

BrokerCheck Report

ALIMOHAMMED AGBOATWALLA

CRD# 2734578

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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.



ALIMOHAMMED AGBOATWALLA
CRD# 2734578

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
- 5 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- B SEAPORT GLOBAL SECURITIES LLC**
CRD# 116270
NEW YORK, NY
01/2024 - 08/2025
- B MAXIM GROUP LLC**
CRD# 120708
NEW YORK, NY
09/2022 - 10/2023
- B MIZUHO SECURITIES USA LLC**
CRD# 19647
NEW YORK, NY
09/2020 - 06/2022

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	2

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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/27/2013

General Industry/Product Exams

Exam	Category	Date
B Securities Trader Exam	Series 57TO	01/02/2023
B Securities Industry Essentials Examination	SIE	07/03/2017
B Limited Representative-Equity Trader Exam	Series 55	01/22/2002
B National Commodity Futures Examination	Series 3	10/06/2000
B General Securities Representative Examination	Series 7	04/15/1996

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/20/1996

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 01/2024 - 08/2025	SEAPORT GLOBAL SECURITIES LLC	116270	NEW YORK, NY
B 09/2022 - 10/2023	MAXIM GROUP LLC	120708	NEW YORK, NY
B 09/2020 - 06/2022	MIZUHO SECURITIES USA LLC	19647	NEW YORK, NY
B 01/2020 - 08/2020	IMPERIAL CAPITAL, LLC	43744	NEW YORK, NY
B 06/2019 - 01/2020	OLD CITY SECURITIES LLC	171910	NEW YORK, NY
B 03/2012 - 07/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 04/2011 - 12/2011	RBC CAPITAL MARKETS, LLC	31194	NEW YORK, NY
B 04/2009 - 09/2010	LABRANCHE STRUCTURED PRODUCTS LLC	122529	NEW YORK, NY
B 05/2000 - 04/2009	MORGAN STANLEY & CO. INCORPORATED	8209	NEW YORK, NY
B 10/1998 - 01/1999	NATIONSBANC MONTGOMERY SECURITIES LLC	26091	NEW YORK, NY
B 04/1996 - 10/1998	BANCAMERICA SECURITIES, INC.	17977	SAN FRANCISCO, CA

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
01/2024 - Present	SEAPORT GLOBAL HOLDINGS LLC	MANAGING DIRECTOR	Y	NEW YORK, NY, United States
01/2024 - Present	SEAPORT GLOBAL SECURITIES LLC	MANAGING DIRECTOR	Y	NEW YORK, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2022 - 10/2023	Maxim Group LLC	Managing Director-Derivative Sales	Y	New York, NY, United States
08/2020 - 08/2022	Mizuho Securities USA LLC	Managing Director	Y	New York, NY, United States
01/2020 - 08/2020	IMPERIAL CAPITAL, LLC	MANAGING DIRECTOR	Y	NEW YORK, NY, United States
06/2019 - 01/2020	OLD CITY SECURITIES	REGISTERED REPRESENTATIVE	Y	New York, NY, United States
07/2017 - 05/2019	UNEMPLOYED	UNEMPLOYED	N	New York, NY, United States
03/2012 - 06/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	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.

ZDR PROPERTIES LLC; INVESTMENT RELATED; NEW YORK, NEW YORK 10019; RENTAL PROPERTIES; MANAGING MEMBER; START DATE 6/17/14; 10 HOUR(S) MONTHLY, 0 HRS DURING TRADING; IDENTIFYING AND INVESTING IN REAL ESTATE RENTAL PROPERTIES.

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.
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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	2	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 2

Reporting Source: Regulator
Regulatory Action Initiated By: PHILADELPHIA STOCK EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/12/2003

Docket/Case Number: ENFORCEMENT NO. 2003-02

Employing firm when activity occurred which led to the regulatory action: MORGAN STANLEY & CO., INC.

