

BrokerCheck Report

JOVANNIE AQUINO

CRD# 4876661

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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.



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

Thank you for using FINRA BrokerCheck.

JOVANNIE AQUINO

CRD# 4876661

This broker is not currently registered.

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 not currently registered.

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 SPARTAN CAPITAL SECURITIES, LLC**
CRD# 146251
NEW YORK, NY
11/2017 - 09/2018
- B WINDSOR STREET CAPITAL, LP**
CRD# 34171
NEW YORK, NY
05/2014 - 11/2017
- B JOHN CARRIS INVESTMENTS LLC**
CRD# 145767
HOBOKEN, NJ
03/2014 - 06/2014

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
Civil Event	1
Customer Dispute	4
Termination	1
Judgment/Lien	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 broker is not currently registered.



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.

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	09/11/2018
B General Securities Representative Examination	Series 7	12/02/2004

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/28/2005

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 11/2017 - 09/2018	SPARTAN CAPITAL SECURITIES, LLC	146251	NEW YORK, NY
B 05/2014 - 11/2017	WINDSOR STREET CAPITAL, LP	34171	NEW YORK, NY
B 03/2014 - 06/2014	JOHN CARRIS INVESTMENTS LLC	145767	HOBOKEN, NJ
B 11/2011 - 04/2012	JOHN THOMAS FINANCIAL	40982	NEW YORK, NY
B 08/2011 - 12/2011	ROCKWELL GLOBAL CAPITAL LLC	142485	NEW YORK, NY
B 07/2010 - 09/2011	NATIONAL SECURITIES CORPORATION	7569	BRAINTREE, MA
B 01/2008 - 08/2010	J.P. TURNER & COMPANY, L.L.C.	43177	BRAINTREE, MA
B 12/2006 - 09/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	WALTHAM, MA
B 06/2006 - 09/2006	VFINANCE INVESTMENTS, INC	44962	NEW YORK, NY
B 01/2006 - 06/2006	AVALON PARTNERS, INC.	41357	NEW YORK, NY
B 10/2005 - 12/2005	HALLMARK INVESTMENTS, INC.	135003	NEW CITY, NY
B 03/2005 - 11/2005	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL
B 12/2004 - 08/2005	AVALON PARTNERS, INC.	41357	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
11/2017 - Present	Spartan Capital Securities, LLC.	Registered Representative	Y	New York, NY, United States
06/2012 - Present	EXIT REALTY SEARCH	AGENT	N	BRONX, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
05/2014 - 11/2017	MEYERS ASSOCIATES LP	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
11/2011 - 04/2012	JOHN THOMAS FINANCIAL	BROKER	Y	NEW YORK, NY, United States
08/2011 - 11/2011	ROCKWELL GLOBA CAPITAL, LLC	REGISTERED REP	Y	MELVILLE, NY, United States
07/2010 - 08/2011	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	BRAINTREE, MA, 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.

EXIT REALTY - REAL ESTATE AGENT, 10 HOURS A MONTH, \$10K ANNUAL INCOME, NOT DURING BUSINESS HOURS



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
Regulatory Event	0	1	0
Civil Event	0	1	0
Customer Dispute	1	3	N/A
Termination	N/A	1	N/A
Judgment/Lien	1	N/A	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:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Other: n/a
Date Initiated:	06/13/2019
Docket/Case Number:	3-19199
Employing firm when activity occurred which led to the regulatory action:	Meyers Associates, LP
Product Type:	No Product
Allegations:	SEC Admin Release 34-86098, June 13, 2019: The Securities and Exchange Commission ("Commission") deems it appropriate in the public interest that administrative proceedings be, and hereby are, instituted pursuant to Section 15(b) of the Securities Exchange Act of 1934 ("Exchange Act"), against Jovannie Aquino. On May 17, 2019, a final judgment was entered by consent against Aquino, permanently enjoining him from future violations, or knowingly providing substantial assistance to future violations, of Section 17(a) of the Securities Act and Section 10(b) of the Exchange Act and Rule 10b-5 thereunder, in the civil action entitled Securities and Exchange Commission v. Jovannie Aquino., Civil Action No. 18-CV-8191, in the United States District Court for the Southern District of New York.



