

BrokerCheck Report

DAVID MITCHELL HALPERIN

CRD# 2938987

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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:
 - 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.

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.

DAVID M. HALPERIN

CRD# 2938987

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

- B** **R. F. LAFFERTY & CO., INC.**
 40 WALL STREET
 SUITE 3602
 NEW YORK, NY 10005
 CRD# 2498
 Registered with this firm since: 04/05/2019

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:**

- 2 Self-Regulatory Organizations
- 6 U.S. states and territories

This broker has passed:

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

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

- B** **AEON CAPITAL INC**
 CRD# 164004
 Westport, CT
 02/2018 - 04/2019
- B** **GAR WOOD SECURITIES, LLC**
 CRD# 138033
 Westport, CT
 05/2016 - 02/2018
- B** **TRANSCEND CAPITAL**
 CRD# 104483
 WESTPORT, CT
 02/2011 - 06/2016

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
Customer Dispute	2

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 2 SROs and is licensed in 6 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **R. F. LAFFERTY & CO., INC.**

Main Office Address: **40 WALL STREET
SUITE 3602
NEW YORK, NY 10005**

Firm CRD#: **2498**

	SRO	Category	Status	Date
B	FINRA	Corporate Securities Represent	Approved	04/05/2019
B	FINRA	General Securities Principal	Approved	04/05/2019
B	FINRA	General Securities Representative	Approved	04/05/2019
B	FINRA	Securities Trader	Approved	04/05/2019
B	Nasdaq Stock Market	Corporate Securities Represent	Approved	04/05/2019
B	Nasdaq Stock Market	General Securities Principal	Approved	04/05/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	04/05/2019
B	Nasdaq Stock Market	Securities Trader	Approved	04/05/2019

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	09/26/2023
B	Connecticut	Agent	Approved	01/14/2022
B	Florida	Agent	Approved	10/05/2021
B	Maryland	Agent	Approved	06/05/2024
B	New York	Agent	Approved	04/05/2019

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory		Category	Status	Date
B	Wyoming	Agent	Approved	03/20/2025

Branch Office Locations

R. F. LAFFERTY & CO., INC.
40 WALL STREET
SUITE 3602
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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	08/16/2000

General Industry/Product Exams

Exam	Category	Date
B Securities Trader Exam	Series 57TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/04/2003
B Limited Representative-Equity Trader Exam	Series 55	12/20/1999
B Corporate Securities Limited Representative Examination	Series 62	10/27/1997

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/02/2000

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 02/2018 - 04/2019	AEON CAPITAL INC	164004	Westport, CT
B 05/2016 - 02/2018	GAR WOOD SECURITIES, LLC	138033	Westport, CT
B 02/2011 - 06/2016	TRANSCEND CAPITAL	104483	WESTPORT, CT
B 05/2009 - 02/2011	PCS DUNBAR SECURITIES, LLC	128144	WESTPORT, CT
B 10/2006 - 04/2009	GLB TRADING, INC	125363	WESTPORT, CT
B 03/2003 - 11/2005	ELECTRONIC TRADING GROUP, LLC	37453	WESTPORT, CT
B 07/2002 - 01/2003	COMPLETE TRADE	104042	AUSTIN, TX
B 10/2001 - 06/2002	TRINIX SECURITIES LLC	103360	ENCINITAS, CA
B 10/2000 - 10/2001	ON-SITE TRADING, INC.	30271	GREAT NECK, NY
B 04/2000 - 10/2000	ETG, L.L.C.	37453	NEW YORK, NY
B 10/1997 - 05/2000	ON-SITE TRADING, INC.	30271	GREAT NECK, NY

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
04/2019 - Present	R F Lafferty & Co Inc	Registered Rep	Y	New York, NY, United States
02/2018 - 04/2019	Aeon Capital	Reg Rep	Y	Middletown, NJ, United States
05/2016 - 02/2018	Gar Wood Securities, LLC	Associated Person	Y	Chicago, IL, United States
02/2011 - 06/2016	TRANSCEND CAPITAL, LLC	OPERATIONS	Y	AUSTIN, TX, 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.

