

BrokerCheck Report

JASON JOHN DEFELICE

CRD# 2748462

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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.](http://www.finra.org)

**JASON J. DEFELICE**

CRD# 2748462

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

- B ALEXANDER CAPITAL, L.P.**
 10 DRS JAMES PARKER BLVD
 SUITE 202
 RED BANK, NJ 07701
 CRD# 40077
 Registered with this firm since: 11/01/2012

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:**

- 1 Self-Regulatory Organization
- 11 U.S. states and territories

This broker has passed:

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

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

- B J.P. TURNER & COMPANY, L.L.C.**
 CRD# 43177
 MOUNT PLEASANT, SC
 12/2001 - 09/2012
- B PRIME CHARTER LTD.**
 CRD# 25668
 NEW YORK, NY
 04/2001 - 12/2001
- B FIRST UNION SECURITIES FINANCIAL NETWORK, INC.**
 CRD# 11025
 ST. LOUIS, MO
 01/2001 - 04/2001

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 |
| Criminal | 1 |
| Customer Dispute | 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 1 SRO and is licensed in 11 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **ALEXANDER CAPITAL, L.P.**
 Main Office Address: **10 DRS JAMES PARKER BLVD
 SUITE 202
 RED BANK, NJ 07701**
 Firm CRD#: **40077**

| SRO | Category | Status | Date |
|----------------|-----------------------------------|----------|------------|
| B FINRA | General Securities Representative | Approved | 11/01/2012 |

| U.S. State/ Territory | Category | Status | Date |
|-------------------------|----------|----------|------------|
| B Arizona | Agent | Approved | 04/21/2022 |
| B California | Agent | Approved | 11/01/2012 |
| B Florida | Agent | Approved | 10/11/2013 |
| B Idaho | Agent | Approved | 07/23/2018 |
| B Maine | Agent | Approved | 07/17/2013 |
| B Minnesota | Agent | Approved | 11/01/2012 |
| B New Jersey | Agent | Approved | 01/30/2013 |
| B New York | Agent | Approved | 11/01/2012 |
| B South Carolina | Agent | Approved | 12/12/2012 |
| B Vermont | Agent | Approved | 03/17/2025 |
| B Washington | Agent | Approved | 02/15/2013 |

Broker Qualifications



Employment 1 of 1, continued Branch Office Locations

ALEXANDER CAPITAL, L.P.
10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701



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, 2 general industry/product exams, and 2 state securities law exams.

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 | 06/24/1996 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination | Series 63 | 08/01/1996 |
| IA Uniform Investment Adviser Law Examination | Series 65 | 07/24/1996 |

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 12/2001 - 09/2012 | J.P. TURNER & COMPANY, L.L.C. | 43177 | MOUNT PLEASANT, SC |
| B 04/2001 - 12/2001 | PRIME CHARTER LTD. | 25668 | NEW YORK, NY |
| B 01/2001 - 04/2001 | FIRST UNION SECURITIES FINANCIAL NETWORK, INC. | 11025 | ST. LOUIS, MO |
| B 10/1997 - 01/2001 | JWGENESIS SECURITIES, INC. | 33832 | BOCA RATON, FL |
| B 06/1996 - 11/1997 | PAINWEBBER INCORPORATED | 8174 | WEEHAWKEN, 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 |
|-------------------|-------------------------|----------------|--------------------|----------------------------------|
| 09/2012 - Present | ALEXANDER CAPITAL, L.P. | REGISTERED REP | Y | NEW YORK, NY, United States |
| 12/2001 - Present | JP TURNER AND COMPANY | BROKER | Y | STATEN ISLAND, 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.

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.
 -
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.
 -
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 |
| Criminal | 0 | 1 | 0 |
| Customer Dispute | 0 | 1 | N/A |
| 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: | 06/30/2008 |
| Docket/Case Number: | E072003011204 |
| Employing firm when activity occurred which led to the regulatory action: | J.P. TURNER & COMPANY, LLC. |
| Product Type: | Mutual Fund |
| Allegations: | SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10B-5 THEREUNDER; NASD RULES 2110, 2120, 2310, 2860(B)(19) AND INTERPRETIVE MATERIAL 2310-2: RESPONDENT ENGAGED IN A PRIVATE PLACEMENT OFFERING OF INTEREST IN A HEDGE FUND THROUGH MEANS OF AN OFFERING MEMORANDUM THAT WAS FALSE AND MISLEADING. DEFELICE ENGAGED IN HIGHLY AGGRESSIVE SHORT-TERM TRADING IN THE HEDGE FUND ACCOUNT THAT WAS UNSUITABLE, EXCESSIVE AND INCONSISTENT WITH THE DISCLOSURES IN THE FUND OFFERING MEMORANDUM. BY EFFECTING THE HIGHLY AGGRESSIVE SHORT-TERM TRADING STRATEGY DEFELICE ACTED WITH INTENT TO DEFRAUD OR WITH RECKLESS DISREGARD FOR THE CUSTOMER'S BEST INTERESTS, |



