

## BrokerCheck Report

# GREGG ALLAN POLLACK

CRD# 2653630

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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](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)

**GREGG A. POLLACK**

CRD# 2653630

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

- B LAMPOST CAPITAL, L.C.**  
1900 Glades Road  
Suite 205  
BOCA RATON, FL 33431  
CRD# 43706  
Registered with this firm since: 10/31/2001

**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:**

- 5 Self-Regulatory Organizations
- 1 U.S. state or territory

**This broker has passed:**

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

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

- B STERLING FINANCIAL INVESTMENT GROUP, INC.**  
CRD# 41506  
BOCA RATON, FL  
08/2001 - 11/2001
- B FIRST UNION SECURITIES FINANCIAL NETWORK, INC.**  
CRD# 11025  
ST. LOUIS, MO  
01/2001 - 07/2001
- B JWGENESIS SECURITIES, INC.**  
CRD# 33832  
BOCA RATON, FL  
06/1999 - 01/2001

**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



## 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 5 SROs and is licensed in 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

Firm Name: **LAMPOST CAPITAL, L.C.**

Main Office Address: **1900 GLADES ROAD  
SUITE 205  
BOCA RATON, FL 33431**

Firm CRD#: **43706**

SRO	Category	Status	Date
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	01/19/2021
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	01/19/2021
B Cboe EDGX Exchange, Inc.	Securities Trader	Approved	01/19/2021
B Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	01/19/2021
B Cboe EDGX Exchange, Inc.	Compliance Official	Approved	12/12/2023
B Cboe EDGX Exchange, Inc.	Securities Trader Compliance Officer	Approved	12/12/2023
B FINRA	General Securities Representative	Approved	10/31/2001
B FINRA	General Securities Principal	Approved	12/14/2001
B FINRA	Investment Banking Representative	Approved	04/27/2010
B FINRA	Operations Professional	Approved	12/14/2011
B FINRA	Securities Trader	Approved	01/04/2016
B FINRA	Securities Trader Principal	Approved	01/21/2016
B FINRA	Compliance Officer	Approved	10/01/2018
B FINRA	Investment Banking Principal	Approved	10/01/2018
B MEMX LLC	General Securities Principal	Approved	03/15/2021



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
B MEMX LLC	General Securities Representative	Approved	03/15/2021
B MEMX LLC	Securities Trader	Approved	03/15/2021
B MEMX LLC	Securities Trader Principal	Approved	03/15/2021
B MEMX LLC	Compliance Official	Approved	12/12/2023
B MEMX LLC	Securities Trader Compliance Officer	Approved	12/12/2023
B MIAX PEARL, LLC	Compliance Official	Approved	12/12/2023
B MIAX PEARL, LLC	General Securities Principal	Approved	12/12/2023
B MIAX PEARL, LLC	General Securities Representative	Approved	12/12/2023
B MIAX PEARL, LLC	Securities Trader	Approved	12/12/2023
B MIAX PEARL, LLC	Securities Trader Compliance Officer	Approved	12/12/2023
B MIAX PEARL, LLC	Securities Trader Principal	Approved	12/12/2023
B Nasdaq Stock Market	General Securities Principal	Approved	12/03/2019
B Nasdaq Stock Market	General Securities Representative	Approved	12/03/2019
B Nasdaq Stock Market	Securities Trader	Approved	12/03/2019
B Nasdaq Stock Market	Securities Trader Principal	Approved	12/03/2019
B Nasdaq Stock Market	Compliance Official	Approved	12/12/2023
B Nasdaq Stock Market	Securities Trader Compliance Officer	Approved	12/12/2023

U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	10/31/2001

### Branch Office Locations

## Broker Qualifications



### Employment 1 of 1, continued

**LAMPOST CAPITAL, L.C.**

1900 GLADES ROAD  
SUITE 205  
BOCA RATON, FL 33431

**LAMPOST CAPITAL, L.C.**

1900 Glades Road  
Suite 205  
BOCA RATON, FL 33431

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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, 6 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Compliance Officer Examination	Series 14	01/02/2023
<b>B</b> General Securities Principal Examination	Series 24	12/13/2001

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Trader Exam	Series 57TO	01/02/2023
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Limited Representative-Equity Trader Exam	Series 55	09/28/1999
<b>B</b> General Securities Representative Examination	Series 7	09/01/1995

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/11/1995

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/](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> 08/2001 - 11/2001	STERLING FINANCIAL INVESTMENT GROUP, INC.	41506	BOCA RATON, FL
<b>B</b> 01/2001 - 07/2001	FIRST UNION SECURITIES FINANCIAL NETWORK, INC.	11025	ST. LOUIS, MO
<b>B</b> 06/1999 - 01/2001	JWGENESIS SECURITIES, INC.	33832	BOCA RATON, FL
<b>B</b> 05/1998 - 06/1999	JW GENESIS CLEARING CORP.	6631	BOCA RATON, FL
<b>B</b> 09/1997 - 05/1998	DLJDIRECT INC.	42159	JERSEY CITY, NJ
<b>B</b> 09/1995 - 08/1997	LEW LIEBERBAUM & CO., INC.	17341	GARDEN CITY, 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
10/2001 - Present	LAMPOST CAPITAL, L.C.	VICE PRESIDENT	Y	BOCA RATON, FL, 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.

No information reported.



## 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
Regulatory Event	0	1	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.

