

## BrokerCheck Report

**GARY D COHN**

CRD# 2575068

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**GARY D. COHN**

CRD# 2575068

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:

- 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** **GOLDMAN SACHS & CO. LLC**  
CRD# 361  
NEW YORK, NY  
01/2019 - 12/2019
- B** **GOLDMAN, SACHS & CO.**  
CRD# 361  
NEW YORK, NY  
02/1995 - 01/2017

### 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
Civil Event	7

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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	03/18/1995

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	01/30/2017
<b>B</b> General Securities Representative Examination	Series 7	01/21/1995

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	05/20/2005

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

## Broker Qualifications



## Professional Designations

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

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 01/2019 - 12/2019	GOLDMAN SACHS & CO. LLC	361	NEW YORK, NY
<b>B</b> 02/1995 - 01/2017	GOLDMAN, SACHS & CO.	361	NEW YORK, NY

### Employment History

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

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

Employment	Employer Name	Position	Investment Related	Employer Location
12/2018 - Present	Goldman Sachs & Co LLC	Advisor	Y	New York, NY, United States
05/2018 - 12/2018	unemployed	n/a	N	New York, NY, United States
01/2017 - 04/2018	US Government	National Economic Council Director	N	Washington, DC, United States
01/2003 - 01/2017	GOLDMAN SACHS GROUP, INC	MANAGING DIRECTOR	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.

(1) Board Member for Machine Zone, a private gaming platform. Organization is not primarily engaged in investment-related activity. Organization operates out of Palo Alto, CA. Start date was January 3, 2019. Less than four hours per month. Duties include serving on the board of the organization.

(2) Visiting Fellow at the Harvard Kennedy School Institute of Politics, an educational institution. Organization is not primarily engaged in investment-related activity. Organization operates out of Cambridge, MA. Start date was February 4, 2019. Less than six hours per week. Duties include leading weekly classes.

(3) Board Member for Abryx, a private medical device manufacturer. Organization is not primarily engaged in investment-related activity. Organization operates out of Rye, NY. Start date was November 1, 2018. Less than two hours per month. Duties include serving on the board of



## Registration and Employment History

### Other Business Activities, continued

the organization.

(4) Board Member for Indigo, a private medical device patenting organization. Organization is not primarily engaged in investment-related activity. Organization operates out of Cleveland, OH. Start date was September 1, 2018. Less than twelve hours per month. Duties include serving on the board of the organization.

(5) Board Member for Splash LLC, a private consumer products organization. Organization is not primarily engaged in investment-related activity. Organization operates out of Sag Harbor, NY. Start date was November 1, 2018. Less than one hour per month. Duties include serving on the board of the organization.

(6) Advisory Director for Spring Labs, a private software company. Organization is not primarily engaged in investment-related activity. Organization operates out of Marina del Rey, CA. Start date was October 1, 2018. Less than one hour per month. Duties include serving as an advisory director of the organization.

(7) Advisory Director for Palace Advisors, a private consulting organization. Organization is not primarily engaged in investment-related activity. Organization operates out of Washington, D.C. Start date was December 1, 2018. Less than three hours per month. Duties include serving as an advisory director of the organization.

(8) Speaker for the Harry Walker Agency, Inc., a private lecture series organization. Organization is not primarily engaged in investment-related activity. Organization operates out of New York, NY. Start date was December 1, 2018. Less than six hours per month. Duties include speaking at various lecture series events.

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## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

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

	Pending	Final	On Appeal
Civil Event	7	0	0



## 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.

### Civil - Pending

This type of disclosure event involves a pending civil court action that seeks an injunction in connection with any investment-related activity or alleges a violation of any investment-related statute or regulation.

#### Disclosure 1 of 7

<b>Reporting Source:</b>	Broker
<b>Initiated By:</b>	Sjunde Ap-Fonden
<b>Relief Sought:</b>	Other: Monetary damages, costs, and attorneys' fees
<b>Date Court Action Filed:</b>	10/28/2019
<b>Date Notice/Process Served:</b>	10/28/2019
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	United States District Court-Southern District of New York
<b>Location of Court:</b>	New York, New York
<b>Docket/Case #:</b>	1:18-cv-12084
<b>Employing firm when activity occurred which led to the action:</b>	The Goldman Sachs Group, Inc. (through 1/23/2017); Goldman Sachs and Co. LLC (as of 12/19/2018)
<b>Allegations:</b>	On October 28, 2019, Plaintiff filed a second amended putative securities law class action complaint in the United States District Court for the Southern District of New York seeking to represent a class consisting of all purchasers of The Goldman Sachs Group, Inc. common stock between February 28, 2014 and December 20, 2018. The complaint alleges violations of Sections 10(b) and 20(a) of the Securities Exchange Act of 1934 stemming from the alleged inadequacy of the firm's public disclosures related to matters concerning 1Malaysia Development Berhad.



