

BrokerCheck Report

CHRISTOPHER ANTHONY FERNAN

CRD# 5896584

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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.

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)

CHRISTOPHER A. FERNAN

CRD# 5896584

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):

SALOMON WHITNEY FINANCIAL

CRD# 145012
Melville, NY
12/2015 - 02/2017

ROCKWELL GLOBAL CAPITAL LLC

CRD# 142485
MELVILLE, NY
06/2014 - 11/2015

FREEDOM INVESTORS CORP.

CRD# 23714
BROOKFIELD, WI
04/2013 - 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
Criminal	1
Customer Dispute	7
Termination	1
Judgment/Lien	2

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 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
Securities Industry Essentials Examination	SIE	02/17/2017
General Securities Representative Examination	Series 7	06/18/2011

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination	Series 66	04/22/2012

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
12/2015 - 02/2017	SALOMON WHITNEY FINANCIAL	145012	Melville, NY
06/2014 - 11/2015	ROCKWELL GLOBAL CAPITAL LLC	142485	MELVILLE, NY
04/2013 - 06/2014	FREEDOM INVESTORS CORP.	23714	BROOKFIELD, WI
02/2012 - 04/2013	GLOBAL ARENA CAPITAL CORP	16871	MELVILLE, NY
06/2011 - 09/2011	WELLS FARGO ADVISORS, LLC	19616	SMITHTOWN, 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 Dates	Employer Name	Employer Location
12/2015 - Present	Salomon Whitney Financial	Farmingdale, NY
06/2014 - 11/2015	ROCKWELL GLOBAL CAPITAL, LLC	MELVILLE, NY
02/2012 - 06/2014	GLOBAL ARENA CAPITAL	MELVILLE, NY
10/2011 - 02/2012	UNEMPLOYED	EAST NORTHPORT, NY
02/2011 - 09/2011	WELLS FARGO ADVISORS LLC	SMITHTOWN, NY
06/2006 - 02/2011	BOTTOM LINE ASSOCIATES GROUP, INC.	EAST NORTHPORT, NY

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.

PRIVATE CLIENT HOLDINGS,LLC, CHAIRMAN, NOT ACTIVE IN DAY TO DAY BUSINESS; DBA PRIVATE CLIENT INSURANCE GROUP INVESTMENT RELATED,PO BOX 637, GREENLAWN, NY 11740; SELL FIXED ANNUITY, LIFE INSURANCE, HEALTH INSURANCE, LONG-TERM CARE, DISABILITY PRODUCTS. ZERO HOURS DURING REGULAR MARKET HOURS, 10 HOURS PER WEEK DURING NON-MARKET HOURS, IESS THAN 1% OF ANNUAL

Registration and Employment History



Other Business Activities, continued

EARNINGS GENERATED FROM COMMISSIONS, DIRECTLY FROM THE CARRIER, AS EARNED.
DBA PRIVATE CLIENT REAL ESTATE, REAL ESTATE DEVELOPMENT RELATED, PO BOX 637, GREENLAWN, NY 11740 PROPERTY TRANSACTIONS AGENT, BROKER ON DOMESTIC/INTERNATIONAL TRANSACTIONS. ZERO HOURS DURING MARKET HOURS, 5 HOURS PER MONTH DURING NON-MARKET HOURS, LESS THAN 1% OF ANNUAL EARNINGS GENERATED DIRECTLY FROM BUYER/SELLER, COMMISSIONS ONLY; BUYING OF TAX LIENS ON PROPERTIES FOR PERSONAL INVESTING, PROJECT FINANCE AND DEVELOPMENT.
PRIVATE CLIENT LEASING GROUP, NON-INVESTMENT RELATED, PO BOX 637, GREENLAWN, NY 11740, EQUIPMENT LEASING, ASSET BASED LENDING, INTERMEDIARY POSITION, REPACKAGER, BROKER, ZERO HOURS DURING MARKET HOURS, 5 HOURS PER MONTH DURING NON-MARKET HOURS, LESS THAN 1% ANNUAL EARNINGS GENERATED FROM COMMISSIONS FROM LENDER OR BORROWER.
FRIENDS OF KAREN, BOARD OF DIRECTOR ADVISOR, 2008-2013, NON-INVESTMENT RELATED, CHARITABLE, HELPS TERMINALLY ILL CHILDREN AND THEIR RESPECTIVE FAMILIES, TIME DEVOTED IS AFTER HOURS OF PERSONAL TIME, 21 PERRY STREET, PORT JEFFERSON STATION, NY 11777



