

BrokerCheck Report

BENJAMIN JOSEF HARELICK

CRD# 3063646

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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.

**BENJAMIN J. HARELICK**

CRD# 3063646

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

B WALL STREET ACCESS

One Maynard Drive
Suite 2201

Park Ridge, NJ 07656
CRD# 10012

Registered with this firm since: 04/27/2018

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:

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

This broker has passed:

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

Registration History

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

B TRADE MANAGE CAPITAL, INC.

CRD# 7263
SADDLE BROOK, NJ
11/2003 - 04/2018

B NEW ENGLAND SECURITIES

CRD# 615
NEW YORK, NY
09/2001 - 10/2003

B PUTNAM RETAIL MANAGEMENT LIMITED PARTNERSHIP

CRD# 7325
BOSTON, MA
09/1998 - 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	2
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 6 SROs and is licensed in 22 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WALL STREET ACCESS**

Main Office Address: **100 WALL STREET, SUITE 804
NEW YORK, NY 10005**

Firm CRD#: **10012**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/27/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	04/27/2018
B	NYSE American LLC	General Securities Representative	Approved	04/27/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/27/2018
B	Nasdaq BX, Inc.	General Securities Representative	Approved	04/27/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	04/27/2018
B	New York Stock Exchange	General Securities Representative	Approved	04/27/2018

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/27/2018
B	California	Agent	Approved	04/27/2018
B	Connecticut	Agent	Approved	04/27/2018
B	Florida	Agent	Approved	05/15/2018
B	Illinois	Agent	Approved	05/09/2018
B	Indiana	Agent	Approved	05/15/2018

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	04/27/2018
B	Massachusetts	Agent	Approved	05/22/2018
B	Michigan	Agent	Approved	04/27/2018
B	Minnesota	Agent	Approved	04/27/2018
B	Nebraska	Agent	Approved	04/27/2018
B	New Jersey	Agent	Approved	04/27/2018
B	New York	Agent	Approved	04/27/2018
B	North Carolina	Agent	Approved	04/27/2018
B	North Dakota	Agent	Approved	04/27/2018
B	Ohio	Agent	Approved	04/27/2018
B	Oregon	Agent	Approved	05/17/2018
B	Pennsylvania	Agent	Approved	04/27/2018
B	South Carolina	Agent	Approved	04/27/2018
B	Texas	Agent	Approved	04/27/2018
B	Virginia	Agent	Approved	04/30/2018
B	Washington	Agent	Approved	05/15/2018

Branch Office Locations

WALL STREET ACCESS

One Maynard Drive
Suite 2201
Park Ridge, NJ 07656



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, 3 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	01/06/2004
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/18/1998

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/25/1999

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 11/2003 - 04/2018	TRADE MANAGE CAPITAL, INC.	7263	SADDLE BROOK, NJ
B 09/2001 - 10/2003	NEW ENGLAND SECURITIES	615	NEW YORK, NY
B 09/1998 - 04/2001	PUTNAM RETAIL MANAGEMENT LIMITED PARTNERSHIP	7325	BOSTON, MA

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
04/2018 - Present	Wall Street Access	Sales	Y	New York, NY, United States
11/2003 - 04/2018	TRADE MANAGE CAPITAL, INC	SALES	Y	SADDLE BROOK, NJ, 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.

Windfields Farm, not investment related, 154 Windsor Bush Rd., Windsor, MA, Garlic & Christmas tree farm as well as a non-profit food bank called Windsor Grown, Owner / Steward, December 2023, A few hrs on the weekends, Responsible for the stewardship of the farm - planting, growing and harvesting of garlic and Christmas trees.

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	2	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	10/12/2005
Docket/Case Number:	0400520
Employing firm when activity occurred which led to the regulatory action:	TRADE MANAGE CAPITAL, INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	RESPONDENT'S REGISTRATION AS A SALESPERSON IS SUBJECTION TO REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE ILLINOIS SECURITIES LAW.
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: 01/12/2006

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered: WITHDRAWAL

Sanction Details: RESPONDENT WILL WITHDRAW HIS SALESPERSON REGISTRATION IN THE STATE OF ILLINOIS AND WILL NOT RE-APPLY FOR A PERIOD OF TWO YEARS. THE RESPONDENT WILL ALSO PAY FOR THE COST OF THE INVESTIGATION.

Regulator Statement NOTICE OF HEARING ISSUED AND THE SCHEDULED HEARING DATE IS FOR NOVEMBER 30, 2005. ANY QUESTIONS CALL CHERYL WEISS @ 312-793-3324. CONSENT ORDER OF WITHDRAWAL ISSUED, FINAL ORDER.

Reporting Source: Broker

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/12/2005

Docket/Case Number: 0400520

Employing firm when activity occurred which led to the regulatory action: TRADE MANAGE CAPITAL, INC.

Product Type: Other

Other Product Type(s): NOT LISTED ON U6

Allegations: RESPONDENTS REGISTRATION AS A SALESPERSON IS SUBJECTION TO REVOCATION PURSUANT TO SECTION 8 E(1)(J) OF THE ILLINOIS SECURITIES LAW.

