

BrokerCheck Report

ROY JOSEPH FAILLA

CRD# 2786551

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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.

ROY J. FAILLA

CRD# 2786551

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

- B ALEXANDER CAPITAL, L.P.**
 5379 ARTHUR KILL ROAD, Suite 2
 Staten Island, NY 10307
 CRD# 40077
 Registered with this firm since: 12/05/2024

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:**

- 2 Self-Regulatory Organizations
- 20 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 ALEXANDER CAPITAL, L.P.**
 CRD# 40077
 STATEN ISLAND, NY
 04/2024 - 11/2024
- B ARIVE CAPITAL MARKETS**
 CRD# 8060
 Staten Island, NY
 09/2019 - 04/2024
- B FIRST STANDARD FINANCIAL COMPANY LLC**
 CRD# 168340
 RED BANK, NJ
 10/2014 - 09/2019

**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	3



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 2 SROs and is licensed in 20 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	Corporate Securities Represent	Approved	12/06/2024
B	Nasdaq Stock Market	Corporate Securities Represent	Approved	12/05/2024

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/06/2025
B	California	Agent	Approved	12/10/2024
B	Delaware	Agent	Approved	06/02/2025
B	Florida	Agent	Approved	12/09/2024
B	Georgia	Agent	Approved	01/03/2025
B	Indiana	Agent	Approved	12/10/2024
B	Louisiana	Agent	Approved	03/19/2025
B	Maryland	Agent	Approved	02/21/2025
B	Michigan	Agent	Approved	01/22/2025
B	Nevada	Agent	Approved	01/08/2025
B	New Jersey	Agent	Restricted Approval	12/06/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	12/09/2024
B	North Carolina	Agent	Approved	02/11/2025
B	Ohio	Agent	Approved	01/31/2025
B	Oregon	Agent	Approved	03/18/2025
B	Pennsylvania	Agent	Approved	12/09/2024
B	South Carolina	Agent	Approved	12/09/2024
B	Texas	Agent	Approved	12/06/2024
B	Utah	Agent	Approved	02/03/2025
B	Wyoming	Agent	Approved	01/06/2025

Branch Office Locations

ALEXANDER CAPITAL, L.P.
 5379 ARTHUR KILL ROAD, Suite 2
 Staten Island, NY 10307



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 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 Corporate Securities Limited Representative Examination	Series 62	02/13/1998

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/13/1998

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 04/2024 - 11/2024	ALEXANDER CAPITAL, L.P.	40077	STATEN ISLAND, NY
B 09/2019 - 04/2024	ARIVE CAPITAL MARKETS	8060	Staten Island, NY
B 10/2014 - 09/2019	FIRST STANDARD FINANCIAL COMPANY LLC	168340	RED BANK, NJ
B 06/2012 - 10/2014	ALEXANDER CAPITAL, L.P.	40077	STATEN ISLAND, NY
B 10/2009 - 06/2012	BROOKSTONE SECURITIES, INC.	13366	STATEN ISLAND, NY
B 08/2006 - 11/2009	J.P. TURNER & COMPANY, L.L.C.	43177	STATEN ISLAND, NY
B 06/2004 - 08/2006	GUNNALLEN FINANCIAL, INC	17609	STATEN ISLAND, NY
B 10/2000 - 06/2004	JOSEPH STEVENS & COMPANY, INC.	35459	BROOKLYN, NY
B 12/1998 - 10/2000	LCP CAPITAL CORP.	14469	STATEN ISLAND, NY
B 05/1998 - 12/1998	SHAMROCK PARTNERS, LTD	23955	MEDIA, PA

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
12/2024 - Present	Alexander Capital, L.P.	Registered Representative	Y	Red Bank, NJ, United States
04/2024 - 11/2024	Alexander Capital, L.P.	Registered Representative	Y	Red Bank, NJ, United States
09/2019 - 04/2024	Arive Capital Markets	REGISTERED REPRESENTATIVE	Y	Brooklyn, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2014 - 09/2019	FIRST STANDARD FINANCIAL COMPANY, LLC	SENIOR VICE PRESIDENT OF INVESTMENTS	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.

- 1) ROSE 4 CORP, NON-INVESTMENT RELATED, FREEPORT-NY, ESTABLISHED JULY 2012 POSITION IS OWNER. THE CORPORATION WAS ESTABLISHED TO PAY BILLS RELATED TO MY BROKERAGE BUSINESS. THE CORPORATION OPERATE OUTSIDE MARKET HOURS AND I DEVOTE 2 HOURS PER MONTH. NO COMPENSATION.
- 2) Unified Wealth Management LLC, Holding Company, Non investment related - start date 06/2020. Partner. THE CORPORATION OPERATE OUTSIDE MARKET HOURS AND I DEVOTE 2 - 3 HOURS PER MONTH.
- 3) J&R Unified Co. LLC - Holding Company, Non investment related - start date 07/2020. Partner. THE CORPORATION OPERATE OUTSIDE MARKET HOURS AND I DEVOTE 2 - 3 HOURS PER MONTH
- 4) Ruff Corp- Non-investment related established to pay bills. Has been inactive since 2012. I Requested for corp to be closed in 2012 and it was never done. I have submitted again in 2022 to close the corp.
- 5) Ticket Monster Inc. -Non Investment related Ticket Reseller -Few hours a month outside market hours
- 6) GRAVESEND PRODUCTIONS - Non investment related - Approximate start date 10/15/

