

BrokerCheck Report

MARK SAM KOLTA

CRD# 5324620

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Events	6

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.

**MARK S. KOLTA**

CRD# 5324620

Currently employed by and registered with the following Firm(s):**WORDEN CAPITAL MANAGEMENT LLC**

100 RING ROAD WEST
SUITE 210
GARDEN CITY, NY 11530
CRD# 148366

Registered with this firm since: 04/06/2018

WORDEN CAPITAL MANAGEMENT LLC

100 RING ROAD WEST
SUITE 210
GARDEN CITY, NY 11530
CRD# 148366

Registered with this firm since: 04/06/2018

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 3 U.S. states and territories

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):****AEGIS CAPITAL CORP.**

CRD# 15007
NEW YORK, NY
06/2017 - 02/2018

NATIONAL SECURITIES CORPORATION

CRD# 7569
NEW YORK, NY
09/2013 - 06/2017

CETERA ADVISORS LLC

CRD# 10299
NEW YORK, NY
11/2011 - 09/2013

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	10
Termination	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>



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 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WORDEN CAPITAL MANAGEMENT LLC**
 Main Office Address: **100 RING ROAD WEST
 SUITE 210
 GARDEN CITY, NY 11530**
 Firm CRD#: **148366**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	04/06/2018

U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	04/25/2018
New York	Agent	APPROVED	04/24/2018
Oregon	Agent	APPROVED	11/09/2018

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	01/16/2008

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination	Series 66	02/28/2008

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
06/2017 - 02/2018	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
09/2013 - 06/2017	NATIONAL SECURITIES CORPORATION	7569	NEW YORK, NY
11/2011 - 09/2013	CETERA ADVISORS LLC	10299	NEW YORK, NY
04/2008 - 12/2011	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY
01/2008 - 04/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	EDISON, NJ

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 Dates	Employer Name	Employer Location
03/2018 - Present	Worden Capital Management LLC	Garden City, NY
06/2017 - Present	THE KOLTA GROUP	NEW YORK, NY
06/2017 - 02/2018	AEGIS CAPITAL CORP	NEW YORK, NY
04/2016 - 05/2017	NATIONAL ASSET MANAGEMENT	NEW YORK, NY
09/2013 - 05/2017	NATIONAL SECURITIES CORP	NEW YORK, NY
06/2014 - 01/2016	NATIONAL ASSET MANAGEMENT	NEW YORK, NY
01/2013 - 09/2013	CETERA ADVISORS LLC	DENVER, CO
11/2011 - 12/2012	MULTI-FINANCIAL SECURITIES CORPORATION	DENVER, CO
04/2008 - 11/2011	CHASE INVESTMENT SERVICES CORP.	NEW YORK, NY

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.

MSK Prowess LLC, shell checking account opened in case of hedge fund set up - currently not in use
The Kolta Group LLL, shell checking account open in case of RIA set up - currently not in use



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
Customer Dispute	4	6	N/A



Termination	N/A	1	N/A
-------------	-----	---	-----



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS
Product Type:	Other: STRUCTURED PRODUCTS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE FIRM IS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT WOULD BE LESS THAN \$5,000.
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:	08/24/2015
Complaint Pending?	No
Status:	Settled



Status Date: 02/22/2016
Settlement Amount: \$4,999.00
Individual Contribution Amount: \$4,999.00

Disclosure 2 of 3

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORP
Allegations: SUITABILITY
Product Type: Real Estate Security
Alleged Damages: \$44,000.00
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: 01/15/2015
Complaint Pending? No
Status: Settled
Status Date: 02/09/2015
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00
Broker Statement TRADE WAS CANCELLED AND MONIES REFUNDED TO THE CUSTOMER.

Disclosure 3 of 3

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING REGARDING A MANAGED ACCOUNT. ACTIVITY DATES ARE 03/26/2010-03/26/2010.

Product Type: Other: MANAGED ACCOUNT

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): FIRM HAS MADE GOOD FAITH DETERMINATION THE ALLEGED DAMAGES WOULD BE MORE THAN \$5000.00.

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: 06/28/2010

Complaint Pending? No

Status: Settled

Status Date: 08/18/2010

Settlement Amount: \$200.00

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	SUITABILITY
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The firm is unable to make a good faith determination that the damages from the alleged conduct would be less than \$5,000
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:	06/28/2016
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/02/2017
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	National Securities Corp.
Allegations:	Suitability (dates were not specified in U5 filing).
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The firm is unable to make a good faith determination that the damages from the alleged conduct would be less than \$5,000.
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:	06/28/2016
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/02/2017
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES
Allegations:	UNAUTHORIZED TRADING
Product Type:	Equity-OTC
Alleged Damages:	\$250,000.00
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: 04/01/2016

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/05/2016

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE POSITION IN THE SECURITY THAT THE CLIENT ALLEGED WAS UNAUTHORIZED WAS REMOVED FROM THE CLIENTS ACCOUNT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: National Securities Corp.

Allegations: Unauthorized trading (dates were not specified in U5 filing).

Product Type: Equity-OTC

Alleged Damages: \$250,000.00

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: 04/01/2016

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/05/2016

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

The position in the security that the client alleged was unauthorized was removed from the client account.

