

BrokerCheck Report

ANTHONY CHRISTOPHER REINER

CRD# 2695644

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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 C. REINER**

CRD# 2695644

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

- B OSCAR GRUSS & SON INCORPORATED**
 10 EAST 53rd STREET
 17TH FLOOR
 NEW YORK, NY 10022
 CRD# 2091
 Registered with this firm since: 06/16/2016

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:

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

This broker has passed:

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

Registration History

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

- B IMPERIAL CAPITAL, LLC**
 CRD# 43744
 NEW YORK, NY
 03/2013 - 04/2016
- B CANTOR FITZGERALD & CO.**
 CRD# 134
 NEW YORK, NY
 07/2010 - 12/2012
- B DOMINICK & DOMINICK LLC**
 CRD# 7344
 NEW YORK, NY
 01/2009 - 07/2010

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
Termination	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 7 SROs and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **OSCAR GRUSS & SON INCORPORATED**

Main Office Address: **10 EAST 53RD STREET
17TH FLOOR
NEW YORK, NY 10022**

Firm CRD#: **2091**

	SRO	Category	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	07/10/2025
B	Cboe BYX Exchange, Inc.	Securities Trader	Approved	07/10/2025
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/08/2025
B	Cboe BZX Exchange, Inc.	Securities Trader	Approved	07/08/2025
B	FINRA	General Securities Representative	Approved	06/16/2016
B	FINRA	Securities Trader	Approved	06/16/2016
B	NYSE American LLC	General Securities Representative	Approved	06/16/2016
B	NYSE American LLC	Securities Trader	Approved	06/16/2016
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/08/2025
B	NYSE Arca, Inc.	Securities Trader	Approved	07/08/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	06/16/2016
B	Nasdaq Stock Market	Securities Trader	Approved	06/16/2016
B	New York Stock Exchange	General Securities Representative	Approved	06/16/2016
B	New York Stock Exchange	Securities Trader	Approved	06/16/2016

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<div>B</div> New York	Agent	Approved	07/05/2016

Branch Office Locations

OSCAR GRUSS & SON INCORPORATED
10 EAST 53rd STREET
17TH FLOOR
NEW YORK, NY 10022



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Trader Exam	Series 57TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	10/06/2008
B General Securities Representative Examination	Series 7	03/08/1996

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/13/2004

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 03/2013 - 04/2016	IMPERIAL CAPITAL, LLC	43744	NEW YORK, NY
B 07/2010 - 12/2012	CANTOR FITZGERALD & CO.	134	NEW YORK, NY
B 01/2009 - 07/2010	DOMINICK & DOMINICK LLC	7344	NEW YORK, NY
B 09/2008 - 12/2008	ACCESS SECURITIES, INC.	22455	NEW YORK, NY
B 08/2006 - 01/2007	SANDERS MORRIS HARRIS INC.	20580	NEW YORK, NY
B 06/2004 - 06/2005	HMC INVESTMENTS, INC.	40581	BIRMINGHAM, AL
B 08/2000 - 02/2001	WEISS, PECK & GREER, L.L.C.	2998	BOSTON, MA
B 07/2000 - 08/2000	TRADITION ASIEL SECURITIES INC.	28269	NEW YORK, NY
B 09/1997 - 07/2000	ASIEL & CO. LLC	1112	NEW YORK, NY
B 03/1996 - 09/1997	BEAR, STEARNS & CO. INC.	79	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
06/2016 - Present	OSCAR GRUSS & SON INCORPORATED	SALES TRADER	Y	NEW YORK, NY, United States
07/2015 - 03/2016	IMPERIAL CAPITAL (INTERNATIONAL) LLP	MANAGING DIRECTOR	Y	LONDON, United Kingdom
03/2013 - 03/2016	IMPERIAL CAPITAL	MGING DIRECTOR	Y	NY, NY, United States

Registration and Employment History



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
Termination	N/A	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: Other: N/A

Date Initiated: 10/18/2017

Docket/Case Number: [2016049589201](#)

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

Product Type: No Product

Allegations: Without admitting or denying the findings, Reiner consented to the sanctions and to the entry of findings that he failed to disclose to his member firm that he had opened two outside brokerage accounts in which he had a beneficial interest, and entered trades in one of them. The findings stated that Reiner failed to disclose his affiliation with his firm to the broker-dealers carrying these outside brokerage accounts. The findings also stated that Reiner provided false information to the firm. Reiner provided false responses on two annual compliance affirmation reports regarding one of his outside brokerage accounts, and falsely told a member of the firm that one of the accounts had been closed before his hiring by the firm, which was not true. Reiner also reiterated this false statement in an email communication with 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:	10/18/2017
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:	All Capacities
Duration:	four months
Start Date:	11/20/2017
End Date:	03/19/2018