Product Type: Options

Other Product Type(s):

Allegations: RESPONDENT, WITHOUT ADMITTING OR DENYING THE CHARGES, CONSENTED TO FINDINGS THAT ON AUGUST 21, 2002, DURING THE COURSE OF HIS EMPLOYMENT WITH MORGAN STANLEY AND ON BEHALF OF A MORGAN STANLEY CUSTOMER, RESPONDENT FAILED TO EXERCISE DUE DILIGENCE IN HANDLING A MORGAN STANLEY CUSTOMER BUY ORDER FOR 2,000 SAFEWAY, INC. ("SWY") SEPTEMBER 27.50 PUTS. SPECIFICALLY, AFTER FILLING 1,563 CONTRACTS OF THE 2,000 CONTRACT ORDER ON THE OPEN MARKET, THE AMERICAN STOCK EXCHANGE



("AMEX") TRADING CROWD OFFERED TO SELL 100 SWY SEPTEMBER 27.50 PUTS TO THE MORGAN STANLEY CUSTOMER AT \$1.05. DESPITE THE AMEX OFFER, RESPONDENT TOOK THE REMAINING 437 CONTRACTS OF THE 2,000 CONTRACT ORDER TO THE PHLX WHERE IT WAS EXECUTED AT \$1.10, RATHER THAN EXECUTING 100 OF THE REMAINING 437 CONTRACTS AT \$1.05, THE BEST AVAILABLE PRICE.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

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: 11/11/2003

Sanctions Ordered: Censure
Monetary/Fine \$100,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: RESPONDENT CONSENTED TO THE IMPOSITION OF THE FOLLOWING SANCTIONS: (I) CENSURE; (II) A FINE OF \$100,000, TO BE PAID JOINTLY AND SEVERALLY BY RESPONDENT AND MORGAN STANLEY TO THE PHLX AND TO THE AMEX; AND (III) A TEN (10) BUSINESS DAY SUSPENSION FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY PHLX MEMBER OR MEMBER ORGANIZATION.

Reporting Source: Broker

Regulatory Action Initiated By: PHLX

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: \$100,000 JOINT AND SEVERAL FINE.

Date Initiated: 01/22/2003

Docket/Case Number: 2003-02



Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY & CO. INCORPORATED
Product Type:	Options
Other Product Type(s):	
Allegations:	MORGAN STANLEY & CO., INC. VIOLATED ARTICLE V, SECTION 4(H) OF THE EXCHANGE CONSTITUTION, AND AGBOATWALLA VIOLATED EXCHANGE RULE 345(A)(4), IN THAT BOTH MORGAN STANLEY AND AGBOATWALLA FAILED TO EXERCISE DUE DILIGENCE IN HANDLING A CUSTOMER ORDER, WHEREBY AFTER OBTAINING FROM THE EXCHANGE A PRICE FOR THE ORDER, MORGAN STANLEY AND AGBOATWALLA SUBSEQUENTLY ALLOWED THE EXECUTION OF A PORTION OF THAT ORDER TO BE TRADED AT AN INFERIOR PRICE ON THE PHILADELPHIA STOCK EXCHANGE.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	11/12/2003
Sanctions Ordered:	Censure Monetary/Fine \$100,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	TEN DAY SUSPENSION OF ALL SECURITIES BUSINESS FOR MR. AGBOATWALLA (11/30/03-12/09/03). MR. AGBOATWALLA IS ALSO SUBJECT TO A DIRECTED CEP SESSION THAT MUST BE COMPLETED BY 03/15/04. THE FIRM AND MR. AGBOATWALLA AGREED TO A \$100,000 JOINT AND SEVERAL FINE.
Broker Statement	MR. AGBOATWALLA AND MORGAN STANLEY HAVE SETTLED THE MATTER IN QUESTION. A NEARLY IDENTICAL SETTLEMENT WAS ACCEPTED BY THE AMEX. MR. AGBOATWALLA AGREED TO A 10-DAY SUSPENSION IN CONNECTION WITH THE RULE VIOLATIONS, AND THE FIRM AND MR. AGBOATWALLA AGREED TO A \$100,000 JOINT AND SEVERAL FINE.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	AMERICAN STOCK EXCHANGE
Sanction(s) Sought:	Suspension