Current Status: Final

Resolution: Order

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: 06/13/2019

Sanctions Ordered: Bar (Permanent)
Other: Penny Stock Bar

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 2

Sanction Type:	Bar (Permanent)
Capacities Affected:	Participating in any offering of a penny stock
Duration:	Indefinite
Start Date:	06/13/2019
End Date:	

Sanction 2 of 2



Sanction Type:	Bar (Permanent)
Capacities Affected:	broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or NRSRO
Duration:	Indefinite
Start Date:	06/13/2019
End Date:	
Regulator Statement	<p>In anticipation of the institution of these proceedings, Respondent has submitted an Offer of Settlement (the "Offer"), which the Commission has determined to accept. Accordingly, it is hereby ordered that Respondent Aquino be, and hereby is barred from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization (NRSRO) and is barred from participating in any offering of a penny stock, including: acting as a promoter, finder, consultant, agent or other person who engages in activities with a broker, dealer or issuer for purposes of the issuance or trading in any penny stock, or inducing or attempting to induce the purchase or sale of any penny stock.</p>



Civil - Final

This type of disclosure event involves (1) an injunction issued by a court in connection with investment-related activity, (2) a finding by a court of a violation of any investment-related statute or regulation, or (3) an action brought by a state or foreign financial regulatory authority that is dismissed by a court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Regulator
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Injunction Monetary Penalty other than Fines
Date Court Action Filed:	09/07/2018
Product Type:	Other: unspecified securities
Type of Court:	Federal Court
Name of Court:	United States District Court for the Southern District of New York
Location of Court:	New York, NY
Docket/Case #:	1:18-cv-08191
Employing firm when activity occurred which led to the action:	Meyers Associates, LP (later known as Windsor Street Capital, LP)
Allegations:	<p>The United States Securities and Exchange Commission, for its Complaint against Defendant Jovannie Aquino alleges that from December 2015 to November 2017, Aquino engaged in a fraud involving excessive trading in the accounts of his retail customers that generated substantial commissions to enrich himself while his customers experienced significant losses.</p> <p>Aquino persuaded at least seven customers to maintain securities trading accounts with him at the firm and assured them that he would employ a profitable trading strategy on their behalf. Aquino recommended a series of frequent, short-term trades to these customers while charging them costly commissions and fees for each trade. The frequency of Aquino's trading, coupled with the commissions and fees on every trade, made it almost certain that his customers would lose money from the recommended level of trading. Indeed, the customers' investments would need to achieve annual returns of approximately 21% to 406% just to pay for the transaction costs associated with Aquino's trading strategy.</p> <p>Aquino was required to have a reasonable basis to believe his trading strategy was suitable for the customers to whom he recommended it. In fact, Aquino did not have a reasonable basis to believe that the frequent level of trading he</p>



recommended to customers, given the significant costs imposed on them, would be suitable for them or anyone else. Additionally, Aquino recommended a level of trading that was unsuitable to six customers, in light of those customers' financial needs, investment objectives, risk tolerance, and other circumstances. Aquino also engaged in fraudulent and deceptive conduct by executing certain trades in customers' accounts without first obtaining their approval or informing them of material facts about the trading strategy he recommended, as required for non-discretionary accounts.

Aquino violated the antifraud provisions of the federal securities laws by: (a) recommending an investment strategy to his customers without a reasonable basis to believe it was suitable for those investors; (b) recommending an investment strategy that was unsuitable for certain of his customers in light of those customers' financial needs, investment objectives, and circumstances; (c) making materially false and misleading statements to customers regarding the strategy; and (d) engaging in unauthorized trading.

Aquino's fraudulent acts and omissions resulted in approximately \$881,000 in losses for the customers and \$935,000 in ill-gotten gains for Aquino.

Current Status: Final

Resolution: Judgment Rendered

Resolution Date: 06/27/2019

Sanctions Ordered or Relief Granted: Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Injunction
Monetary Penalty other than Fines

Capacities 1 of 1

Capacities Affected: N/A

Duration: Permanent

Start Date: 06/27/2019

End Date:

Monetary Sanction 1 of 3

Monetary Sanction: Monetary Fine

Total Amount: \$75,000.00

Portion against individual: 75000

Date Paid:

Portion Waived: No

**Amount Waived:****Monetary Sanction 2 of 3****Monetary Sanction:** prejudgment interest on disgorgement**Total Amount:** \$42,212.00**Portion against individual:** 42212**Date Paid:****Portion Waived:** No**Amount Waived:****Monetary Sanction 3 of 3****Monetary Sanction:** Disgorgement**Total Amount:** \$568,805.00**Portion against individual:** 568805**Date Paid:****Portion Waived:** No**Amount Waived:****Regulator Statement**

On May 20, 2019, a final judgement as to Jovannie Aquino was issued. Aquino is permanently restrained and enjoined from violating, directly or indirectly, Section 10(b) of the Securities Exchange Act of 1934 (the "Exchange Act") and Rule 10b-5 promulgated thereunder. Aquino is permanently restrained and enjoined from violating Section 17(a) of the Securities Act of 1933 (the "Securities Act"). Aquino shall pay disgorgement of ill-gotten gains, prejudgment interest thereon, and a civil penalty. The Court shall determine the amounts of the disgorgement and civil penalty upon motion of the Commission. Aquino shall comply with all of the undertakings and agreements set forth.

On June 27, 2019, an amended judgment was entered, by consent, wherein Jovannie Aquino was permanently restrained and enjoined from violating Section 17(a) of the Securities Act and Section 10(b) of the Exchange Act and Rule 10b-5 promulgated thereunder.

