BrokerCheck Report

LON CHARLES FACCINI JR

CRD# 2736849

Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our investor alert on imposters.

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.

LON C. FACCINI JR

CRD# 2736849

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:

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

Registration History

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

B **ARIVE CAPITAL MARKETS**
CRD# 8060
Coram, NY
06/2016 - 01/2023

B **CAPE SECURITIES INC.**
CRD# 7072
Coram, NY
08/2010 - 06/2016

B **LIBERTY PARTNERS FINANCIAL SERVICES, LLC**
CRD# 130390
HOLBROOK, NY
08/2006 - 08/2010

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
Customer Dispute	9

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.

This individual has passed 0 principal/supervisory exams, 2 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 Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	07/13/1996

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	09/24/1996

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	06/2016 - 01/2023	ARIVE CAPITAL MARKETS	8060	Coram, NY
B	08/2010 - 06/2016	CAPE SECURITIES INC.	7072	Coram, NY
B	08/2006 - 08/2010	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	130390	HOLBROOK, NY
B	06/2006 - 08/2006	J.W. COLE FINANCIAL, INC.	124583	HOLBROOK, NY
B	12/2004 - 06/2006	J.P. TURNER & COMPANY, L.L.C.	43177	HOLBROOK, NY
B	01/2004 - 12/2004	LH ROSS & COMPANY, INC.	37920	BOCA RATON, FL
B	05/2003 - 01/2004	CONTINENTAL BROKER-DEALER CORP.	14048	CARLE PLACE, NY
B	04/2002 - 06/2003	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL
B	06/1997 - 05/2002	SEABOARD SECURITIES, INC.	755	FLORHAM PARK, NJ
B	04/1997 - 06/1997	H.J. MEYERS & CO., INC.	15609	ROCHESTER, NY
B	07/1996 - 04/1997	INVESTORS ASSOCIATES, INC.	958	HACKENSACK, NJ

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	Arive Capital Markets	Registered Representative	Y	Brooklyn, NY, United States
08/2010 - 06/2016	CAPE SECURITIES INC	REGISTERED REP	Y	MCDONOUGH, GA, 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.

LCF Solutions, INC. - Corporation to manage/personal finances.

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	1	0
Customer Dispute	1	8	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	02/16/2023
Docket/Case Number:	2018056483903
Employing firm when activity occurred which led to the regulatory action:	Arive Capital Markets
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Faccini consented to the sanctions and to the entry of findings that he engaged in excessive and unsuitable trading, including using margin, in customers' accounts. The findings stated that Faccini recommended that the customers place trades in their accounts, most of which were executed using margin for one of the customers and all were executed using margin for the other customer. Both customers routinely accepted Faccini's recommendations. Although the customer's account had an average month-end equity of approximately $116,900 for 19 months, Faccini recommended purchases with a total principal value of approximately $2,410,300, which resulted in an annualized turnover rate in the account just over 13. As a result of Faccini's unsuitable recommendations, that customer had a loss of approximately $36,700.

Collectively, the trades that Faccini recommended caused that customer to pay approximately $55,389 in commissions and fees and another $12,997 in margin interest for a total of approximately $68,385. In addition, although the other customer's account had an average month-end equity of approximately $26,856 for 16 months, Faccini recommended purchases with a total principal value of approximately $522,438, which resulted in an annualized turnover rate in the account of 14.59. As a result of Faccini's unsuitable recommendations, the other customer had a loss of approximately $17,395. Collectively, the trades that Faccini recommended caused the other customer to pay approximately $16,074 in commissions and fees and another $2,696 in margin interest for a total of approximately $18,770.

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:	02/16/2023
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Restitution Suspension Other: Interest
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:	six months
Start Date:	02/21/2023
End Date:	08/20/2023

Monetary Sanction 1 of 2

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	deferred
Is Payment Plan Current:	
Date Paid by individual:	06/22/2023
Was any portion of penalty waived?	No
Amount Waived:	

Monetary Sanction 2 of 2

Monetary Related Sanction:	Restitution
Total Amount:	$18,770.00
Portion Levied against individual:	$18,770.00
Payment Plan:	deferred; plus interest
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Liberty Partners Financial Services, LLC

Allegations: Breach of fiduciary duty, common law fraud, negligence/negligent misrepresentation, omissions, breach of contract, restitution, churning, and unsuitability.