**Current Status:** Pending

**Limitations or Restrictions in Effect During Appeal:** None

#### Disclosure 2 of 7

**Reporting Source:** Broker

**Initiated By:** LOUIS GOLD

**Relief Sought:** Other: MONETARY DAMAGES, EQUITABLE RELIEF, COSTS AND ATTORNEYS' FEES

**Date Court Action Filed:** 06/18/2010

**Product Type:** No Product

**Type of Court:** Federal Court

**Name of Court:** UNITED STATES DISTRICT COURT - SOUTHERN DISTRICT OF NEW YORK

**Location of Court:** NEW YORK, NEW YORK

**Docket/Case #:** 10-CV-4786

**Employing firm when activity occurred which led to the action:** GOLDMAN, SACHS & CO.

**Allegations:** ON JUNE 18, 2010, PLAINTIFF FILED A PUTATIVE SECURITIES LAW CLASS ACTION IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, SEEKING TO REPRESENT A CLASS CONSISTING OF ALL PURCHASERS OF GOLDMAN SACHS GROUP, INC. COMMON STOCK BETWEEN DECEMBER 14, 2006 AND JUNE 9, 2010. THE COMPLAINT ALLEGES VIOLATIONS OF SECTIONS 10(B) AND 20(A) OF THE SECURITIES EXCHANGE ACT OF 1934, STEMMING FROM THE ALLEGED INADEQUACY OF THE FIRM'S PUBLIC DISCLOSURES RELATED TO VARIOUS ACTIVITIES IN THE CDO MARKET AND AN SEC INVESTIGATION THAT LED TO A SEC CIVIL ACTION INITIATED ON APRIL 16, 2010.

**Current Status:** Pending

**Limitations or Restrictions in Effect During Appeal:** NONE

#### Disclosure 3 of 7

**Reporting Source:** Broker



**Initiated By:** THOMAS DRAFT

**Relief Sought:** Other: MONETARY DAMAGES, EQUITABLE RELIEF, COSTS AND ATTORNEYS' FEES

**Date Court Action Filed:** 06/21/2010

**Product Type:** No Product

**Type of Court:** Federal Court

**Name of Court:** UNITED STATES DISTRICT COURT - SOUTHERN DISTRICT OF NEW YORK

**Location of Court:** NEW YORK, NEW YORK

**Docket/Case #:** 10-CV-4812

**Employing firm when activity occurred which led to the action:** GOLDMAN, SACHS & CO.

**Allegations:** ON JUNE 21, 2010, PLAINTIFF FILED A PUTATIVE SECURITIES LAW CLASS ACTION IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, SEEKING TO REPRESENT A CLASS CONSISTING OF ALL PURCHASERS OF GOLDMAN SACHS GROUP, INC. COMMON STOCK BETWEEN FEBRUARY 6, 2007 AND APRIL 30, 2010. THE COMPLAINT ALLEGES VIOLATIONS OF SECTIONS 10(B) AND 20(A) OF THE SECURITIES EXCHANGE ACT OF 1934, STEMMING FROM THE ALLEGED INADEQUACY OF THE FIRM'S PUBLIC DISCLOSURES RELATED TO VARIOUS ACTIVITIES IN THE CDO MARKET AND THE SEC INVESTIGATION THAT LED TO A SEC CIVIL ACTION INITIATED ON APRIL 16, 2010.

**Current Status:** Pending

**Limitations or Restrictions in Effect During Appeal:** NONE

#### Disclosure 4 of 7

**Reporting Source:** Broker

**Initiated By:** ILENE RICHMAN

**Relief Sought:** Other: MONETARY DAMAGES, EQUITABLE RELIEF, COSTS AND ATTORNEYS' FEES

**Date Court Action Filed:** 04/26/2010

**Date Notice/Process Served:** 04/26/2010



**Product Type:** No Product

**Type of Court:** Federal Court

**Name of Court:** UNITED STATES DISTRICT COURT - SOUTHERN DISTRICT OF NEW YORK

**Location of Court:** NEW YORK, NEW YORK

**Docket/Case #:** 10-CV-3461

**Employing firm when activity occurred which led to the action:** GOLDMAN, SACHS & CO.

**Allegations:** ON APRIL 26, 2010, PLAINTIFF FILED A PUTATIVE SECURITIES LAW CLASS ACTION IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, SEEKING TO REPRESENT A CLASS CONSISTING OF ALL PURCHASERS OF GOLDMAN SACHS GROUP, INC. COMMON STOCK BETWEEN OCTOBER 15, 2009 AND APRIL 16, 2010. THE COMPLAINT ALLEGES VIOLATIONS OF SECTIONS 10(B) AND 20(A) OF THE SECURITIES EXCHANGE ACT OF 1934, STEMMING FROM THE ALLEGED INADEQUACY OF THE FIRM'S PUBLIC DISCLOSURES RELATED TO VARIOUS ACTIVITIES IN THE CDO MARKET AND THE SEC INVESTIGATION THAT LED TO A SEC CIVIL ACTION INITIATED ON APRIL 16, 2010.