Disclosure 3 of 3**Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

NATIONAL SECURITIES

Allegations:

UNAUTHORIZED TRADING

Product Type:

Equity-OTC

Alleged Damages:

\$106,000.00

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:**

02/12/2016

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

03/03/2018

Settlement Amount:**Individual Contribution Amount:****Reporting Source:**

Broker

Employing firm when activities occurred which led to the complaint:

NATIONAL SECURITIES



Allegations: UNAUTHORIZED TRADING
Product Type: Equity-OTC
Alleged Damages: \$106,000.00
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: 02/12/2016
Complaint Pending? No
Status: Closed/No Action
Status Date: 03/03/2018
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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	SUITABILITY
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The firm is unable to make a good faith determination that the damages from the alleged conduct would be less than \$5,000.
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:	10/26/2018
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	National Securities Corp.
Allegations:	Suitability; potential activity dates are 09/2013 to 05/2017



Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	National was unable to make a good faith determination that the alleged conduct had caused damages of less than \$5,000
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:	10/26/2018
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Broker was identified as the subject of the complaint by former employer, believed to be in error. Working to have the item expunged.

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	MISREPRESENTATION, NEGLIGENCE, BREACH FIDUCIARY, & BREACH OF CONTRACT.
Product Type:	Real Estate Security
Alleged Damages:	\$422,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum	FINRA



or court name and location:

Docket/Case #: 18-03346

Filing date of arbitration/CFTC reparation or civil litigation: 09/24/2018

Customer Complaint Information

Date Complaint Received: 10/01/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: National Securities Corp.

Allegations: Misrepresentation, negligence, breach of fiduciary duty, and breach of contract. Activity occurred between September 2013 and May 2017.

Product Type: Real Estate Security

Alleged Damages: \$422,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DR

Docket/Case #: 18-03346

Filing date of arbitration/CFTC reparation or civil litigation: 09/24/2018

Customer Complaint Information

Date Complaint Received: 10/17/2018



Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Broker was identified as the subject of the complaint by former employer, believed to be in error. Working to have the claim expunged.

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	BREACH OF FIDUCIARY DUTY, NEGLIGENCE, MISPRESENTATIONS & UNSUITABLE RECOMMENDATIONS.
Product Type:	Real Estate Security
Alleged Damages:	\$120,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	18-02394
Filing date of arbitration/CFTC reparation or civil litigation:	06/28/2018

Customer Complaint Information

Date Complaint Received:	07/03/2018
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: National Securities Corp.

Allegations: Breach of fiduciary duty, negligence, misrepresentations and unsuitable recommendations (dates were not specified in U5 filing).

Product Type: Real Estate Security

Alleged Damages: \$120,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DR

Docket/Case #: 18-02394

Filing date of arbitration/CFTC reparation or civil litigation: 06/28/2018

Customer Complaint Information

Date Complaint Received: 07/16/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement Advisor was named in the complaint body, but is not the subject. Moving to dispute and expunge.

Disclosure 4 of 4

Reporting Source: Firm



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

Allegations: MISREPRESENTATIONS, UNSUITABLE RECOMMENDATIONS, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT & NEGLIGENCE.

Product Type: Real Estate Security

Alleged Damages: \$450,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-02017

Filing date of arbitration/CFTC reparation or civil litigation: 05/29/2018

Customer Complaint Information

Date Complaint Received: 06/04/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

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

Allegations: MISREPRESENTATIONS, UNSUITABLE RECOMMENDATIONS, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT & NEGLIGENCE.

Product Type: Real Estate Security

Alleged Damages: \$450,000.00



Is this an oral complaint? No
Is this a written complaint? No
**Is this an arbitration/CFTC
reparation or civil litigation?** Yes
**Arbitration/Reparation forum
or court name and location:** FINRA
Docket/Case #: 18-02017
**Filing date of
arbitration/CFTC reparation
or civil litigation:** 05/29/2018

Customer Complaint Information

Date Complaint Received: 06/04/2018
Complaint Pending? Yes
Settlement Amount:
**Individual Contribution
Amount:**



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: CHASE INVESTMENT SERVICES CORP

Termination Type: Discharged

Termination Date: 11/18/2011

Allegations: REGISTERED REP ADVISED CUSTOMERS OF ANOTHER BROKERAGE FIRM IN THE TRADING OF OPTIONS DURING HIS EMPLOYMENT WITH THE FIRM WITHOUT THE FIRMS KNOWLEDGE OR PERMISSION.

Product Type: No Product

Reporting Source: Broker

Employer Name: CHASE INVESTMENT SERVICES CORP

Termination Type: Discharged

Termination Date: 11/18/2011

Allegations: REGISTEED REP ALLEGEDLY ADVISED THE CUSTOMERS OF ANOTHER BROKERAGE FIRM IN THE TRADING OF OPTIONS WITHOUT CHASE INVESTMENT SERVICE'S KNOWLEDGE OR PERMISSION.

Product Type: No Product

Broker Statement NO SUCH ADVISE WAS GIVEN, COUNSEL AND I ARE LOOKING INTO DEFAMATION CLAIMS.

End of Report



This page is intentionally left blank.