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$15,000.00**Portion Levied against individual:** \$15,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 11/06/2017**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement** Fine paid in full on November 6, 2017.**Reporting Source:** Firm**Regulatory Action Initiated By:** Financial Industry Regulatory Authority**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)
Suspension**Date Initiated:** 10/18/2017**Docket/Case Number:** FINRA AWC No. 2016049589201**Employing firm when activity occurred which led to the regulatory action:** Imperial Capital, LLC**Product Type:** No Product**Allegations:** FINRA AWC found that from March 2013 - March 2016 Mr. Reiner failed to disclose to the Firm that he had opened two outside brokerage accounts in which he had a beneficial interest, and traded in one of them in violation of NASD Rule 3050(c) and FINRA Rule 2010. The FINRA AWC also found that Mr. Reiner provided false information about the accounts to the Firm in violation of FINRA Rule 2010.**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)



Resolution Date: 10/18/2017

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: All Capacities

Duration: 4 Months

Start Date:

End Date:

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$15,000.00

Portion Levied against individual: \$15,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	10/18/2017
Docket/Case Number:	2016049589201
Employing firm when activity occurred which led to the regulatory action:	IMPERIAL CAPITAL LLC
Product Type:	No Product
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, REINER CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDS THAT HE FAILED TO DISCLOSE TO HIS MEMBER FIRM THAT HE HAD OPENED TWO OUTSIDE BROKERAGE ACCOUNTS IN WHICH HE HAD A BENEFICIAL INTEREST, AND ENTERED TRADES IN ONE OF THE THEM. THE FINDINGS STATED THAT REINER FAILED TO DISCLOSE HIS AFFILIATION WITH HIS FIRM TO THE BROKER-DEALERS CARRYING THESE OUTSIDE BROKERAGE ACCOUNTS. THE FINDINGS ALSO STATED THAT REINER PROVIDED FALSE INFORMATION TO THE FIRM. REINER PROVIDED FALSE RESPONSES ON TWO ANNUAL COMPLIANCE AFFIRMATION REPORTS REGARDING ONE OF HIS OUTSIDE BROKERAGE ACCOUNTS, AND FALSELY TOLD A MEMBER OF THE FIRM THAT ONE OF THE ACCOUNTS HAD BEEN CLOSED BEFORE HIS HIRING BY THE FIRM, WHICH WAS NOT TRUE. REINER ALSO REITERATED THIS FALSE STATEMENT IN AN EMAIL COMMUNICATION WITH 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?	Yes
Resolution Date:	10/18/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension

**Sanction 1 of 1**

Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	FOUR MONTHS
Start Date:	11/20/2017
End Date:	03/19/2018

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00
Portion Levied against individual:	\$15,000.00

Payment Plan:**Is Payment Plan Current:**

Date Paid by individual:	11/06/2017
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Was any portion of penalty waived?	No
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Amount Waived:

Broker Statement	FINE PAID IN FULL ON NOVEMBER 6, 2017
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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: Imperial Capital, LLC

Termination Type: Discharged

Termination Date: 03/15/2016

Allegations: Mr. Reiner was discharged as a result of his failure to disclose and obtain pre-approval of (i) an outside brokerage account and (ii) transactions effected in that outside brokerage account, both in violation of Firm policies, and as a result of his representations regarding the status of the account.

Product Type: No Product

Reporting Source: Broker

Employer Name: IMPERIAL CAPITAL LLC

Termination Type: Discharged

Termination Date: 03/15/2016

Allegations: MR. REINER WAS DISCHARGED AS A RESULT OF HIS FAILURE TO DISCLOSE AND OBTAIN PRE-APPROVAL OF (i) AN OUTSIDE BROKERAGE ACCOUNT AND (ii) TRANSACTIONS EFFECTED IN THAT OUTSIDE BROKERAGE ACCOUNT, BOTH IN VIOLATION OF FIRM POLICIES, AND AS A RESULT OF HIS REPRESENTATIONS REGARDING THE STATUS OF THE ACCOUNT.

Product Type: No Product

End of Report



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