Current Status: Final



Resolution:	Consent
Resolution Date:	01/12/2006
Sanctions Ordered:	Monetary/Fine \$1,500.00
Other Sanctions Ordered:	WITHDRAW
Sanction Details:	RESPONDENT WILL WITHDRAW HIS REGISTRATION IN THE STATE OF IL AND WILL NOT REAPPLY FOR A PERIOD OF 2 YEARS. THE RESPONDENT WILL ALSO PAY FOR THE COST OF THE INVESTIGATION.
Broker Statement	NOTICE OF HEARING ISSUED AND TEH SCHEDULED HEARING DATE IS FOR NOVEMBER 30, 2005. ANY QUESTIONS, CALL CHERYL WEISS @ 312-793-3324

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	07/22/2004
Docket/Case Number:	C11040029
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Insurance
Allegations:	NASD CONDUCT RULE 2110 - ON OR ABOUT SEPTEMBER 5, 2003, BENJAMIN J. HARELICK SIGNED A CUSTOMER'S SIGNATURE TO VARIOUS ANNUITY AND INSURANCE PRODUCT TRANSFER FORMS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 07/22/2004

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER FIRM IN ANY CAPACITY FOR THIRTY (30) CALENDAR DAYS AND FINED \$5,000. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 7, 2004, AND WILL CONCLUDE ON OCTOBER 6, 2004. FINES PAID.

Reporting Source: Broker

Regulatory Action Initiated By: NASD BOSTON OFFICE FROM HIS PRIOR EMPLOYMENT @ NEW ENGLAND

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 04/02/2004

Docket/Case Number: C11040029 AWC #

Employing firm when activity occurred which led to the regulatory action: NEW ENGLAND SECURITIES

Product Type: Insurance

Other Product Type(s): ANNUITIES

Allegations: ON OR ABOUT SEPT 2004, HARELICK SIGN A CUSTOMERS' SIGNATURE TO VARIOUS ANNUITY AND INSURANCE PRODUCT TRANSFER FORMS, BELIEVING HE HAD AUTHORITY TO DO SO. THE CONDUCT WAS IN VIOLATION OF NASD RULE 2210

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/21/2004

Sanctions Ordered: Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:



Sanction Details:

I SPOKE TO THE NASD.; THEY STATED THEY WOULD CONTACT ME PERSONALLY WHEN THEY DESIRED THE SUSPENSION TO BEGIN. I WAS TOLD IT WOULD AROUND THE 2ND OR 3RD WEEK OF AUGUST. WHEN NOTIFIED, HARELICK WILL BE IMMEDIATELY PLCAED ON SUSPENSION.

Broker Statement

THIS CASE OCCURRED AT HARELICK'S PRIOR FIRM AND YAMNER HAD NO PART IN THE EVENTS.



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: Broker

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: BROKER ADVISED US THAT.."AFTER MULTIPLE MEETINGS BETWEEN THE GROSSMAN'S (FORMER CLIENT), A SENIOR PLANNER, AND MYSELF, A COMPREHENSIVE FINANCIAL PLAN WAS COMPLETED. THE GROSSMAN'S DECIDED TO TRANSFER THEIR ASSETS TO NEW ENGLAND FINANCIAL. BECAUSE OF THE DOZENS OF FORMS NEEDED TO BE SIGNED TO TRANSFER THEIR ACCOUNTS, THE GROSSMAN'S SPECIFICALLY ASKED ME TO SIGN ON THEIR BEHALF ON CERTAIN PORTIONS OF THE TRANSFER FORMS, IN EACH INSTANCE THE FORMS WERE FILLED OUT WITH THEIR AUTHORIZATION, KNOWLEDGE, AND IN THEIR PRESENCE.

SUBSEQUENT MEETINGS WERE HELD BETWEEN MY SUPERVISOR AND THE GROSSMAN'S WHERE THE DECISION TO TRANSFER THE ASSETS WAS CONFIRMED. FOLLOWING THE TRANSFER OF ASSETS, THE GROSSMAN'S CHANGED THEIR MIND, AND ALLEGED I HAD SIGNED WITH OUT THEIR AUTHORIZATION.

AT ALL TIMES I WAS AUTHORIZED TO SIGN ON BEHALF OF THE GROSSMAN'S AND ENCOURAGED TO PROCESS THE PAPERWORK BY NEW ENGLAND FINANCIAL.

Product Type: Mutual Fund(s)

Other Product Type(s): INDIVIDUAL SECURITIES; VARIABLE ANNUITIES; LIFE INSURANCE

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 10/08/2003

Complaint Pending? No

Status: Closed/No Action



Status Date: 11/19/2003

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: Withdrawn

Disposition Date:

Broker Statement BROKER ADVISES " ALLEGATIONS AND BRIEF SUMMARY

AFTER MULTIPLE MEETINGS BETWEEN THE GROSSMAN'S (FORMER CLIENT), A SENIOR PLANNER, AND MYSELF, A COMPREHENSIVE FINANCIAL PLAN WAS COMPLETED. THE GROSSMAN'S DECIDED TO TRANSFER THEIR ASSETS TO NEW ENGLAND FINANCIAL. BECAUSE OF THE DOZENS OF FORMS NEEDED TO BE SIGNED TO TRANSFER THEIR ACCOUNTS, THE GROSSMAN'S SPECIFICALLY ASKED ME TO SIGN ON THEIR BEHALF ON CERTAIN PORTIONS OF THE TRANSFER FORMS, IN EACH INSTANCE THE FORMS WERE FILLED OUT WITH THEIR AUTHORIZATION, KNOWLEDGE, AND IN THEIR PRESENCE.