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	01/16/2013
<b>Docket/Case Number:</b>	2008011702301
<b>Employing firm when activity occurred which led to the regulatory action:</b>	LAMPOST CAPITAL, L.C.
<b>Product Type:</b>	Penny Stock
<b>Allegations:</b>	NASD RULES 2110, 3011(A) - A MEMBER FIRM, ACTING THROUGH POLLACK, ITS CHIEF COMPLIANCE OFFICER (CCO), FAILED TO ADEQUATELY IMPLEMENT ITS ANTI-MONEY LAUNDERING (AML) PROGRAM SO THAT IT DID NOT IDENTIFY SUSPICIOUS TRADING THAT OCCURRED IN TWO ACCOUNTS. THE FIRM'S AML PROGRAM REQUIRED POLLACK TO MONITOR FOR POTENTIALLY SUSPICIOUS ACTIVITY AND AML RED FLAGS, INVESTIGATE POTENTIALLY SUSPICIOUS ACTIVITY AND REPORT SUSPICIOUS ACTIVITY BY FILING A SAR-SF FORM AS APPROPRIATE. TWO ACCOUNTS AND THE TRADING IN THOSE ACCOUNTS RAISED A NUMBER OF RED FLAGS IDENTIFIED IN THE FIRM'S PROCEDURES BUT THE FIRM THROUGH POLLACK DID NOT ADEQUATELY INVESTIGATE AND RESPOND



TO THE RED FLAGS. FOR EXAMPLE, CUSTOMERS PROVIDED A NON-AFFILIATE/NON-CONTROL LETTER IN WHICH EACH MISREPRESENTED THAT HE WAS NOT AN AFFILIATE OR CONTROL PERSON OF THE ISSUER. THE FIRM AND POLLACK SHOULD HAVE KNOWN THAT SUCH STATEMENTS WERE FALSE. THE TWO ENTITIES A CUSTOMER USED TO OPEN FIRM ACCOUNTS HAD THE SAME ADDRESS AS SOME OF THE ISSUERS AND THE CUSTOMERS WIRED THE PROCEEDS OUT OF THE ACCOUNTS SOON AFTER LIQUIDATING THE UNREGISTERED PENNY STOCKS OF THE ISSUERS. THE CUSTOMERS PROVIDED THE FIRM AND POLLACK WITH DOCUMENTS CONTAINING INFORMATION THAT CONFLICTED WITH PUBLIC INFORMATION, INCLUDING SEC FILINGS, RELATED TO WHO ACTED AS OFFICERS FOR SOME OF THE ISSUERS. IN FAILING TO ADEQUATELY IMPLEMENT THE FIRM'S AML PROGRAM, THE FIRM AND POLLACK DID NOT IDENTIFY THE SUSPICIOUS TRADING THAT OCCURRED IN THE TWO ACCOUNTS.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	01/16/2013
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>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?</b>	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:** TWO MONTHS  
**Start Date:** 02/19/2013  
**End Date:** 04/18/2013

**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:** 01/23/2013  
**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, POLLACK CONSENTED



TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS;  
THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION  
WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR TWO  
MONTHS. THE SUSPENSION IS IN EFFECT FROM FEBRUARY 19, 2013  
THROUGH APRIL 18, 2013. FINE PAID IN FULL ON 1/23/2013.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 01/16/2013

**Docket/Case Number:** 2008011702301

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

**Product Type:** Penny Stock

**Allegations:** FINRA ALLEGED THAT BETWEEN JUNE 2006 AND DECEMBER 2007, LAMPOST, THROUGH ME, FAILED TO IMPLEMENT AN ADEQUATE ANTI-MONEY LAUNDERING COMPLIANCE PROGRAM IN VIOLATION OF NASD RULES 3011(A) AND 2110. IN PARTICULAR, FINRA ALLEGED THAT LAMPOST AND I FAILED TO ADEQUATELY DETECT, INVESTIGATE AND FILE SUSPICIOUS ACTIVITY REPORTS IN CONNECTION WITH THE TRADING IN TWO ACCOUNTS MAINTAINED AT THE FIRM.

**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:** 01/16/2013

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Sanction 1 of 1**



**Sanction Type:** Suspension  
**Capacities Affected:** GENERAL SECURITIES PRINCIPAL  
**Duration:** 60 DAYS  
**Start Date:** 02/19/2013  
**End Date:** 04/18/2013

**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:** 01/23/2013

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement**

THIS MATTER WAS INITIATED BY A WELLS NOTICE PROVIDED TO ME IN 2012. THIS IS IN SPITE OF THE FACT THAT IN APRIL 2010, BASED PRINCIPALLY ON THE SAME FACTS WHICH ARE THE SUBJECT OF THIS MATTER, FINCEN NOTIFIED LAMPOST THAT IT WAS TAKING NO ACTION BUT ADVISED THAT IT EXPECTED THE FIRM TO IMPLEMENT APPROPRIATE CORRECTIVE ACTION TO ENSURE A SATISFACTORY AML PROGRAM, WHICH DIRECTIVE IT IN FACT COMPLIED WITH. ULTIMATELY, AND NOTWITHSTANDING THE FOREGOING, DUE TO THE EXTREME PASSAGE OF TIME AND TO AVOID THE FURTHER COSTS AND FEES ASSOCIATED WITH A PROTRACTED DEFENSE, I AGREED TO SETTLE THIS MATTER TO PUT IT BEHIND ME.

DUE TO THE EXTREME PASSAGE OF TIME, MY ABILITY TO FULLY DEFEND THIS MATTER WAS SEVERELY IMPEDED.

## End of Report



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