Product Type: Other: Exchange Traded Funds

Alleged Damages: $150,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #15-01451

Date Notice/Process Served: 06/17/2015

Arbitration Pending? No

Disposition: Award

Disposition Date: 10/14/2016

Disposition Detail: Faccini was a subject of the customer's Statement of Claim for this arbitration alleging that he with his member firm contributed to the sales practice violations.

Respondent Liberty Partners Financial Services, LLC is liable for and shall pay to Claimant the sum of $42,983.00, plus interest, in compensatory damages.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Liberty Partners Financial Services, LLC

Allegations: Breach of fiduciary duty, common law fraud, negligence/negligent misrepresentation, omissions, breach of contract, restitution, churning, and unsuitability.

Product Type:	Other: Exchange Traded Funds
Alleged Damages:	$150,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution
Docket/Case #:	15-01451
Filing date of arbitration/CFTC reparation or civil litigation:	06/17/2015

Customer Complaint Information

Date Complaint Received:	06/17/2015
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	10/14/2016
Settlement Amount:	$42,983.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Liberty Partners Financial Services, LLC
Allegations:	Breach of Fiduciary duty, common law fraud, negligence/negligent misrepresentation, omissions, breach of contract, restitution, churning and unsuitability.
Product Type:	Other: Exchange Traded Funds
Alleged Damages:	$150,000.00
Is this an oral complaint?	No

Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution
Docket/Case #:	15-01451
Filing date of arbitration/CFTC reparation or civil litigation:	06/17/2015

Customer Complaint Information

Date Complaint Received:	06/17/2015
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	10/14/2016
Settlement Amount:	$42,983.00
Individual Contribution Amount:	$0.00

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 6

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Arive Capital Markets
Allegations:	Excessive Trading, Unsuitability, Churning
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$307,042.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	19-02196
Date Notice/Process Served:	08/13/2019
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/21/2021
Monetary Compensation Amount:	$115,000.00
Individual Contribution Amount:	$18,445.00
Broker Statement	The allegations against me are baseless. I was not the primary broker who handled the account and I will seek expungement of this matter.

Disclosure 2 of 6

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Arive Capital Markets
Allegations:	Negligence and churning

Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$112,426.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-02821
Date Notice/Process Served:	09/09/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/30/2020
Monetary Compensation Amount:	$36,000.00
Individual Contribution Amount:	$36,000.00

Disclosure 3 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cape Securities, Inc.
Allegations:	Misrepresentation and unsuitability
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$106,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-03200
Date Notice/Process Served:	09/19/2018
Arbitration Pending?	No

Disposition:	Settled
Disposition Date:	03/22/2023
Monetary Compensation Amount:	$40,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Cape Securities
Allegations:	Misrepresentation and unsuitability
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$106,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-03200
Date Notice/Process Served:	09/25/2018
Arbitration Pending?	Yes

Disclosure 4 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cape Securities, Inc.
Allegations:	Suitability
Product Type:	Equity-OTC
Alleged Damages:	$42,000.00

Arbitration Information

Arbitration/CFTC reparation	FINRA

claim filed with (FINRA, AAA, CFTC, etc.):	
Docket/Case #:	16-02112
Date Notice/Process Served:	07/25/2016
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/12/2017
Monetary Compensation Amount:	$9,000.00
Individual Contribution Amount:	$9,000.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Cape Securities, Inc.
Allegations:	Suitability
Product Type:	Equity-OTC
Alleged Damages:	$42,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-02112
Filing date of arbitration/CFTC reparation or civil litigation:	07/25/2016

Customer Complaint Information

Date Complaint Received:	08/04/2016
Complaint Pending?	No

Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	07/25/2016
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-02112
Date Notice/Process Served:	08/04/2016
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/12/2017
Monetary Compensation Amount:	$9,000.00
Individual Contribution Amount:	$9,000.00
Broker Statement	I inherited this client when the original broker left the firm. The client transferred out a few months later. All losses occurred prior to my handling of the account. I maintain my innocence as such.