FOR THE PURPOSE OF GENERATING COMMISSIONS. DEFELICE, IN CONNECTION WITH THE PURCHASE OR SALE OF SECURITIES, DIRECTLY OR INDIRECTLY, BY THE USE OF THE MEANS OR INSTRUMENTALITIES OF INTERSTATE COMMERCE, OR OF THE MAILES, OR OF ANY FACILITY OF ANY NATIONAL SECURITIES EXCHANGE, KNOWINGLY OR RECKLESSLY EMPLOYED DEVICES, SCHEME OR ARTIFICES TO DEFRAUD; MADE UNTRUE STATEMENTS OF MATERIAL FACTS OR OMITTED TO STATE MATERIAL FACTS NECESSARY IN ORDER TO MAKE THE STATEMENTS MADE, IN THE LIGHT OF THE CIRCUMSTANCES UNDER WHICH THEY WERE MADE, NOT MISLEADING; ENGAGED IN ACTS, PRACTICES, OR COURSES OF BUSINESS WHICH OPERATED, OR WOULD OPERATE, AS A FRAUD OR DECEIT UPON ANY PERSON; OR EFFECTED TRANSACTIONS IN, OR INDUCED THE PURCHASE OR SALE OF, ANY SECURITY BY MEANS OF ANY MANIPULATIVE, DECEPTIVE OR OTHER FRAUDULENT DEVICE OR CONTRIVANCE. THE TRADING EFFECTED BY RESPONDENT IN THE FUND ACCOUNT CONSTITUTES CHURNING.

| | |
|---|---|
| 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? | Yes |
| Resolution Date: | 05/29/2009 |
| Sanctions Ordered: | Civil and Administrative Penalty(ies)/Fine(s) Disgorgement 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? | Yes |



(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?

Yes

(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

No



(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?

No

Sanction 1 of 1

| | |
|-----------------------------|----------------|
| Sanction Type: | Suspension |
| Capacities Affected: | ALL CAPACITIES |
| Duration: | TWO MONTHS |
| Start Date: | 06/29/2009 |
| End Date: | 08/28/2009 |

Monetary Sanction 1 of 2

| | |
|---|--------------|
| Monetary Related Sanction: | Disgorgement |
| Total Amount: | \$50,550.00 |
| Portion Levied against individual: | \$50,550.00 |

Payment Plan:

| | |
|---|------------|
| Is Payment Plan Current: | Yes |
| Date Paid by individual: | 08/25/2009 |
| Was any portion of penalty waived? | No |

Amount Waived:

Monetary Sanction 2 of 2



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

Total Amount: \$20,000.00

Portion Levied against individual: \$20,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 08/25/2009

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, DEFELICE CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$70,550 (\$50,550 OF WHICH IS PARTIAL DISGORGEMENT OF COMMISSIONS) AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE SUSPENSION IS IN EFFECT FROM JUNE 29, 2009, THROUGH AUGUST 28, 2009.

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 06/30/2008

Docket/Case Number: E072003011204

Employing firm when activity occurred which led to the regulatory action: J.P. TURNER & COMPANY LLC

Product Type: Mutual Fund

Allegations: SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10B-5 THEREUNDER; NASD RULES 2110, 2120, 2310, 2860(B)(19) AND INTERPRETIVE MATERIAL 2310-2: RESPONDENT ENGAGED IN A PRIVATE PLACEMENT OFFERING OF INTEREST IN A HEDGE FUND THROUGH MEANS OF AN OFFERING MEMORANDUM THAT WAS FALSE AND MISLEADING. DEFELICE ENGAGED IN HIGHLY AGGRESSIVE SHORT-TERM TRADING IN