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



Criminal	0	1	0
Customer Dispute	1	6	N/A
Termination	N/A	1	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	05/22/2017
Docket/Case Number:	2017053314901
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Fernan failed to respond to FINRA request for information.
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:

06/23/2017

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:	n/a
Start Date:	06/23/2017
End Date:	09/20/2017



Regulator Statement

Pursuant to FINRA Rule 9552 and in accordance with FINRA's Notice of Suspension letter dated May 22, 2017, Fernan is suspended on June 23, 2017 from associating with any FINRA member firm in all capacities. If Fernan fails to request termination of the suspension within three months of the date of the Notice of Suspension, he will automatically be barred on September 11, 2017 from association with any FINRA member in all capacities pursuant to FINRA Rule 9552(h). Suspension lifted on September 20, 2017.



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 1

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:	Military Court
Name of Court:	USMC
Location of Court:	CAMP PENDLETON , CA
Docket/Case #:	UNKNOWN
Charge Date:	08/10/1982
Charge(s) 1 of 1	
Formal Charge(s)/Description:	ARTICLE 128/134-UCMJ, SIMPLE ASSAULT/ASSAULT W/INTENT TO ROB
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Convicted
Current Status:	Final
Status Date:	11/17/1983
Disposition Date:	11/17/1983
Sentence/Penalty:	CHL 4Y 08/10/1982 TO APRIL 25/1985, TF, DD



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Salomon Whitney Financial
Allegations:	Fraud, Deceptive Practices, Breach of Fiduciary Duty, Unsuitability, Breach of Contract, Negligence
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	\$154,000.00
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 #:	18-02182
Filing date of arbitration/CFTC reparation or civil litigation:	06/11/2018

Customer Complaint Information

Date Complaint Received:	06/15/2018
Complaint Pending?	No
Status:	Settled
Status Date:	05/20/2019
Settlement Amount:	\$65,000.00
Individual Contribution Amount:	\$0.00



Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Salomon Whitney Financial
Allegations:	Fraud, Excessive Trading, Churning, Unauthorized Trading, Breach of Fiduciary Duty, Unsuitability, Breach of Contract
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	\$100,000.00
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 #:	18-00906
Filing date of arbitration/CFTC reparation or civil litigation:	03/06/2018

Customer Complaint Information

Date Complaint Received:	03/12/2018
Complaint Pending?	No
Status:	Settled
Status Date:	04/22/2019
Settlement Amount:	\$20,000.00
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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SW Financial
Allegations:	Client alleges that she was guaranteed against her losses, she did not understand the risks of trading in options, the broker would double her funds.
Product Type:	Options
Alleged Damages:	\$46,000.00
Alleged Damages Amount Explanation (if amount not exact):	Actual loss was \$30764
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:	11/27/2018
Complaint Pending?	No
Status:	Denied
Status Date:	11/27/2018
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 4

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: SW Financial

Allegations: Client alleges the broker guaranteed the account against losses and would pay her back if the account incurred any losses.

Product Type: Options

Alleged Damages: \$10,000.00

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: 11/27/2018

Complaint Pending? No

Status: Denied

Status Date: 11/27/2018

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Salomon Whitney

Allegations: Client claims to have loaned Mr. Fernan money in the amount of 11500. Mr. Fernan paid back 4000

Product Type: No Product

Alleged Damages: \$7,500.00

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 #: 17-00762

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 03/23/2017

Customer Complaint Information

Date Complaint Received: 04/24/2017

Complaint Pending? No

Status: Denied

Status Date: 03/01/2018

Settlement Amount: \$1,625.50

**Individual Contribution
Amount:** \$0.00

Disclosure 4 of 4

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** ROCKWELL GLOBAL CAPITAL LLC

