

BrokerCheck Report

JOSEPH OMAR GEBRON

CRD# 2764264

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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:
 - o 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
 - o 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.



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)

Thank you for using FINRA BrokerCheck.

JOSEPH O. GEBRON

CRD# 2764264

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

- B SW FINANCIAL**
 40 WALL ST
 NEW YORK, NY 10005
 CRD# 145012
 Registered with this firm since: 12/10/2019

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
- 14 U.S. states and territories

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 WORDEN CAPITAL MANAGEMENT LLC**
 CRD# 148366
 New York, NY
 08/2017 - 12/2019
- B BENJAMIN & JEROLD BROKERAGE I, LLC**
 CRD# 29110
 NEW YORK, NY
 09/2016 - 08/2017
- B MEYERS ASSOCIATES, L.P.**
 CRD# 34171
 NEW YORK, NY
 03/2014 - 09/2016

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
Criminal	1
Customer Dispute	7
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 14 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SW FINANCIAL**

Main Office Address: **1295 WALT WHITMAN RD.
SUITE A
MELVILLE, NY 11747**

Firm CRD#: **145012**

SRO	Category	Status	Date
B FINRA	General Securities Representative	APPROVED	12/10/2019

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	APPROVED	02/06/2020
B Arizona	Agent	APPROVED	02/19/2020
B California	Agent	APPROVED	01/10/2020
B District of Columbia	Agent	APPROVED	01/10/2020
B Iowa	Agent	APPROVED	01/14/2020
B Kansas	Agent	APPROVED	02/19/2020
B Mississippi	Agent	APPROVED	07/27/2020
B Nevada	Agent	APPROVED	08/18/2020
B New Jersey	Agent	APPROVED	01/10/2020
B New York	Agent	APPROVED	12/10/2019
B Oklahoma	Agent	APPROVED	07/28/2020
B Pennsylvania	Agent	APPROVED	07/24/2020



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B South Carolina	Agent	APPROVED	02/26/2020
B Washington	Agent	APPROVED	02/07/2020

Branch Office Locations

SW FINANCIAL
40 WALL ST
NEW YORK, NY 10005



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	07/21/1998

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/11/1998

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 08/2017 - 12/2019	WORDEN CAPITAL MANAGEMENT LLC	148366	New York, NY
B 09/2016 - 08/2017	BENJAMIN & JEROLD BROKERAGE I, LLC	29110	NEW YORK, NY
B 03/2014 - 09/2016	MEYERS ASSOCIATES, L.P.	34171	NEW YORK, NY
B 09/2009 - 03/2014	NATIONAL SECURITIES CORPORATION	7569	EDISON, NJ
B 12/2008 - 08/2009	BROOKSTONE SECURITIES, INC.	13366	NEW YORK, NY
B 06/2008 - 11/2008	CARLTON CAPITAL INC.	42533	NEW YORK, NY
B 12/2005 - 06/2008	MERCER CAPITAL LTD.	104012	NEW YORK, NY
B 06/2005 - 01/2006	PRESTIGE FINANCIAL CENTER, INC.	30407	NEW YORK, NY
B 01/2004 - 07/2005	CLAYTON, DUNNING & COMPANY INC.	42533	NEW YORK, NY
B 07/2002 - 01/2004	PARK CAPITAL SECURITIES, LLC	104206	NEW YORK, NY
B 02/2002 - 07/2002	PLATINUM INVESTMENT CORP.	107211	ROCHESTER, NY
B 05/2000 - 03/2001	LLOYD, SCOTT & VALENTI, LTD.	23640	AUSTIN, TX
B 02/1999 - 05/2000	SEABOARD SECURITIES, INC.	755	FLORHAM PARK, NJ
B 12/1998 - 01/1999	SEABOARD SECURITIES, INC.	755	
B 09/1998 - 01/1999	PACIFIC CONTINENTAL SECURITIES CORPORATION	2398	BEVERLY HILLS, CA

Employment History



Registration and Employment History

Employment History, continued

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
12/2019 - Present	SW FINANCIAL	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
08/2017 - 12/2019	WORDEN CAPITAL MANAGEMENT LLC	REGISTERED REPRESENTATIVE	Y	New York, NY, United States
09/2016 - 08/2017	Benjamin & Jerold Brokerage I, LLC	Registered Representative	Y	New York, NY, United States
03/2014 - 09/2016	MEYERS ASSOCIATES LP	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
08/2009 - 03/2014	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	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.

Open Field Consulting Group (OGCG) , 7 Navy Pier Ct, Suite 5038, Staten Island NY 10304, real estate consulting, residential and commercial. 30 hours/month, none during trading hours. Non-Investment related. Start June, 2017



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Criminal	1	0	0
Customer Dispute	1	6	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.

Criminal - Pending Charge

This type of disclosure event involves a formal charge for a crime involving a felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently pending.

Disclosure 1 of 1

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	KINGS COUNTY CRIMINAL COURT
Location of Court:	120 Schermerhorn St, Brooklyn, NY 11201
Docket/Case #:	20410V-2019
Charge Date:	10/01/2019
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Criminal Contempt- 1st degree: Violation Order of Protection
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	not guilty
Disposition of charge:	Deferred Adjudication
Current Status:	Pending
Status Date:	
Broker Statement	Next court date 2/13/2020. Charges will be reduced to misdemeanors.