THE HEDGE FUND ACCOUNT THAT WAS UNSUITABLE, EXCESSIVE AND INCONSISTENT WITH THE DISCLOSURES IN THE FUND OFFERING MEMORANDUM. BY EFFECTING THE HIGHLY AGGRESSIVE SHORT-TERM TRADING STRATEGY DEFELICE ACTED WITH INTENT TO DEFRAUD OR WITH RECKLESS DISREGARD FOR THE CUSTOMER'S BEST INTERESTS, FOR THE PURPOSE OF GENERATING COMMISSIONS. DEFELICE, IN CONNECTION WITH THE PURCHASE OR SALE OF SECURITIES, DIRECTLY OR INDIRECTLY, BY THE USE OF THE MEANS OR INSTRUMENTALITIES OF INTERSTATE COMMERCE, OR OF THE MAILES, OR OF ANY FACILITY OF ANY NATIONAL SECURITIES EXCHANGE, KNOWINGLY OR RECKLESSLY EMPLOYED DEVICES, SCHEME OR ARTIFICES TO DEFRAUD; MADE UNTRUE STATEMENTS OF MATERIAL FACTS OR OMITTED TO STATE MATERIAL FACTS NECESSARY IN ORDER TO MAKE THE STATEMENTS MADE, IN THE LIGHT OF THE CIRCUMSTANCES UNDER WHICH THEY WERE MADE, NOT MISLEADING; ENGAGED IN ACTS, PRACTICES, OR COURSES OF BUSINESS WHICH OPERATED, OR WOULD OPERATE, AS A FRAUD OR DECEIT UPON ANY PERSON; OR EFFECTED TRANSACTIONS IN, OR INDUCED THE PURCHASE OR SALE OF, ANY SECURITY BY MEANS OF ANY MANIPULATIVE, DECEPTIVE OR OTHER FRAUDULENT DEVICE OR CONTRIVANCE. THE TRADING EFFECTED BY RESPONDENT IN THE FUND ACCOUNT CONSTITUTES CHURNING.

| | |
|---|---|
| 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? | Yes |
| Resolution Date: | 06/04/2009 |
| Sanctions Ordered: | Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Suspension |
| Sanction 1 of 1 | |
| Sanction Type: | Suspension |
| Capacities Affected: | ALL CAPACITIES |
| Duration: | TWO MONTHS |
| Start Date: | 06/29/2009 |
| End Date: | 08/28/2009 |

**Monetary Sanction 1 of 2****Monetary Related Sanction:** Disgorgement**Total Amount:** \$50,550.00**Portion Levied against individual:** \$50,550.00**Payment Plan:****Is Payment Plan Current:** Yes**Date Paid by individual:** 08/25/2009**Was any portion of penalty waived?** No**Amount Waived:****Monetary Sanction 2 of 2****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$20,000.00**Portion Levied against individual:** \$20,000.00**Payment Plan:****Is Payment Plan Current:** Yes**Date Paid by individual:** 08/25/2009**Was any portion of penalty waived?** No**Amount Waived:**



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source: Broker

Charge Date: 01/01/1996

Current Status: Final

Status Date: 09/20/1996

Broker Statement ON JANUARY 1, 1996, THE ACCUSED GAVE FALSE INFORMATION TO OFFICER [THIRD PARTY], WITH THE INTENT TO MISLEAD THE OFFICER AS TO HIS IDENTITY, CONTRARY TO THE LAWS OF THE STATE OF GEORGIA. HE TOLD THE POLICE OFFICER A FALSE NAME AND BIRTHDATE. AN ORDER OF NOLLE PROSEQUI WAS ISSUED AND THE CASE WAS DISMISSED ON SEPTEMBER 20, 1996.



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PAINEWEBBER INCORPORATED

Allegations: Alleges unauthorized trades from 8/1/97-10/20/97. Damages & product unspecified.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/28/1997

Complaint Pending? No

Status: Settled

Status Date: 11/06/1997

Settlement Amount: \$1,300.00

Individual Contribution Amount:

Firm Statement PaineWebber settled this claim for \$1300. Client relations.
Contact: Warren Sutnick (201) 902-6144

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PAINEWEBBER INCORPORATED

Allegations: ALLEGED UNAUTHORIZED TRADES FORM 8/1/97-10/20/97

Product Type:

Alleged Damages:

**Customer Complaint Information**

Date Complaint Received: 10/28/1997

Complaint Pending? No

Status: Settled

Status Date: 11/06/1997

Settlement Amount: \$1,300.00

**Individual Contribution
Amount:**

Broker Statement

PAINE WEBBER SETTLED THIS CLAIM FOR 1,300
THERE WAS NO MERIT TO THIS COMPLAINT. THE
INDIVIUDAL AND MYSEFL AGREED ON CERTAIN STOCKS AND SPECIFIC
PRIZES AND THOSE TRADES WERE EXECUTED. THE NYSE INQUIRED INTO
THIS MATTER AND THEY FOUND NO WRONGDOING ON MY PART. THE
CASE
WAS CLOSED.



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: J.P. TURNER & COMPANY, LLC
Termination Type: Discharged
Termination Date: 09/26/2012
Allegations: FAILURE TO FOLLOW FIRM INSTRUCTIONS CONCERNING SHORT SALE WITHOUT PERMISSION.
Product Type: Equity Listed (Common & Preferred Stock)

Reporting Source: Broker
Employer Name: J.P. TURNER & COMPANY LLC
Termination Type: Discharged
Termination Date: 09/26/2012
Allegations: FAILURE TO FOLLOW INSTRUCTIONS IN REGARD TO A A SHORT SALE
Product Type: Equity Listed (Common & Preferred Stock)

End of Report



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