



**BrokerCheck Report**

**JAMES BRUCE CASPER**

CRD# 42808

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, FINRA-registered securities brokers, and all current and former FINRA-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 <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.nasaa.org>.

- **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.**

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

## JAMES BRUCE CASPER

CRD# 42808

This individual is no longer registered with FINRA. The individual's registration with FINRA was terminated prior to August 1999 when the enhanced CRD system was implemented. As a result, since the individual was not required to update their CRD record via the submission of a Form U4 to CRD since August 1999, BrokerCheck contains only limited information about this individual.

### Report Summary for this Broker

The 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 not currently registered with a FINRA firm.

This broker has passed:

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

#### Registration History

This broker was previously registered with the following FINRA member firms:

##### THOMSON MCKINNON SECURITIES INC.

CRD# 829

NEW YORK NY

01/18/1978 to 12/16/1978

##### BIRR, WILSON & CO., INC.

CRD# 93

02/10/1977 to 10/25/1977

CRD# 3486

10/18/1973 to 08/19/1977

#### Disclosure of Regulatory Events

This section includes details regarding final regulatory events reported by or about this broker to CRD as part of the securities industry registration and licensing process.

Are there events disclosed about this broker? **Yes**

**The following type of disclosure was reported:**

Regulatory Event

## 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 passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 1 principal/supervisory exams, 2 general industry/product exams, and 0 state securities law exam.**

Exam Class	Exam Name	Category	Date
Principal/Supervisory Exams	Financial Principal Examination	Series F04	5/30/1974
General Industry/Product Exams	General Securities Registered Representative Exam	Series 00	3/21/1974
General Industry/Product Exams	Registered Representative Examination	Series 1	12/10/1971

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at <http://www.finra.org/Industry/Compliance/Registration/QualificationsExams/index.htm>.

## Registration History

This broker previously was registered with FINRA at the following firms:

Registration Dates	Firm Name	CRD #	Branch Location
01/18/1978 to 12/16/1978	THOMSON MCKINNON SECURITIES INC.	829	NEW YORK NY
02/10/1977 to 10/25/1977	BIRR, WILSON & CO., INC.	93	
10/18/1973 to 08/19/1977		3486	
03/29/1973 to 09/06/1973		6361	
09/01/1972 to 02/05/1973		822	
12/20/1971 to 09/30/1972		823	

## Disclosure of Regulatory Events

### What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:
  - As mentioned at the beginning of the report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated with reporting source labeled.

## Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

### Disclosure 1 of 2 ~ Entry 1 of 1

**Reporting Source:** Regulator

**Details:**

07-27-77 FILED #CA-649 NASD DISTRICT #2N: 11-14-77 CENSURED FINED \$1,000 12-28-77 TO BE FINAL 12-28-77 FINAL FINES & COSTS 10-2-79  
FC#6982 PD I #158

### Disclosure 2 of 2 ~ Entry 1 of 1

**Reporting Source:** Regulator

**Details:**

01-24-77 FILED #CA-630 NASD DISTRICT #2N: 06-02-77 CENSURED FINED \$1,500 ALL RIGHTS WAIVED. 06-02-77 FINAL FINES & COSTS MAKING  
INSTALLMENTS 01-17-78 8-30-78 FC #6830 PD I 144