BrokerCheck Report

JON JOSEPH DEMICHIEL

CRD# 2540747

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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.
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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.

JON J. DEMICHIEL

CRD# 2540747

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

ENDEAVOR CAPITAL
30 BROAD STREET, SUITE 1419
NEW YORK, NY 10004
CRD# 118820
Registered with this firm since: 04/14/2003

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
- 13 U.S. states and territories

This broker has passed:

- 2 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):

DALTON KENT SECURITIES GROUP, INC.
CRD# 38813
NEW YORK, NY
02/1999 - 04/2001

J.P. TURNER & COMPANY, L.L.C.
CRD# 43177
ATLANTA, GA
08/1997 - 12/1998

ARGENT SECURITIES, INC.
CRD# 15297
ATLANTA, GA
10/1996 - 08/1997

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	4

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

Employment 1 of 1

Firm Name: **ENDEAVOR CAPITAL**

Main Office Address: **40 WALL STREET SUITE 2924**
NEW YORK, NY 10005

Firm CRD#: **118820**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	04/14/2003
B	FINRA	General Securities Representative	Approved	04/14/2003
B	FINRA	Investment Banking Representative	Approved	03/01/2010
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/13/2024
B	Arizona	Agent	Approved	02/12/2024
B	California	Agent	Approved	08/19/2003
B	Colorado	Agent	Approved	02/02/2024
B	Connecticut	Agent	Approved	10/22/2003
B	Florida	Agent	Approved	08/28/2003
B	Georgia	Agent	Approved	02/01/2024
B	Illinois	Agent	Approved	04/21/2005

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	01/22/2024
B	Nevada	Agent	Approved	01/23/2024
B	New Jersey	Agent	Approved	09/21/2007
B	New York	Agent	Approved	07/18/2003
B	Washington	Agent	Approved	01/17/2024

Branch Office Locations

ENDEAVOR CAPITAL
40 WALL STREET SUITE 2924
NEW YORK, NY 10005

ENDEAVOR CAPITAL
30 BROAD STREET, SUITE 1419
NEW YORK, NY 10004

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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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Principal Examination	Series 24	01/02/2023
B	Compliance Officer Examination	Series 14	01/02/2023

General Industry/Product Exams

Exam		Category	Date
B	Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	03/10/1995

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	03/24/1995

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 02/1999 - 04/2001	DALTON KENT SECURITIES GROUP, INC.	38813	NEW YORK, NY
B 08/1997 - 12/1998	J.P. TURNER & COMPANY, L.L.C.	43177	ATLANTA, GA
B 10/1996 - 08/1997	ARGENT SECURITIES, INC.	15297	ATLANTA, GA
B 09/1995 - 10/1996	DUKE & CO., INC.	8035	NEW YORK, NY
B 08/1995 - 09/1995	A. R. BARON & CO., INC.	29285	NEW YORK, NY
B 03/1995 - 08/1995	MONROE PARKER SECURITIES, INC.	31204	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
04/2003 - Present	BLUE BAY CAPITAL, LTD.	REGISTERED REPRESENTATIVE	Y	BELLEVUE, WA, 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.

ENDEAVOR HOLDINGS INC. THIS IS THE PARENT COMPANY TO ENDEAVOR CAPITAL. SINCE IT OPENED IN 2004, IT HAS ENGAGED IN CONSULTING AND ADVISORY SERVICES FOR REAL ESTATE, BAR AND RESTAURANT DEVELOPMENT, AND CONSTRUCTION PROJECTS. I AM THE PRESIDENT OF THE COMPANY. IT SHARES THE SAME SPACE WITH THE FIRM.

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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.
   -
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	4	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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:	ARKANSAS SECURITIES DEPARTMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/13/1998
Docket/Case Number:	98-45-S
Employing firm when activity occurred which led to the regulatory action:	J.P. TURNER & COMPANY, L.L.C.
Product Type:	
Other Product Type(s):	
Allegations:	SALE OF SECURITIES BY AN UNREGISTERED BROKER-DEALER AND ITS AGENTS, SALE OF UNREGISTERED SECURITIES, MISREPRESENTATIONS OF FACTS
Current Status:	Final
Resolution:	Dismissed
Resolution Date:	02/24/1999

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Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	DISMISSED AS RESPONDENT TO ORDER.
Regulator Statement	IN ORDER NO. 98-45-S, ENTERED ON AUGUST 13, JON DE MICHIEL WAS FOUND LIABLE FOR TRANSACTING BUSINESS AS AN AGENT OF A BROKER-DEALER WITHOUT BEING REGISTERED. IT HAS SINCE BEEN DETERMINED THAT THE RECORDS UPON WHICH THE FINDINGS WERE MADE DO NOT SUPPORT THE FINDINGS. CONTACT: TED HOLDER / 501-324-8678