PRESIDENT OF CT TRADE, LLC, , 1720 POST ROAD EAST, WESTPORT, CT 06880, STARTED 6/00. 1 HOURS A WEEK OUTSIDE OF TRADING HOURS. USED FOR BILLING, NON INVESTMENT RELATED, HOLDS OFFICE LEASE.

Strategies for Wealth Creation Rye NY - selling insurance products. 1 hour per week.

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
Customer Dispute	0	2	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.

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: Gar Wood Securities, LLC

Allegations: Client alleges that a registered representative of firm, David Halperin, presented her with an opportunity to invest with an unregistered investment manager and presented the investment manager as being a highly successful individual who supervised and trained many individuals with his proprietary and swing trading techniques. Client alleges she was induced to invest through Mr. Halperin's distribution of materials which represented the investment manager managed over \$10 million and had an annualized return of 312.26%.

Additionally, client alleges that Mr. Halperin transacted business with his customers using both a Gmail account as well as his firm issued email account.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$150,000.00

Alleged Damages Amount Explanation (if amount not exact): client claims account loss of approximately \$150,000 and also seeks relief for compensatory and punitive damages, pre-judgment interest, attorneys' fees and costs along with filing and forum fees incurred.

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 Dispute Resolution

Docket/Case #: 18-01890

Filing date of arbitration/CFTC reparation or civil litigation: 05/17/2018

Customer Complaint Information

Date Complaint Received: 05/17/2018

Complaint Pending? No

Status: Settled

Status Date: 03/27/2019

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Gar Wood Securities, llc

Allegations: Client alleges that a registered representative of firm, David Halperin, presented her with an opportunity to invest with an unregistered investment manager and presented the investment manager as being a highly successful individual who supervised and trained many individuals with his proprietary and swing trading techniques. Client alleges she was induced to invest through Mr. Halperin's distribution of materials which represented the investment manager managed over \$10 million and had an annualized return of 312.26%. Additionally, client alleges that Mr. Halperin transacted business with his customers using both a Gmail account as well as his firm issued email account.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$150,000.00



Alleged Damages Amount Explanation (if amount not exact): Client claims account loss of approximately \$150,000 and also seeks relief for compensatory and punitive damages, pre-judgment interest , attorneys' fees and costs along with filing and forum fees incurred.

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 Dispute Resolution

Docket/Case #: 18-01890

Filing date of arbitration/CFTC reparation or civil litigation: 05/17/2018

Customer Complaint Information

Date Complaint Received: 05/17/2018

Complaint Pending? No

Status: Settled

Status Date: 03/27/2019

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$0.00



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

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a 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, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Gar Wood Securities, LLC
Allegations:	Client alleged that David Halperin, a former registered representative of Gar Wood Securities, presented them with an opportunity to invest in an investment program through an unregistered investment manager and presented the investment manager as being a highly successful individual who "supervised and trained many individuals with his swing trading techniques". As a result, client suffered damages.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$216,732.00
Alleged Damages Amount Explanation (if amount not exact):	claimant did not provide a specific amount lost. Damage amount indicated represents the approximate loss in account value when closed.
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 Dispute Resolution
Docket/Case #:	18-03827
Filing date of arbitration/CFTC reparation or civil litigation:	11/05/2018

Customer Complaint Information

Date Complaint Received:	11/14/2018
Complaint Pending?	No



Status: Withdrawn

Status Date: 01/08/2019

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Gar Wood Securities llc

Allegations: Client alleged that David Halperin, a former registered representative of Gar Wood Securities, presented them with an opportunity to invest in an investment program through an unregistered investment manager and presented the investment manager as being a highly successful individual who "supervised and trained many individuals with his swing trading techniques". As a result, client suffered damages.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$216,732.00

Alleged Damages Amount Explanation (if amount not exact): Claimant did not provide a specific amount lost. Damage amount indicated represents the approximate loss in account value when closed.

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 Dispute Resolution

Docket/Case #: 18-03827

Filing date of arbitration/CFTC reparation or civil litigation: 11/05/2018



Customer Complaint Information

Date Complaint Received: 11/14/2018

Complaint Pending? No

Status: Withdrawn

Status Date: 01/08/2019

Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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