Allegations: ONE UNSUITABLE TRADE

Product Type: Options

Alleged Damages: \$72,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** CUSTOMER GAVE A NUMBER OF APPROXIMATELY 72,000.00

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:** CALIFORNIA

Docket/Case #: 15-00209

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 02/04/2015

Customer Complaint Information

Date Complaint Received: 02/04/2015

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/24/2016

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

Disposition: Dismissed

Disposition Date: 09/24/2016



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:	FREEDOM INVESTORS CORP.
Allegations:	STATEMENT OF CLAIM ALLEGES VIOLATIONS OF 2110, 2120, 2111, AND 3010 FROM 1/2014 - 9/2014
Product Type:	Options
Alleged Damages:	\$90,680.00
Alleged Damages Amount Explanation (if amount not exact):	STATEMENT OF CLAIM IS ALSO REQUESTING DISGORGEMENT OF COMMISSIONS, ATTORNEY FEES, LOSS OF INTEREST, PRE AND POST AWARDS AS WELL AS PUNITIVE DAMAGES. UNABLE TO CALCULATE REQUESTED DAMAGES AT THIS POINT.
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 #:	15-01069
Filing date of arbitration/CFTC reparation or civil litigation:	05/04/2015

Customer Complaint Information

Date Complaint Received:	05/15/2015
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	



Firm Statement THE FIRM DENIES THE ALLEGATIONS AND INTENDS TO DEFEND OURSELVES.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FREEDOM INVESTORS CORP.

Allegations: STATEMENT OF CLAIM ALLESES VIOLATIONS OF 2110,2120,2111 AND 3010 FROM 01/2014 - 09/2014

Product Type: Options

Alleged Damages: \$90,680.00

Alleged Damages Amount Explanation (if amount not exact): STATEMENT OF CLAIM IS ALSO REQUESTING DISGORGEMENT OF COMMISSIONS, ATTORNEY FEES, LOSS OF INTERST, PRE AND POST AWARDS AS WELL AS PUNITIVE DAMAGES, UNABLE TO CALCULATE REQUESTED DAMAGES AT THIS POINT.

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 #: 15-01069

Filing date of arbitration/CFTC reparation or civil litigation: 05/04/2015

Customer Complaint Information

Date Complaint Received: 05/22/2015

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:	Salomon Whitney
Termination Type:	Discharged
Termination Date:	02/17/2017
Allegations:	Client contacted firm and informed us that Chris borrowed \$11,500 dollars from him and produced a signed receipt from Chris.
Product Type:	Other: Borrowed money from client
Firm Statement	Client contacted firm and informed us that Chris borrowed \$11,500 dollars from him and produced a signed receipt from Chris. Once firm was informed we immediately terminated Rep.



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:	TRILOGY LEASING CO.
Judgment/Lien Amount:	\$31,875.03
Judgment/Lien Type:	Civil
Date Filed with Court:	01/11/2010
Date Individual Learned:	08/18/2014
Type of Court:	SUPREME COURT
Name of Court:	SUFFOLK COUNTY NEW YORK
Location of Court:	RIVERHEAD NY
Docket/Case #:	10 00417
Judgment/Lien Outstanding?	Yes
Broker Statement	I WAS NEVER AWARE OF THIS JUDGMENT UNTIL INFORMED BY FINRA. THEY WERE SERVING ME AT AN ADDRESS WHERE I DID NOT LIVE. I AM NOW IN POSSESSION OF THE DOCUMENTS AND AM SUBMITTING TO HAVE THE JUDGMENT DISMISSED, VACATED AND A SHOW FOR CAUSE.

Disclosure 2 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	BRIAN CASSIDY
Judgment/Lien Amount:	\$10,000.00
Judgment/Lien Type:	Civil
Date Filed with Court:	09/18/2008
Type of Court:	SUFFOLK COUNTY
Name of Court:	FIFTH DISTRICT COURT
Location of Court:	SUFFOLK COUNTY
Docket/Case #:	1991
Judgment/Lien Outstanding?	Yes

End of Report



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