Reporting Source:	Broker
Regulatory Action Initiated By:	ARKANSAS SECURITIES DEPARTMENT
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	08/13/1998
Docket/Case Number:	98-45-S
Employing firm when activity occurred which led to the regulatory action:	J.P. TURNER & COMPANY, L.L.C.
Product Type:	No Product
Other Product Type(s):	
Allegations:	THAT I SOLD SECURITIES TO RESIDENTS OF ARKANSAS WITHOUT BEING REGISTERED AS AN AGENT IN THE STAFF
Current Status:	Final
Resolution:	Dismissed
Resolution Date:	02/24/1999
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	CEASE AND DESIST ORDERED ENTERED. CEASE AND DESIST WAS REOPENED AND AMENDEMENT TO TAKE OUT JON

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DEMICHAEL'S
NAME. EVENT IS NO LONG REG. U-5 DISCLOSURE

Broker Statement

STATE WITHDREW ORDER AGAINST ME AS I HAD NOT SOLICITED ANY CLIENTS IN THE STATE.

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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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER
Allegations:	ALEGGED UNSUITABILITY, EXCESSIVE TRADING, AND IMPROPER TRADING.
Product Type:	Equity - OTC
Alleged Damages:	$40,787.50

Customer Complaint Information

Date Complaint Received:	08/01/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/01/2000
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE # 00-02432
Date Notice/Process Served:	08/01/2000
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/15/2001
Monetary Compensation Amount:	$14,000.00
Individual Contribution Amount:	

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Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY, LLC
Allegations:	ALLEGES FAILURE TO DISCLOSE THE RISK OF SECURITIES INVESTED IN, FAILURE TO DETERMINE THE INVESTMENT UNDERSTANDING OR OBJECTIVES OF CLAIMANT AND BREACH OF FIDUCIARY DUTY. CLIENT PURCHASED TWO STOCKS IN 1998 WHICH DECREASED IN VALUE.
Product Type:	Equity - OTC
Alleged Damages:	$40,787.50

Customer Complaint Information

Date Complaint Received:	08/07/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/07/2000
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION NUMBER 00-02432
Date Notice/Process Served:	08/07/2000
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/15/2001
Monetary Compensation Amount:	$14,000.00
Individual Contribution Amount:	$0.00
Broker Statement	FIRM SETTLED MATTER RATHER THAN A PROTRACTED LITIGATION.

Disclosure 2 of 2

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER
Allegations:	ALLEGED MISLEADING SALES PRACTICES IN COMMON STOCKS. ACTUAL DAMAGES $37,500.
Product Type:	
Alleged Damages:	$37,500.00

Customer Complaint Information

Date Complaint Received:	04/13/1998
Complaint Pending?	No
Status:	Settled
Status Date:	06/25/1998
Settlement Amount:	$27,353.78
Individual Contribution Amount:	
Firm Statement	SETTLEMENT MADE WITH CUSTOMER FOR $27,353.78. Not Provided

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER
Allegations:	ALLEGED MISLEADING SALES PRACTICE IN COMMON STOCK CLAIMED DAMAGES OF $37,500; THIS OCCURED @ JP TURNER
Product Type:	Equity - OTC
Alleged Damages:	$37,500.00

Customer Complaint Information

Date Complaint Received:	04/13/1998
Complaint Pending?	No
Status:	Settled

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Status Date:	06/25/1998
Settlement Amount:	$27,353.78
Individual Contribution Amount:	$27,353.78
Broker Statement	SETTLEMENT OF $27,353.78; CLAIMED DAMAGES $37,500 NOT PROVIDED

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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:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	MISREPRESENTATION. DAMAGES OF $85,170.
Product Type:	No Product
Alleged Damages:	$85,170.00
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:	03/31/1999
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/04/1999
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	CLOSED NO ACTION ON 08/04/1999.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER
Allegations:	CLAIMED MISREPRESENTATION.

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Product Type: Equity - OTC

Alleged Damages: $85,170.00

Customer Complaint Information

Date Complaint Received: 03/31/1999

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm

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

Allegations: UNAUTHORIZED TRADES IN COMMON STOCK ALLEGED DAMAGES OF APPROX. $29,000.00.

Product Type:

Alleged Damages: $29,000.00

Customer Complaint Information

Date Complaint Received: 09/17/1998

Complaint Pending? No

Status: Withdrawn

Status Date: 02/12/1999

Settlement Amount:

Individual Contribution Amount:

Firm Statement CUSTOMER SENT LETTER RESCINDING PRIOR COMPLAINT. NOT PROVIDED

Reporting Source: Broker

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Employing firm when activities occurred which led to the complaint:	J.P. TURNER
Allegations:	ALLEGING UNAUTHORIZED TRADES DAMAGES OF $29,000. THIS OCCURED AT JP TURNER.
Product Type:	
Alleged Damages:	$29,000.00

Customer Complaint Information

Date Complaint Received:	09/17/1998
Complaint Pending?	No
Status:	Withdrawn
Status Date:	02/12/1999
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CUSTOMER SENT A RESEND LETTER TO DROP THE COMPLAINT NOT PROVIDED

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End of Report

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