

BrokerCheck Report

MATTHEW ANGELO SILIATO

CRD# 5062153

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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

MATTHEW A. SILIATO

CRD# 5062153

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 WYNSTON HILL CAPITAL, LLC**
CRD# 103811
BRANDON, SD
12/2018 - 06/2019
- B SPARTAN CAPITAL SECURITIES, LLC**
CRD# 146251
NEW YORK, NY
01/2017 - 11/2018
- B WINDSOR STREET CAPITAL, LP**
CRD# 34171
NEW YORK, NY
03/2013 - 01/2017

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	3
Criminal	2
Customer Dispute	7
Judgment/Lien	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 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	10/01/2018
B General Securities Representative Examination	Series 7	12/19/2006

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/31/2007

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 12/2018 - 06/2019	WYNSTON HILL CAPITAL, LLC	103811	BRANDON, SD
B 01/2017 - 11/2018	SPARTAN CAPITAL SECURITIES, LLC	146251	NEW YORK, NY
B 03/2013 - 01/2017	WINDSOR STREET CAPITAL, LP	34171	NEW YORK, NY
B 01/2010 - 02/2013	NATIONAL SECURITIES CORPORATION	7569	ISELIN, NJ
B 03/2009 - 12/2009	J.P. TURNER & COMPANY, L.L.C.	43177	STATEN ISLAND, NY
B 08/2007 - 04/2009	NATIONAL SECURITIES CORPORATION	7569	STATEN ISLAND, NY
B 12/2006 - 07/2007	JOSEPH STEVENS & COMPANY, INC.	35459	BROOKLYN, NY
B 07/2007 - 07/2007	JOSEPH GUNNAR & CO. LLC	24795	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
10/2018 - Present	Wynston Hill Capital	Series 7 Trader	Y	New York, NY, United States
01/2017 - 10/2018	Spartan Capital Securities, LLC	Registered Rep	Y	NEW YORK, NY, United States
02/2013 - 01/2017	Windsor Street Capital, LP	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
08/2010 - 02/2013	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	ISELIN, NJ, 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.

No information reported.



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	3	0
Criminal	0	2	0
Customer Dispute	1	6	N/A
Judgment/Lien	2	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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	04/22/2021
Docket/Case Number:	2019063283801
Employing firm when activity occurred which led to the regulatory action:	Wynston Hill Capital, LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Siliato consented to the sanction and to the entry of findings that he refused to provide on-the-record testimony that was requested by FINRA in connection with its investigation into Siliato's potentially excessive and unauthorized trading in a customer's account.
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:

04/22/2021

Sanctions Ordered:

Bar (Permanent)

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 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	All capacities
Duration:	indefinite
Start Date:	04/22/2021
End Date:	



Disclosure 2 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	09/03/2019
Docket/Case Number:	18-04311
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Matthew Angelo Siliato failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter
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:	09/03/2019
Sanctions Ordered:	Suspension
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 1

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: Indefinite
Start Date: 09/03/2019
End Date:

Regulator Statement

Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Siliato is suspended on September 3, 2019 for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

Disclosure 3 of 3

Reporting Source: Regulator
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Suspension
Date Initiated: 06/12/2019
Docket/Case Number: [17-01716](#)



Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Siliato failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter
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:	01/28/2020
Sanctions Ordered:	Suspension
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: Suspension
Capacities Affected: All capacities
Duration: Indefinite
Start Date: 01/28/2020
End Date:

Sanction 2 of 2

Sanction Type: Suspension
Capacities Affected: All capacities
Duration: n/a
Start Date: 06/12/2019
End Date: 06/20/2019

Regulator Statement

Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Siliato is suspended on June 12, 2019, for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance. Suspension lifted on June 20, 2019. Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Siliato is suspended on January 28, 2020, for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the



status of compliance.