Aquino is liable for disgorgement of \$568,805, representing profits gained as a result of the conduct alleged in the Complaint, together with prejudgment interest thereon in the amount of \$42,212, and a civil penalty in the amount of \$75,000. The final judgment entered on May 20, 2019 is also vacated.



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:	ROCKWELL GLOBAL CAPITAL, LLC
Allegations:	UNAUTHORIZED TRADING
Product Type:	Equity-OTC
Alleged Damages:	\$12,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/10/2012
Complaint Pending?	No
Status:	Settled
Status Date:	08/27/2012
Settlement Amount:	\$12,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	BROKER LEFT THE FIRM OVER A YEAR AGO. CLIENT CALLED TO COMPLAIN OF UNAUTHORIZED TRADES. IN ORDER TO AVOID A LENGTHY AND EXPENSIVE ARBITRATION ROCKWELL SETTLED WITH THE CLIENT FOR \$12,000.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ROCKWELL GLOBAL CAPITAL, LLC



Allegations:	CUSTOMER CLAIMED POTENTIAL UNAUTHORIZED TRADING
Product Type:	Equity-OTC
Alleged Damages:	\$12,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/10/2012
Complaint Pending?	No
Status:	Settled
Status Date:	08/27/2012
Settlement Amount:	\$12,000.00
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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Windsor Street Capital, L.P.
Allegations:	Between January 1 2017 and April 30, unauthorized trading, failure to follow instructions, misuse of margin, excessive commission and fees churning.
Product Type:	Equity-OTC Options
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client does not allege a specific dollar amount.
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:	06/05/2017
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/14/2018
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	Windsor Street Capital LP
Allegations:	Between January 1 2017 and April 30, unauthorized trading failure to follow instructions misuse of margin excessive commission and fess churning
Product Type:	Equity-OTC Options
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client does not allege a specific dollar amount
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:	06/05/2017
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/14/2018
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	JOHN THOMAS FINANCIAL
Allegations:	CLIENT ALLEGES UNAUTHORIZED TRADING IN HIS ACCOUNT.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$7,185.00



Is this an oral complaint? Yes

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 03/07/2012

Complaint Pending? No

Status: Closed/No Action

Status Date: 03/12/2012

Settlement Amount: \$0.00

**Individual Contribution
Amount:** \$0.00

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** JOHN THOMAS FINANCIAL

Allegations: CLIENT COMPLAINED OF POTENTIAL UNAUTHORIZED TRADING IN HIS ACCOUNT

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$7,185.00

Is this an oral complaint? Yes

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 03/07/2012

Complaint Pending? No

Status: Closed/No Action

Status Date: 03/12/2012



Settlement Amount:

**Individual Contribution
Amount:**



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:	Broker
Employing firm when activities occurred which led to the complaint:	Windsor Street Capital LP
Allegations:	Plaintiff is alleging that defendant was properly served with all necessary court papers, and that he failed to timely respond. Therefore, Plaintiff is seeking default judgment against defendant.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$171,851.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Pine County District Court
Docket/Case #:	58-CV-18-327
Filing date of arbitration/CFTC reparation or civil litigation:	07/18/2018

Customer Complaint Information

Date Complaint Received:	07/23/2018
Complaint Pending?	Yes
Status:	
Status Date:	07/25/2018
Settlement Amount:	



Individual Contribution

Amount:

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Pine County District Court
Location of Court:	County of Pine
Docket/Case #:	58-CV-18-327
Date Notice/Process Served:	07/23/2018
Litigation Pending?	Yes



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:	Broker
Employer Name:	ROCKWELL GLOBAL CAPITAL
Termination Type:	Discharged
Termination Date:	11/18/2011
Allegations:	BROKER ENTERED IN A WRITTEN COMMISSION AGREEMENT WITH A CLIENT WITHOUT THE FIRM'S KNOWLEDGE AND PERMISSION. THE CONTENT OF THE AGREEMENT WAS DIFFICULT TO UNDERSTAND. IT APPEARED TO BE A PERFORMANCE BASED SYSTEM. AFTER ENTERING INTO THE AGREEMENT, THE BROKER THEN CHARGED, WITHOUT THE KNOWLEDGE OF THE CLIENT, COMMISSIONS THAT WERE NOT IN ACCORDANCE WITH THE AGREEMENT.
Product Type:	No Product



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	Rushmore Recoveries XII LLC
Judgment/Lien Amount:	\$4,674.75
Judgment/Lien Type:	Civil
Date Filed with Court:	11/14/2006
Date Individual Learned:	06/13/2017
Type of Court:	State Court
Name of Court:	New York State Court
Location of Court:	Bronx New york
Docket/Case #:	0023181/06
Judgment/Lien Outstanding?	Yes

End of Report



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