SUBSEQUENT MEETINGS WERE HELD BETWEEN MY SUPERVISOR AND THE GROSSMAN'S WHERE THE DECISION TO TRANSFER THE ASSETS WAS CONFIRMED. FOLLOWING THE TRANSFER OF ASSETS, THE GROSSMAN'S CHANGED THEIR MIND, AND ALLEGED I HAD SIGNED WITH OUT THEIR AUTHORIZATION.

AT ALL TIMES I WAS AUTHORIZED TO SIGN ON BEHALF OF THE GROSSMAN'S AND ENCOURAGED TO PROCESS THE PAPERWORK BY NEW ENGLAND FINANCIAL.

I WAS TERMINATED BASED ON THE ALLEGATIONS THAT I VIOLATED COMPANY POLICY.



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: NEW ENGLAND SECURITIES

Termination Type: Discharged

Termination Date: 10/14/2003

Allegations: PLEASE SEE REASON FOR TERMINATION.

Product Type: Annuity(ies) - Variable

Other Product Types: MUTUAL FUNDS

Firm Statement THE COMPANY RECEIVED A VERBAL CUSTOMER COMPLAINT ALLEGING THAT CERTAIN TRANSFERS TO THE COMPANY WERE NOT AUTHORIZED AND THAT THE SIGNATURE ON SOME OF THE TRANSFER FORMS DID NOT APPEAR TO BE GENUINE. AFTER BEING QUESTIONED BY A SUPERVISOR, THE REPRESENTATIVE STATED THAT HE SIGNED SOME FORMS FOR THE CUSTOMER, WITH THE CUSTOMER'S PERMISSION AND IN THE CUSTOMER'S PRESENCE.

Reporting Source: Broker

Employer Name: NEW ENGLAND SECURITIES

Termination Type: Discharged

Termination Date: 10/14/2003

Allegations: BROKER ADVISES: "CUSTOMER COMPLAINT

ALLEGATIONS AND BRIEF SUMMARY

AFTER MULTIPLE MEETINGS BETWEEN THE GROSSMAN'S (FORMER CLIENT), A SENIOR PLANNER, AND MYSELF, A COMPREHENSIVE FINANCIAL PLAN WAS COMPLETED. THE GROSSMAN'S DECIDED TO TRANSFER THEIR ASSETS TO NEW ENGLAND FINANCIAL. BECAUSE OF THE DOZENS OF FORMS NEEDED TO BE SIGNED TO TRANSFER THEIR ACCOUNTS, THE GROSSMAN'S SPECIFICALLY ASKED ME TO SIGN ON THEIR BEHALF ON CERTAIN PORTIONS OF THE TRANSFER FORMS, IN EACH INSTANCE THE FORMS WERE FILLED OUT WITH THEIR AUTHORIZATION, KNOWLEDGE,



AND IN THEIR PRESENCE.

SUBSEQUENT MEETINGS WERE HELD BETWEEN MY SUPERVISOR AND THE GROSSMAN'S WHERE THE DECISION TO TRANSFER THE ASSETS WAS CONFIRMED. FOLLOWING THE TRANSFER OF ASSETS, THE GROSSMAN'S CHANGED THEIR MIND, AND ALLEGED I HAD SIGNED WITH OUT THEIR AUTHORIZATION.

AT ALL TIMES I WAS AUTHORIZED TO SIGN ON BEHALF OF THE GROSSMAN'S AND ENCOURAGED TO PROCESS THE PAPERWORK BY NEW ENGLAND FINANCIAL.

I WAS TERMINATED BASED ON THE ALLEGATIONS THAT I VIOLATED COMPANY POLICY.

Product Type:

Mutual Fund(s)

Other Product Types:

VARIABLE ANNUITIES; OTHER; INDIVIDUAL SECURITIES;

Broker Statement

BROKER ADVISES "6. COMMENT – BOTH THE GROSSMAN'S AND MY SUPERVISORS AT NEW ENGLAND FINANCIAL AUTHORIZED MY ACTIONS AT ALL TIMES. THE GROSSMAN'S HAD TO ALLEGE THAT I SIGNED WITH OUT THEIR AUTHORIZATION IN ORDER TO BE PERMITTED TO CANCEL THE TRANSFER OF ASSETS. DESPITE THEIR PREVIOUS AUTHORIZATION OF MY ACTIONS, NEW ENGLAND FINANCIAL DECIDED TO TERMINATE ME AS THE 'FALL GUY'."

End of Report



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