Disclosure 5 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LIBERTY PARTNERS FINANCIAL SERVICES, LLC
Allegations:	CLIENT CLAIMS THE REP LON FACCINI HARASSED HIM FROM FEB. OF 2009 UNTIL HE OPENED AN ACCOUNT WITH HIM AND THEN PROCEEDED TO CHARGE AN EXCESS OF $40,000.00 IN COMMISSIONS. CLIENT ALSO CLAIMS THE REP MADE ALL DECISIONS.
Product Type:	Equity-OTC
Alleged Damages:	$70,000.00

Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	GRIDLEY, CALIFORNIA
Docket/Case #:	1303117
Filing date of arbitration/CFTC reparation or civil litigation:	11/08/2013

Customer Complaint Information

Date Complaint Received:	11/19/2013
Complaint Pending?	No
Status:	Settled
Status Date:	10/10/2014
Settlement Amount:	$37,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	LIBERTY PARTNERS FINANCIAL SERVICES, LLC
Allegations:	CLIENT CLAIMS THAT REP HARASSED HIM FROM FEB. OF 2009 UNTIL HE OPENED AN ACCOUNT WITH HIM AND THEN PROCEEDED TO CHARGE AN EXCESS OF $40,000 IN COMMISSIONS.
Product Type:	Equity-OTC
Alleged Damages:	$70,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes

Arbitration/Reparation forum or court name and location:	GRIDLEY, CALIFORNIA
Docket/Case #:	1303117
Filing date of arbitration/CFTC reparation or civil litigation:	11/08/2013

Customer Complaint Information

Date Complaint Received:	11/19/2013
Complaint Pending?	No
Status:	Settled
Status Date:	10/10/2014
Settlement Amount:	$37,500.00
Individual Contribution Amount:	$0.00
Broker Statement	A COMPLAINT WAS FILED AGAINST LIBERTY PARTNERS. I WAS ONE OF THE BROKERS ON RECORD. THE ALLEGATIONS ARE UNWARRANTED AND I WILL VIGOROUSLY DEFEND MYSELF AGAINST THE CLIENTS CLAIMS.

Disclosure 6 of 6

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	LIBERTY PARTNERS FINANCIAL SERVICES LLC
Allegations:	CUSTOMER STATES THAT HE REQUESTED THAT STOP LOSS ORDERS BE PLACED ON 11 LISTED STOCKS. THE BROKER STATES HE RECEIVED NO SUCH INSTRUCTIONS FROM THE CUSTOMER.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$123,434.97

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-04553

Date Notice/Process Served:	10/08/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/20/2010
Monetary Compensation Amount:	$13,500.00
Individual Contribution Amount:	$13,500.00

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	LIBERTY PARTNERS FIANCNIAIL SERVICES, LLC
Allegations:	CUSTOMER STATES THAT HE REQUESTED THAT STOP LOSS ORDERS BE PLACED ON THE ABOVE LISTED 11 STOCKS. THE BROKER STATES HE RECEIVED NO SUCH INSTRUCTIONS FROM THE CUSTOMER. THE FIRM IS CURRENTLY COMMUNICATING WITH THE CLIENTS ATTORNEY
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$75,000.00
Alleged Damages Amount Explanation (if amount not exact):	APPROX AMOUNT GIVEN BY CLIENT AS TO DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/06/2008
Complaint Pending?	No
Status:	Denied
Status Date:	06/14/2010
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ARIVE CAPITAL MARKETS
Allegations:	Suitability, Churning
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$453,406.47

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	22-02555
Date Notice/Process Served:	11/22/2022
Arbitration Pending?	Yes
Broker Statement	The customer authorized each transaction and the trading activity was consistent with his financial means, investment experience, risk tolerance as well as investment objective. This is the same disclosure on my CRD 4.11.22 that was dismissed. This new claim was submitted for the same customer.

End of Report

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