**Current Status:** Pending

**Limitations or Restrictions in Effect During Appeal:** NONE

#### Disclosure 5 of 7

**Reporting Source:** Broker

**Initiated By:** HOWARD SORKIN

**Relief Sought:** Other: MONETARY DAMAGES, EQUITABLE RELIEF, COSTS AND ATTORNEYS' FEES

**Date Court Action Filed:** 04/26/2010

**Date Notice/Process Served:** 04/26/2010

**Product Type:** No Product

**Type of Court:** Federal Court

**Name of Court:** UNITED STATES DISTRICT COURT - SOUTHERN DISTRICT OF NEW YORK

**Location of Court:** NEW YORK, NEW YORK



**Docket/Case #:** 10-CV-03493

**Employing firm when activity occurred which led to the action:** GOLDMAN, SACHS & CO.

**Allegations:** ON APRIL 26, 2010, PLAINTIFF FILED A PUTATIVE SECURITIES LAW CLASS ACTION IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, SEEKING TO REPRESENT A CLASS CONSISTING OF ALL PURCHASERS OF GOLDMAN SACHS GROUP, INC. COMMON STOCK BETWEEN OCTOBER 15, 2009 AND APRIL 16, 2010. THE COMPLAINT ALLEGES VIOLATIONS OF SECTIONS 10(B) AND 20(A) OF THE SECURITIES EXCHANGE ACT OF 1934, STEMMING FROM THE ALLEGED INADEQUACY OF THE FIRM'S PUBLIC DISCLOSURES RELATED TO VARIOUS ACTIVITIES IN THE CDO MARKET AND THE SEC INVESTIGATION THAT LED TO A SEC CIVIL ACTION INITIATED ON APRIL 16, 2010.

**Current Status:** Pending

**Limitations or Restrictions in Effect During Appeal:** NONE

#### Disclosure 6 of 7

**Reporting Source:** Broker

**Initiated By:** EHSAN AFSHANI

**Relief Sought:** Other: MONETARY DAMAGES, EQUITABLE RELIEF, COSTS AND ATTORNEYS' FEES

**Date Court Action Filed:** 04/30/2010

**Date Notice/Process Served:** 04/30/2010

**Product Type:** No Product

**Type of Court:** Federal Court

**Name of Court:** UNITED STATES DISTRICT COURT - SOUTHERN DISTRICT OF NEW YORK

**Location of Court:** NEW YORK, NEW YORK

**Docket/Case #:** 10-CV-3616

**Employing firm when activity occurred which led to the action:** GOLDMAN, SACHS & CO.

**Allegations:** ON APRIL 30, 2010, PLAINTIFF FILED A PUTATIVE SECURITIES LAW CLASS



ACTION IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, SEEKING TO REPRESENT A CLASS CONSISTING OF ALL PURCHASERS OF GOLDMAN SACHS GROUP, INC. COMMON STOCK BETWEEN JANUARY 2, 2007 AND APRIL 16, 2010. THE COMPLAINT ALLEGES VIOLATIONS OF SECTIONS 10(B) AND 20(A) OF THE SECURITIES EXCHANGE ACT OF 1934, STEMMING FROM THE ALLEGED INADEQUACY OF THE FIRM'S PUBLIC DISCLOSURES RELATED TO VARIOUS ACTIVITIES IN THE CDO MARKET AND THE SEC INVESTIGATION THAT LED TO A SEC CIVIL ACTION INITIATED ON APRIL 16, 2010.

**Current Status:** Pending

**Limitations or Restrictions in Effect During Appeal:** NONE

#### Disclosure 7 of 7

**Reporting Source:** Broker

**Initiated By:** TIKVA BOCHNER

**Relief Sought:** Other: MONETARY DAMAGES, EQUITABLE RELIEF, COSTS AND ATTORNEYS' FEES

**Date Court Action Filed:** 04/30/2010

**Date Notice/Process Served:** 04/30/2010

**Product Type:** No Product

**Type of Court:** Federal Court

**Name of Court:** UNITED STATES DISTRICT COURT - SOUTHERN DISTRICT OF NEW YORK

**Location of Court:** NEW YORK, NEW YORK

**Docket/Case #:** 10-CV-3595

**Employing firm when activity occurred which led to the action:** GOLDMAN, SACHS & CO.

**Allegations:** ON APRIL 30, 2010, PLAINTIFF FILED A PUTATIVE SECURITIES LAW CLASS ACTION IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, SEEKING TO REPRESENT A CLASS CONSISTING OF INVESTORS WHO TRANSACTED IN CALL OR PUT OPTIONS ON GOLDMAN SACHS GROUP, INC. COMMON STOCK EXPIRING ON APRIL 16, 2010 OR AFTER OR WHO ACQUIRED AND HELD SUCH STOCK PURSUANT TO THE EXERCISE OF SUCH OPTIONS AS OF APRIL 16, 2010. THE



COMPLAINT ALLEGES VIOLATIONS OF SECTIONS 10(B) AND 20(A) OF THE SECURITIES EXCHANGE ACT OF 1934, STEMMING FROM THE ALLEGED INADEQUACY OF THE FIRM'S PUBLIC DISCLOSURES RELATED TO VARIOUS ACTIVITIES IN THE CDO MARKET AND THE SEC INVESTIGATION THAT LED TO A SEC CIVIL ACTION INITIATED ON APRIL 16, 2010.

**Current Status:** Pending

**Limitations or Restrictions in Effect During Appeal:** NONE



## End of Report



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