

BrokerCheck Report

DARIAN ERIC KELTY

CRD# 2504153

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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.



DARIAN E. KELTY
CRD# 2504153

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

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

Registration History

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

- B** GRUNTAL & CO. INCORPORATED
CRD# 372
NEW YORK, NY
04/1995 - 03/1997
- B** PCM SECURITIES LIMITED, L.P.
CRD# 28761
GREEN ACRES, FL
08/1994 - 03/1995

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	07/05/1994

State Securities Law Exams

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

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/1995 - 03/1997	GRUNTAL & CO. INCORPORATED	372	NEW YORK, NY
B 08/1994 - 03/1995	PCM SECURITIES LIMITED, L.P.	28761	GREEN ACRES, 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
Unknown - Present	SOUTH BROWARD (SCHOOL)	STUDENT - Student	N	HLWD, FL, United States

Disclosure Events



What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Final	On Appeal
Regulatory Event	2	0



Disclosure Event Details

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NYSE DIVISION OF ENFORCEMENT.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/25/1997

Docket/Case Number: HPD# 97-112

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: **7/25/97** STIPULATION OF FACTS AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. WITHOUT ADMITTING AND DENYING GUILT, DARIAN ERIC KELTY HAS CONSENTED TO: A. A FINDING BY THE HEARING PANEL THAT DURING THE PERIOD FROM JULY 1994 THROUGH JANUARY 1997 HE: (1) ENGAGED IN FRAUD OR FRAUDULENT ACTS IN VIOLATION OF EXCHANGE RULE 476 (a) (5) IN THAT HE FRAUDULENTLY GAINED QUALIFICATION AS A REGISTERED REPRESENTATIVE BY SUBMITTING SCORES FOR HIS QUALIFICATION EXAMINATION FOR GENERAL SECURITIES REGISTERED REPRESENTATIVE (SERIES 7 EXAMINATION) AND THE UNIFORM SECURITIES AGENT STATE LAW EXAMINATION (SERIES 63 EXAMINATION) OBTAINED BY CAUSING ANOTHER INDIVIDUAL TO TAKE THE EXAMINATION AND, THEREAFTER, FRAUDULENTLY MISREPRESENTED THE RESULTS OF SUCH EXAMINATION AS HIS OWN AND ACTED AS A QUALIFIED REGISTERED REPRESENTATIVE FOR APPROXIMATELY TWO YEARS; (2) ENGAGED IN



ACTS
 DETRIMENTAL TO THE INTEREST AND WELFARE OF THE EXCHANGE IN
 THAT
 HE ENGAGED IN CRIMINAL ACTS WHICH RESULTED IN A CONVICTION OF
 ONE COUNT OF ATTEMPTED FORGERY IN THE SECOND DEGREE, A CLASS
 "E" FELONY UNDER §110/170.10 (1) OF THE NEW YORK PENAL LAW; (3)
 VIOLATED EXCHANGE RULE 477 IN THAT HE FAILED TO COMPLY WITH THE
 EXCHANGE'S WRITTEN REQUEST FOR INFORMATION AND TO APPEAR AND
 TESTIFY REGARDING MATTERS OCCURRING PRIOR TO THE TERMINATION
 OF
 HIS EMPLOYMENT WITH A MEMBER ORGANIZATION. B. THE IMPOSITION
 BY THE EXCHANGE OF THE PENALTY OF A CENSURE AND A PERMANENT
 BAR
 FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS
 AND
 FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY
 MEMBER
 OR MEMBER ORGANIZATION.

Current Status:

Final

Resolution:

Decision

Resolution Date:

10/14/1997

Sanctions Ordered:

Bar
 Censure

Other Sanctions Ordered:**Sanction Details:**

****8/28/97**** HEARING PANEL DECISION 97-112.
 ACCEPTANCE OF STIPULATION OF FACTS AND CONSENT TO PENALTY
 ENGAGED IN FRAUD OR FRAUDULENT ACTS BY SUBMITTING SCORES
 OBTAINED BY CAUSING ANOTHER INDIVIDUAL TO TAKE EXAMINATIONS,
 MISREPRESENTED THE RESULTS AS HIS OWN AND ACTED AS A QUALIFIED
 REGISTERED REPRESENTATIVE, ENGAGED IN ACTS DETRIMENTAL TO THE
 INTEREST AND WELFARE OF THE EXCHANGE IN THAT HE ENGAGED IN
 CRIMINAL ACTS WHICH RESULTED IN A CONVICTION OF ATTEMPTED
 FORGERY, A FELONY, AND VIOLATED EXCHANGE RULE 477 IN THAT HE
 FAILED TO COMPLY WITH A REQUEST FOR INFORMATION AND TO TESTIFY
 -- CONSENT TO CENSURE AND A PERMANENT BAR.

Regulator Statement

****OCTOBER 14, 1997**** THE DECISION IS NOW FINAL
 AND EFFECTIVE IMMEDIATELY. CONTACT: MS. PEGGY L. GERMINO AT
 (212) 656-8450



Reporting Source:	Firm
Regulatory Action Initiated By:	NYSE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/25/1997
Docket/Case Number:	HPD# 97-112
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	SEE #8C.
Current Status:	Final
Resolution:	Decision
Resolution Date:	10/14/1997
Sanctions Ordered:	Bar Censure
Other Sanctions Ordered:	
Sanction Details:	A HEARING PANEL FOUND THAT, BETWEEN 1994-1997, KELTY ENGAGED IN FRAUD OR FRAUDULENT ACTS TO GAIN QUALIFICATION AS A REGISTERED REPRESENTATIVE. THE PANEL ALSO FOUND THAT KELTY FAILED TO COMPLY WITH THE EXCHANGE'S WRITTEN REQUEST FOR INFORMATION AND TO APPEAR AND TESTIFY REGARDING MATTERS OCCURRING PRIOR TO THE TERMINATION OF HIS EMPLOYMENT WITH GRUNTAL. THE NYSE IMPOSED A PENALTY OF A CENSURE AND PERMANENT BAR. KELTY WAS CONSENTED TO THE PENALTY.
Firm Statement	Not Provided

Disclosure 2 of 2



Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/27/1997

Docket/Case Number: C10970104

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 06/27/1997

Sanctions Ordered: Bar
Censure
Disgorgement/Restitution
Monetary/Fine \$50,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ON JUNE 27, 1997, DISTRICT NO. 10 NOTIFIED RESPONDENT DARIAN ERIC KELTY THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C10970104 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$50,000, BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY, AND REQUIRED TO DISGORGE TO THE NASDR ALL MONIES HE EARNED IN THE SECURITIES INDUSTRY AFTER BECOMING REGISTERED AS A GENERAL SECURITIES REPRESENTATIVE, IN THE AMOUNT OF AT LEAST \$126,456.41 - (NASD RULE 2110 - RESPONDENT KELTY HAD AN IMPOSTER TAKE THE SERIES 7 AND 63 QUALIFICATION EXAMS ON HIS BEHALF).

End of Report



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