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 2

Reporting Source:	Broker
If charge(s) were brought against an organization over which broker exercised control:	
Organization Name:	
Investment Related Business:	No
Broker's Position:	
Formal Charges were brought in:	State Court
Name of Court:	Aberden Court
Location of Court:	Aberden NJ
Docket/Case #:	2015 000072
Charge Date:	03/15/2015
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Driving under the influence
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	downgraded and dismissed
Disposition of charge:	Dismissed
Date of Amended Charge:	09/13/2016
Charge was Amended or reduced to:	Downgraded and Dismissed
Amended No of Counts:	1
Amended Charge:	downgraded and dismissed



Amended Plea:	None
Disposition of Amended Charge:	Dismissed
Current Status:	Final
Status Date:	09/13/2016
Disposition Date:	09/13/2016
Sentence/Penalty:	Suspension of License 09/13/2016;10/13/2016

Disclosure 2 of 2

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	MUNICIPAL COURT OF HOBKEN
Location of Court:	HOBOKEN NJ
Docket/Case #:	S2008-365
Charge Date:	02/03/2008
Charge(s) 1 of 4	
Formal Charge(s)/Description:	POSSESSION OF WEAPON UNLAWFUL PURPOSE 2C:39-4D
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Amended
Date of Amended Charge:	02/03/2008
Charge was Amended or reduced to:	HARRASSMENT 2C:33-4A
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	NOT GUILTY



Disposition of Amended Charge:	Dismissed
Charge(s) 2 of 4	
Formal Charge(s)/Description:	AGGRAVATED ASSAULT W/ BODILY INJURY 2C:12-1B(7)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Amended
Date of Amended Charge:	02/03/2008
Charge was Amended or reduced to:	SIMPLE ASSAULT 2C:12-1A
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Charge(s) 3 of 4	
Formal Charge(s)/Description:	2C21-2.1 SALE OF DOCUMENTS AND FORMS
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Amended
Date of Amended Charge:	02/03/2008
Charge was Amended or reduced to:	TAMPER WITH PUBLIC RECORDS 2C:28-7A(2)
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	NOT GUILTY



Disposition of Amended Charge:	Dismissed
Charge(s) 4 of 4	
Formal Charge(s)/Description:	POSSESSION WEAPON 2C:39-5D
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Amended
Date of Amended Charge:	02/03/2008
Charge was Amended or reduced to:	DISORDERLY CONDUCT 2C:33-2A
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	NOT GUILTY
Disposition of Amended Charge:	Dismissed
Current Status:	Final
Status Date:	04/01/2008
Disposition Date:	04/01/2008
Sentence/Penalty:	FINE OF \$100, COURT COSTS \$25, \$50 VCCB AND \$75 SAFE STREET
Broker Statement	I WAS OUT WITH FRIENDS WHEN AN ALTERCATION BEGAN. ALL CHARGES WERE REDUCED AND ALL REDUCED CHARGES WERE DISMISSED WITH THE EXCEPTION OF SIMPLE ASSAULT, A MISDEMEANOR.



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 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MEYERS ASSOCIATES LP
Allegations:	SUITABILITY
Product Type:	Equity-OTC
Alleged Damages:	\$250,627.60
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:	FINRA
Docket/Case #:	16-01526
Filing date of arbitration/CFTC reparation or civil litigation:	05/24/2016

Customer Complaint Information

Date Complaint Received:	06/23/2016
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	05/24/2016
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-01526
Date Notice/Process Served:	05/24/2016
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/11/2018
Monetary Compensation Amount:	\$14,999.99
Individual Contribution Amount:	\$14,999.99
Broker Statement	Without acknowledging any wrongdoing, and solely to avoid the expense, inconvenience, distractions and inherent uncertainties associated with the Arbitration, applicant agreed to finally and completely settle all disputes which may exist for a nominal amount in comparison to the claim.

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	SUITABILITY,BREACH OF FIDUCIARY DUTY.
Product Type:	Equity-OTC
Alleged Damages:	\$522,941.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-03036
Date Notice/Process Served:	12/28/2015
Arbitration Pending?	No
Disposition:	Settled



Disposition Date:	03/02/2018
Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	\$200,000.00
Firm Statement	RR contribution was in addition to the settlement amount with the Firm of \$50000.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	Suitability
Product Type:	Equity-OTC
Alleged Damages:	\$522,941.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-03036
Date Notice/Process Served:	12/28/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/02/2018
Monetary Compensation Amount:	\$72,000.00
Individual Contribution Amount:	\$20,000.00

Disclosure 3 of 4

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	MEYERS ASSOCIATES
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS
Product Type:	Equity-OTC
Alleged Damages:	\$75,000.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-01147
Date Notice/Process Served:	04/08/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/17/2015
Monetary Compensation Amount:	\$14,999.00
Individual Contribution Amount:	\$0.00
Broker Statement	CUSTOMER PER SETTLEMENT AGREEMENT AGAINST MEYERS, AGREED TO DISMISS CLAIM AGAINST REP MATTHEW SILIATO

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	MISREPRESENTATION
Product Type:	Equity-OTC
Alleged Damages:	\$6,975.00
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: 04/16/2010

Complaint Pending? No

Status: Settled

Status Date: 09/02/2010

Settlement Amount: \$5,931.00

**Individual Contribution
Amount:** \$0.00

Firm Statement ADDITIONAL INFORMATION REC'D. FIRM SETTLED WITH CLIENT FOR
\$5931.00 ON 09/02/2010.