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:	MERCER CAPITAL LTD
Allegations:	NEGLIGENCE,MISREPRESENTATION,BREACH OF CONTRACT
Product Type:	Promissory Note Other: PRIVATE PLACEMENTS
Alleged Damages:	\$909,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-03062
Date Notice/Process Served:	09/13/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/24/2013
Monetary Compensation Amount:	\$20,000.00
Individual Contribution Amount:	\$20,000.00

Disclosure 2 of 6

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORPORATION
Allegations:	NEGLIGENCE,BREACH OF FIDUCIARY DUTY,AND BREACH OF CONTRACT.
Product Type:	Equity-OTC



Alleged Damages: \$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 12-00449

Date Notice/Process Served: 02/17/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/01/2013

Monetary Compensation Amount: \$47,500.00

Individual Contribution Amount: \$20,000.00

Disclosure 3 of 6

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERCER CAPITAL LTD

Allegations: UNSUITABLE RECOMMENDATIONS, VIOLATION OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENCE.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$200,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-02216

Date Notice/Process Served: 05/31/2011

Arbitration Pending? No

Disposition: Settled



Disposition Date: 08/05/2012
Monetary Compensation Amount: \$45,000.00
Individual Contribution Amount: \$45,000.00

Disclosure 4 of 6

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: MERCER CAPITAL LTD
Allegations: MISREPRESENTATION, OMISSION OF MATERIAL FACTS, NEGLIGENCE
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$62,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #10-00059](#)
Date Notice/Process Served: 01/05/2010
Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/14/2011
Disposition Detail: AT THE JULY 14, 2011 HEARING, CLAIMANT NOTIFIED THE ARBITRATOR THAT A SETTLEMENT HAD BEEN REACHED WITH GEBRON.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MERCER CAPITAL
Allegations: MISREPRESENTATION, OMISSIONS OF MATERIAL FACTS, FAILURE TO SUPERVISE, NEGLIGENCE, VIOLATIONS OF FAIR PRACTICE.
Product Type: Banking Products (other than CDs)
Alleged Damages: \$62,500.00



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-00059
Date Notice/Process Served:	01/05/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/11/2011
Monetary Compensation Amount:	\$9,500.00
Individual Contribution Amount:	\$9,500.00
Broker Statement	THE MATTER WAS SETTLED SOLEY FOR THE PURPOSE OF AVOIDING FURTHER COMPLICATIONS WITH MY BUSINESS AND THE EXPENSE OF LITIGATION, WITHOUT ANY ADMISSION OR FINDING OF WRONGDOING.

Disclosure 5 of 6

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MERCER CAPITAL LTD
Allegations:	SUITABILITY, NEGLIGENCE AND GROSS NEGLIGENCE, BREACH OF FIDUCIARY DUTY.
Product Type:	Other: PRIVATE PLACEMENT
Alleged Damages:	\$362,250.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	ARB#09-06536
Date Notice/Process Served:	11/20/2009
Arbitration Pending?	No



Disposition:	Settled
Disposition Date:	01/05/2011
Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	\$25,000.00
Broker Statement	PARALLEL TO THE SETTLEMENT, WE AGREED TO SETTLE THIS MATTER TO AVOID LITIGATION COSTS, WITHOUT ADMITTING ANY LIABILITY.

Disclosure 6 of 6

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MERCER CAPITAL,LTD
Allegations:	SALES PRACTICE
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$82,342.00
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
Docket/Case #:	08-01285
Filing date of arbitration/CFTC reparation or civil litigation:	05/02/2008

Customer Complaint Information

Date Complaint Received:	05/02/2008
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	05/02/2008



Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 08-01285

Date Notice/Process Served: 05/02/2008

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/04/2009

Monetary Compensation Amount: \$7,000.00

Individual Contribution Amount: \$7,000.00

Broker Statement CLAIMED 82342, ACTUAL LOSS AMOUNT 45,287, CLIENT SEEKS DAMAGES, CLIENT STATES BALANCED FUND WOULD HAVE EARNED THE DIFFERENCE BETWEEN ACTUAL AND CLAIMED



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:	MERCER CAPITAL LTD
Allegations:	UNAUTHORIZED TRADING,MISLEADING REPRESENTATIONS AND OMISSIONS
Product Type:	Other: PRIVATE PLACEMENT
Alleged Damages:	\$820,000.00

Civil Litigation Information

Type of Court:	COUNTY
Name of Court:	COURT OF COMMON PLEAS OF ALLEGHENY COUNTY, PENNSYLVANIA
Location of Court:	ALLEGHENY COUNTY, PENNSYLVANIA
Docket/Case #:	GD-13-000470
Date Notice/Process Served:	01/11/2013
Litigation Pending?	Yes



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:	Broker
Employer Name:	PACIFIC CONTINENTAL SECURITIES CORP
Termination Type:	Voluntary Resignation
Termination Date:	12/28/1998
Allegations:	INTERNAL INVESTIGATION ALLEGED REMOVAL OF FIRM PROPERTY AND REPAYMENT OF LOAN ARRANGEMENTS UPON TERMINATION.
Product Type:	No Product
Other Product Types:	
Broker Statement	PACIFIC CONTINENTAL MADE ALLEGATIONS TO ASSURE THAT LOAN REPAYMENT ARRANGEMENTS WERE MADE. ON 1/27/99 THE FIRM SUBMITTED AN AMENDED U-5 INDICATING DISPUTE WAS RESOLVED.

End of Report



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