTC
Alleged Damages:	\$400,000.00
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
Docket/Case #:	13-01774
Filing date of arbitration/CFTC reparation or civil litigation:	06/05/2013

Customer Complaint Information

Date Complaint Received:	06/24/2013
Complaint Pending?	No
Status:	Settled
Status Date:	09/24/2014
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$5,000.00

Disclosure 2 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	FAS WEALTH MANAGEMENT SERVICES, INC.
Allegations:	NEGLIGENCE, FAILURE TO EXECUTE, BREACH OF FIDUCIARY DUTY, AND



BREACH OF CONTRACT

Product Type: Equity Listed (Common & Preferred Stock)**Alleged Damages:** \$71,008.00**Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #05-03390**Date Notice/Process Served:** 06/28/2005**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 03/09/2006**Disposition Detail:** ON MARCH 1, 2006, NASD RECEIVED VERBAL NOTICE FROM CLAIMANT'S REPRESENTATIVE THAT CLAIMANT HAD REACHED A SETTLEMENT WITH RESPONDENT PACE.**Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** FAS WEALTH MANAGEMENT**Allegations:** CLIENT ALLEGES FAILURE TO EXECUTE**Product Type:** Equity Listed (Common & Preferred Stock)**Alleged Damages:** \$71,008.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?****Status:** Arbitration/Reparation**Status Date:****Settlement Amount:****Individual Contribution Amount:****Arbitration Information**



Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DISPUTE RESOLUTION ARB. NO. 05-03390
Date Notice/Process Served:	07/07/2005
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/09/2006
Monetary Compensation Amount:	\$8,500.00
Individual Contribution Amount:	\$8,500.00

Disclosure 3 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	BILTMORE SECURITIES, INC.
Allegations:	EXECUTIONS-FAILURE TO EXECUTE; MISREPRESENTATION; CHURNING
Product Type:	
Alleged Damages:	\$35,906.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #97-04604
Date Notice/Process Served:	11/03/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/07/1998
Disposition Detail:	CASE IS CLOSED, SETTLED ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF



REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BILTMORE SECURITIES, INC.

Allegations: ALLEGED VIOLATIONS OF THE SECURITIES EXCHANGE ACT OF 1934 AND THE NASD RULES ON CONDUCT AMOUNTING TO \$35,906.

Product Type:

Alleged Damages: \$35,906.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 97-04604

Date Notice/Process Served: 11/03/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/07/1998

Monetary Compensation Amount: \$12,500.00

Individual Contribution Amount: \$0.00

Broker Statement THIS CASE WAS SETTLED IN ALL ASPECTS BETWEEN THE



ACCOUNT EXECUTIVE AND THE CLIENT WITHOUT ANY ADMISSION OF
WRONGDOING FOR \$12,500 THE ACCOUNT EXECUTIVE DID NOT
CONTRIBUTE
TOWARDS THE SETTLEMENT.
Not Provided

Disclosure 4 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: BILTMORE SECURITIES, INC.

Allegations: OMISSION OF FACTS; SUITABILITY; BRCH OF FIDUCIARY DT; CHURNING

Product Type:

Alleged Damages: \$5,000,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-00603

Date Notice/Process Served: 05/06/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/02/1998

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
** SETTLED THRU MEDIATION **

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BILTMORE SECURITIES, INC.

Allegations: ALLEGED VIOLATIONS OF THE SECURITIES EXCHANGE ACT OF 1934 AND NASD RULES OF CONDUCT AND VARIOUS SECTIONS OF THE FLORIDA AND OKLAHOMA SECURITIES, DAMAGES AMOUNTING APPROXIMATELY \$320,000.00.

**Product Type:****Alleged Damages:** \$5,000,000.00**Customer Complaint Information****Date Complaint Received:** 05/06/1997**Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 02/02/1998**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 97-00603**Date Notice/Process Served:** 05/06/1997**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 02/02/1998**Monetary Compensation Amount:** \$190,000.00**Individual Contribution Amount:** \$0.00**Broker Statement**

THE ABOVE AMTTER HAS BEEN SETTLED IN ALL
 REPSECTS WITHOUT ANY ADMISSION OF LIABILITY OR WRONGDOING FOR
 \$190,000.00. RESPONDENT DID NOT CONTRIBUTE TOWARD THE
 SETTLEMENT.
 RESPONDENT DENIES ANY WRONGDOING.



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 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC

Allegations: EXCESSIVE TRADING AND UNSUITABLE INVESTMENTS

Product Type: Other

Alleged Damages: \$48,176.03

Customer Complaint Information

Date Complaint Received: 03/24/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/06/2009

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FAS WEALTH MANAGEMENT SERVICES, INC

Allegations: MISREPRESENTATION, LOSSES

Product Type: Equity - OTC

Alleged Damages: \$60,207.00

Customer Complaint Information

Date Complaint Received: 02/03/2000



Complaint Pending?	No
Status:	Closed/No Action
Status Date:	10/01/2000
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE NASD CLOSED THEIR FILE WITH REGARDS TO THE COMPLAINT AND ISSUED A NO ACTION LETTER.



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: Firm

Employer Name: GLOBAL ARENA CAPITAL

Termination Type: Voluntary Resignation

Termination Date: 03/23/2015

Allegations: MR. PACE ALLOWED CLIENT INFORMATION TO BE TAKEN FROM THE OFFICE BY A FORMER REP. AFTER DISCOVERED BY MANAGEMENT MR. PACE RETRIEVED THE INFORMATION FROM THE EX-BROKER AND RETURNED TO THE FIRM.

Product Type: Other: ACCOUNT INFORMATION

Firm Statement AFTER COMPLETING THE INVESTIGATION I HAVE FOUND NO EVIDENCE THAT HE INFACAT GAVE ANY SENSITIVE INFORMATION TO MR. JONES. ALL SEEMS TO HAVE BEEN OF A PERSONAL NATURE

Reporting Source: Broker

Employer Name: GLOBAL ARENA

Termination Type: Voluntary Resignation

Termination Date: 03/23/2015

Allegations: ALLEGATION(S):
MR. PACE ALLOWED CLIENT INFORMATION TO BE TAKEN FROM THE OFFICE BY A FORMER REP. AFTER DISCOVERED BY MANAGEMENT MR. PACE RETRIEVED THE INFORMATION FROM THE EX-BROKER AND RETURNED TO THE FIRM.

Product Type: Other: ACCOUNT INFORMATION

Broker Statement MR PACE VEHEMENTLY DENIES ALL OF THE ALLIGATIONS AND LOOKS FORWARD TO BEING PROVEN INNOCENT OF ALL CHARGES

**Financial - Final**

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Broker

Action Type: Compromise

Action Date: 12/09/2016

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 12/09/2016

If a compromise with creditor, provide:

Name of Creditor: WELLS FARGO BAK

Original Amount Owed: \$100,000.00

Terms Reached with Creditor: THE COMPROMISE WAS FOR \$50K.

End of Report



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