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** J.P. TURNER & COMPANY LLC

Allegations: MISREPRESENTATION

Product Type: Equity-OTC

Alleged Damages: \$6,975.00

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: 04/16/2010

Complaint Pending? No

Status: Settled

Status Date: 09/02/2010

Settlement Amount: \$5,931.00



Individual Contribution Amount: \$0.00

Broker Statement CUSTOMER NEVER PLACED STOP LOSS ORDERS. HIS HINDSIGHT ATTEMPT TO SUGGEST OTHERWISE, SEEKS TO PLAY THE MARKET AT MY EXPENSE.



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:	NATIONAL SECURITIES CORP
Allegations:	POOR RECOMMENDATION POOR ADVICE
Product Type:	Equity-OTC
Alleged Damages:	\$35,000.00
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:	10/30/2013
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/11/2015
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	POOR RECOMMENDATION, POOR ADVICE
Product Type:	Equity-OTC



Alleged Damages: \$35,000.00
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: 10/30/2013
Complaint Pending? No
Status: Closed/No Action
Status Date: 12/11/2015
Settlement Amount:
**Individual Contribution
Amount:**

Disclosure 2 of 2

Reporting Source: Firm
**Employing firm when
activities occurred which led
to the complaint:** NATIONAL SECURITIES CORPORATION
Allegations: EXCESSIVE TRADING AND SHARING IN PROFITS IN A CUSTOMER
ACCOUNT
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$21,000.00
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: 10/02/2009
Complaint Pending? Yes
Settlement Amount:



**Individual Contribution
Amount:**

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORPORATION

Allegations: EXCESSIVE TRADING AND EXCESSIVE COMMISSIONS

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$21,000.00

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: 10/05/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/07/2010

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:	Firm
Employing firm when activities occurred which led to the complaint:	Meyers Associates LP
Allegations:	Churning, Margin, Unsuitable trades and unauthorized from the period February 2016 to November 2016
Product Type:	Equity-OTC
Alleged Damages:	\$383,000.00
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:	FINRA
Docket/Case #:	17-00884
Filing date of arbitration/CFTC reparation or civil litigation:	04/05/2017

Customer Complaint Information

Date Complaint Received:	04/18/2017
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	04/18/2017
Settlement Amount:	
Individual Contribution Amount:	



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 17-00884

Date Notice/Process Served: 04/18/2017

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Meyers Associates LP

Allegations: Churning, Margin, Unsuitability and Unauthorized trades from the time period February 2016 to November 2016

Product Type: Equity-OTC

Alleged Damages: \$383,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 17-00884

Date Notice/Process Served: 04/17/2017

Arbitration Pending? Yes



Judgment / Lien

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

Disclosure 1 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	State of New York
Judgment/Lien Amount:	\$10,840.00
Judgment/Lien Type:	Tax
Date Filed with Court:	06/29/2017
Date Individual Learned:	08/10/2017
Type of Court:	State Court
Name of Court:	Richmond County
Location of Court:	Staten Island NY
Docket/Case #:	480642
Judgment/Lien Outstanding?	Yes
Broker Statement	Waiting for accountant to receive response from state on the exact dollar amount so a payment plan can be established.

Disclosure 2 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	SHYAM SUNDAR DHENADAYALU
Judgment/Lien Amount:	\$40,068.25
Judgment/Lien Type:	Civil
Date Filed with Court:	09/04/2015
Date Individual Learned:	10/20/2015
Type of Court:	State Court
Name of Court:	State of New York
Location of Court:	NEW YORK
Docket/Case #:	B282323 153514/2014
Judgment/Lien Outstanding?	Yes



Broker Statement

I had no knowledge of this judgment prior to garnishment notice. court documents were sent to an old address. Will be fighting with attorney, but making payments presently.

End of Report



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