BrokerCheck Report

SAM TE SU

CRD# 4232029

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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.
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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.

SAM T. SU

CRD# 4232029

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

IA **AEGIS CAPITAL CORP.**
580 California St
Suite 1200
San Francisco, CA 94104
CRD# 15007
Registered with this firm since: 09/15/2026

B **AEGIS CAPITAL CORP.**
580 California St
Suite 1200
San Francisco, CA 94104
CRD# 15007
Registered with this firm since: 09/15/2026

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:

- 3 Self-Regulatory Organizations
- 8 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 **AMERIPRISE FINANCIAL SERVICES, LLC**
CRD# 6363
San Francisco, CA
02/2025 - 09/2026

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
CRD# 6363
MINNEAPOLIS, MN
02/2025 - 09/2026

IA **MORGAN STANLEY**
CRD# 149777
PURCHASE, NY
09/2023 - 02/2025

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	1

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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 3 SROs and is licensed in 8 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**

Main Office Address: **1345 AVENUE OF THE AMERICAS**
27TH FLOOR
NEW YORK, NY 10105

Firm CRD#: **15007**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/15/2026
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/15/2026
B	Nasdaq Stock Market	General Securities Representative	Approved	09/15/2026

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	09/15/2026
IA	California	Investment Adviser Representative	Approved	09/16/2026
B	Colorado	Agent	Approved	09/15/2026
B	District of Columbia	Agent	Approved	09/15/2026
B	Idaho	Agent	Approved	10/02/2026
B	Nevada	Agent	Approved	09/15/2026
B	New York	Agent	Approved	09/15/2026
B	Oregon	Agent	Approved	09/15/2026
B	Texas	Agent	Approved	09/15/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	09/15/2026

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Broker Qualifications

Employment 1 of 1, continued

Branch Office Locations

AEGIS CAPITAL CORP.
580 California St
Suite 1200
San Francisco, CA 94104

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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	Futures Managed Funds Examination	Series 31	10/21/2002
B	General Securities Representative Examination	Series 7	09/14/2000

State Securities Law Exams

Exam		Category	Date
B IA	Uniform Combined State Law Examination	Series 66	11/10/2000

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	02/2025 - 09/2026	AMERIPRISE FINANCIAL SERVICES, LLC	6363	San Francisco, CA
IA	02/2025 - 09/2026	AMERIPRISE FINANCIAL SERVICES, LLC	6363	San Francisco, CA
B	09/2023 - 02/2025	MORGAN STANLEY	149777	San Francisco, CA
IA	09/2023 - 02/2025	MORGAN STANLEY	149777	San Francisco, CA
IA	12/2008 - 09/2023	UBS FINANCIAL SERVICES INC.	8174	SAN FRANCISCO, CA
B	11/2008 - 09/2023	UBS FINANCIAL SERVICES INC.	8174	SAN FRANCISCO, CA
B	05/2005 - 12/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN FRANCISCO, CA
IA	05/2005 - 12/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN FRANCISCO, CA
IA	09/2002 - 05/2005	MORGAN STANLEY	7556	FREMONT, CA
B	07/2002 - 05/2005	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
IA	11/2000 - 07/2002	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	OAKLAND, CA
B	09/2000 - 07/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, 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
09/2026 - Present	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE, IAR	Y	SAN FRANCISCO, CA, United States

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2025 - 08/2026	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Representative	Y	San Francsico, CA, United States
10/2023 - 02/2025	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
09/2023 - 02/2025	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	SAN FRANCISCO, CA, United States
11/2008 - 09/2023	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	SAN FRANCISCO, CA, 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.

DBA: SS M.A.R.S. Group LLC, 580 California St. Suite 1200 San Francisco, CA 94104 all securities, brokerage and investment advisory services are offered through Aegis Capital Corp.

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Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	1	0	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 - 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:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY
Allegations:	Claimant alleges, inter alia, that the investment strategy executed in the client's account was unsuitable - September 2023 to Dec 2024
Product Type:	Equity Listed (Common & Preferred Stock) Other: Non-Broker-Dealer Affiliate Product
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-00831
Date Notice/Process Served:	04/25/2025
Arbitration Pending?	Yes

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	Time frame: 2011-2023 Allegations: Claimant's Counsel alleges the client's account was not invested per her investment objectives and risk tolerance but concentrated in speculative and volatile investments with 80% in one single stock. Counsel further alleges that the FA engaged in inappropriate behavior and conduct towards the client.
Product Type:	Other: Equities
Alleged Damages:	$50,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	25-00831
Date Notice/Process Served:	04/25/2025
Arbitration Pending?	Yes

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC. & MORGAN STANLEY
Allegations:	Time frame: 2011-2023 Allegations: Claimant Counsel alleges the account was not invested per her investment objectives and risk tolerance but concentrated in speculative and volatile investments with 80% in one single stock. Counsel further alleges that the FA engaged in inappropriate behavior and conduct towards the client.
Product Type:	Other: Equities
Alleged Damages:	$50,000,000.00

Arbitration Information

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Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	25-00831
Date Notice/Process Served:	04/25/2025
Arbitration Pending?	Yes

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End of Report

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