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	0	3	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:	New Jersey Bureau of Securities
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Undertaking
Date Initiated:	01/04/2021
Docket/Case Number:	N/A
URL for Regulatory Action:	https://www.njconsumeraffairs.gov/Actions/Failla_ConsentOrder_4Jan2021.pdf
Employing firm when activity occurred which led to the regulatory action:	First Standard Financial Company LLC (CRD No. 168340)
Product Type:	Debt-Corporate
Allegations:	FAILLA ENGAGED IN DISHONEST OR UNETHICAL PRACTICES IN THE SECURITIES BUSINESS.
Current Status:	Final
Resolution:	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:	01/04/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Undertaking Other: During the pendency of the suspension, Failla is denied all exemptions contained in N.J.S.A. 49:3-501 subsection (a), paragraph 9, 10, 11, and subsection (b). During the pendency of the suspension, Failla is denied all exemptions to the registration requirements provided by N.J.S.A. 49:3-56(b), N.J.S.A. 49:3-56(c), and N.J.S.A. 49:3-56(g).
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All
Duration:	45 Days
Start Date:	01/05/2021
End Date:	02/19/2021
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00
Portion Levied against individual:	\$15,000.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	01/11/2021
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Failla engaged in dishonest or unethical practices in the securities business by inducing trading in his clients' accounts that was excessive in size and frequency



in view of the financial resources and character of the accounts.

Reporting Source:	Broker
Regulatory Action Initiated By:	New Jersey Bureau of Securities
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Undertaking
Date Initiated:	01/04/2021
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	First Standard Financial Company LLC (CRD 168340)
Product Type:	Debt-Corporate
Allegations:	Failla engaged in dishonest or unethical practices in the securities business.
Current Status:	Final
Resolution:	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:	01/04/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Undertaking Other: During the pendency of the suspension, Failla is denied all exemptions contained in N.J.S.A. 49:3-501 subsection (a), paragraph 9, 10, 11, and subsection (b). During the pendency of the suspension, Failla is denied all exemptions to the registration requirements provided by N.J.S.A. 49:3-56(b), N.J.S.A. 49:3-56(c), and N.J.S.A. 49:3-56(g).
Sanction 1 of 1	
Sanction Type:	Suspension



Capacities Affected: All

Duration: 45 Days

Start Date: 01/04/2021

End Date: 02/19/2021

Monetary Sanction 1 of 1

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

Total Amount: \$15,000.00

Portion Levied against individual: \$15,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 01/11/2021

Was any portion of penalty waived? No

Amount Waived:



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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ALEXANDER CAPITAL, L.P., & FIRST STANDARD FINANCIAL
Allegations:	CLIENT IS ALLEGING UNAUTHORIZED TRADING AND UNSUITABLE INVESTMENTS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$1,500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-01980
Date Notice/Process Served:	05/29/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/07/2019
Monetary Compensation Amount:	\$200,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	First Standard Financial is not aware of the status of this arbitration as it pertains to Alexander Capital, L.P. Settlement executed on 5/27/19, Registered Representative had no required contribution.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ALEXANDER CAPITAL, L.P., & FIRST STANDARD FINANCIAL



Allegations: CLIENT IS ALLEGING UNAUTHORIZED TRADING AND UNSUITABLE INVESTMENTS.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,500,000.00

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 #: 18-01980

Filing date of arbitration/CFTC reparation or civil litigation: 05/24/2018

Customer Complaint Information

Date Complaint Received: 05/29/2018

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 05/29/2018

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 18-01980

Date Notice/Process Served: 05/29/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/29/2019



Monetary Compensation Amount:	\$200,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Mr. Failla was dismissed with prejudice.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	CHURNING, UNSUITABLE TRADES AND MISREPRESENTATION.
Product Type:	No Product
Alleged Damages:	\$417,000.00
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 #:	CASE NUMBER 10-02259
Filing date of arbitration/CFTC reparation or civil litigation:	05/05/2010

Customer Complaint Information

Date Complaint Received:	05/25/2010
Complaint Pending?	No
Status:	Settled
Status Date:	03/31/2011
Settlement Amount:	\$40,000.00
Individual Contribution Amount:	\$20,000.00



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY, LLC

Allegations: CHURNING, UNSUITABLE TRADES AND MISREPRESENTATION

Product Type: No Product

Alleged Damages: \$417,000.00

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 #: CASE NUMBER 10-02259

Filing date of arbitration/CFTC reparation or civil litigation: 05/05/2010

Customer Complaint Information

Date Complaint Received: 05/25/2010

Complaint Pending? No

Status: Settled

Status Date: 03/31/2011

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$20,000.00

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC



Allegations: EXCESSIVE AND UNAUTHORIZED TRADING, FRAUD, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND UNSUITABILITY.

Product Type: Equity-OTC

Alleged Damages: \$299,817.48

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: 02/19/2010

Complaint Pending? No

Status: Settled

Status Date: 03/18/2010

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$25,000.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY, LLC

Allegations: EXCESSIVE AND UNAUTHORIZED TRADING, FRAUD, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND UNSUITABILITY

Product Type: Equity-OTC

Alleged Damages: \$299,817.48

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: 02/19/2010



Complaint Pending?	No
Status:	Settled
Status Date:	03/18/2010
Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$25,000.00

End of Report



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