Other Sanction(s) Sought:	ADDITIONALLY, THE EXCHANGE SOUGHT TO CENSURE AND FINE AGBOATWALLA AND HIS EMPLOYER, MORGAN STANLEY & CO., INC.
Date Initiated:	03/27/2003
Docket/Case Number:	03-01
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY & CO., INC.
Product Type:	Options
Other Product Type(s):	
Allegations:	MORGAN STANLEY & CO., INC. VIOLATED ARTICLE V, SECTION 4(H) OF THE EXCHANGE CONSTITUTION, AND AGBOATWALLA VIOLATED EXCHANGE RULE 345(A)(4), IN THAT BOTH MORGAN STANLEY AND AGBOATWALLA FAILED TO EXERCISE DUE DILIGENCE IN HANDLING A CUSTOMER ORDER, WHEREBY AFTER OBTAINING FROM THE EXCHANGE A PRICE FOR THE ORDER, MORGAN STANLEY AND AGBOATWALLA SUBSEQUENTLY ALLOWED THE EXECUTION OF A PORTION OF THAT ORDER TO BE TRADED AT AN INFERIOR PRICE ON THE PHILADELPHIA STOCK EXCHANGE.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	10/03/2003
Sanctions Ordered:	Censure Monetary/Fine \$100,000.00 Suspension
Other Sanctions Ordered:	ADDITIONALLY, MORGAN STANLEY WAS ORDERED TO PERFORM THE FOLLOWING UNDERTAKINGS: (A) AN EDUCATIONAL SESSION FOR ITS EQUITY, OPTIONS, AND DERIVATIVES DESKS REGARDING BEST EXECUTION AND THE INTERNALIZATION OF ORDERS, AND (B) ISSUE A COMPLIANCE BULLETIN SETTING FORTH THE FIRM'S PROCEDURES FOR COMPLIANCE WITH THE FIRM'S BEST EXECUTION OBLIGATIONS.
Sanction Details:	FOR THE AFOREMENTIONED CONDUCT, MORGAN STANLEY AND



AGBOATWALLA WERE CENSURED AND FINED \$100,000 TO BE PAID JOINTLY AND SEVERALLY BY MORGAN STANLEY AND AGBOATWALLA TO THE AMERICAN STOCK EXCHANGE AND PHILADELPHIA STOCK EXCHANGE. ADDITIONALLY, AGBOATWALLA WAS SUSPENDED FOR TEN (10) BUSINESS DAYS FROM ASSOCIATION IN ANY CAPACITY WITH ANY EXCHANGE MEMBER OR MEMBER ORGANIZATION, AND MORGAN STANLEY WAS ORDERED TO PERFORM THE UNDERTAKINGS DESCRIBED ABOVE.

Regulator Statement

PLEASE CONTACT THE ENFORCEMENT DEPARTMENT OF THE AMERICAN STOCK EXCHANGE FOR FURTHER DETAILS.

Reporting Source:	Broker
Regulatory Action Initiated By:	AMEX
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	\$100,000 JOINT AND SEVERAL FINE.
Date Initiated:	03/27/2003
Docket/Case Number:	03-01
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY & CO. INCORPORATED
Product Type:	Options
Other Product Type(s):	
Allegations:	MORGAN STANLEY & CO., INC. VIOLATED ARTICLE V, SECTION 4(H) OF THE EXCHANGE CONSTITUTION, AND AGBOATWALLA VIOLATED EXCHANGE RULE 345(A)(4), IN THAT BOTH MORGAN STANLEY AND AGBOATWALLA FAILED TO EXERCISE DUE DILIGENCE IN HANDLING A CUSTOMER ORDER, WHEREBY AFTER OBTAINING FROM THE EXCHANGE A PRICE FOR THE ORDER, MORGAN STANLEY AND AGBOATWALLA SUBSEQUENTLY ALLOWED THE EXECUTION OF A PORTION OF THAT ORDER TO BE TRADED AT AN INFERIOR PRICE ON THE PHILADELPHIA STOCK EXCHANGE.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	11/12/2003
Sanctions Ordered:	Censure Monetary/Fine \$100,000.00



Suspension

Other Sanctions Ordered:

Sanction Details:

TEN DAY SUSPENSION OF ALL SECURITIES BUSINESS FOR MR. AGBOATWALLA (11/30/03-12/09/03). MR. AGBOATWALLA IS ALSO SUBJECT TO A DIRECTED CEP SESSION THAT MUST BE COMPLETED BY 03/15/04. THE FIRM AND MR. AGBOATWALLA AGREED TO A \$100,000 JOINT AND SEVERAL FINE.

Broker Statement

MR. AGBOATWALLA AND MORGAN STANLEY HAVE SETTLED THE MATTER IN QUESTION. A NEARLY IDENTICAL SETTLEMENT WAS ACCEPTED BY THE AMEX. MR. AGBOATWALLA AGREED TO A 10-DAY SUSPENSION IN CONNECTION WITH THE RULE VIOLATIONS, AND THE FIRM AND MR. AGBOATWALLA AGREED TO A \$100,000 JOINT AND SEVERAL FINE.

End of Report



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