

## BrokerCheck Report

# JAMES TIERNEY TANG

CRD# 6006358

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## 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:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

**JAMES T. TANG**

CRD# 6006358

**Currently employed by and registered with the following Firm(s):**

- B A.G.P. / ALLIANCE GLOBAL PARTNERS**  
590 Madison Avenue  
28th Floor  
New York, NY 10022  
CRD# 8361  
Registered with this firm since: 03/01/2018

**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:**

- 2 Self-Regulatory Organizations
- 51 U.S. states and territories

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

**Registration History****This broker was previously registered with the following securities firm(s):**

- B AEGIS CAPITAL CORP.**  
CRD# 15007  
NEW YORK, NY  
03/2012 - 03/2018

**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? **No**



## 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 2 SROs and is licensed in 51 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **A.G.P. / ALLIANCE GLOBAL PARTNERS**

Main Office Address: **88 POST ROAD WEST  
2ND FLOOR  
WESTPORT, CT 06880**

Firm CRD#: **8361**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	FINRA	General Securities Principal	Approved	03/01/2018
<b>B</b>	FINRA	General Securities Representative	Approved	03/01/2018
<b>B</b>	FINRA	Investment Banking Representative	Approved	03/01/2018
<b>B</b>	FINRA	Investment Banking Principal	Approved	10/01/2018
<b>B</b>	Nasdaq Stock Market	General Securities Principal	Approved	03/01/2018
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	03/01/2018

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Alabama	Agent	Approved	05/22/2018
<b>B</b>	Alaska	Agent	Approved	05/22/2018
<b>B</b>	Arizona	Agent	Approved	05/22/2018
<b>B</b>	Arkansas	Agent	Approved	05/22/2018
<b>B</b>	California	Agent	Approved	03/01/2018
<b>B</b>	Colorado	Agent	Approved	05/22/2018
<b>B</b>	Connecticut	Agent	Approved	03/01/2018



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	05/22/2018
B	District of Columbia	Agent	Approved	05/22/2018
B	Florida	Agent	Approved	03/01/2018
B	Georgia	Agent	Approved	05/22/2018
B	Hawaii	Agent	Approved	05/22/2018
B	Idaho	Agent	Approved	05/22/2018
B	Illinois	Agent	Approved	05/22/2018
B	Indiana	Agent	Approved	05/22/2018
B	Iowa	Agent	Approved	05/22/2018
B	Kansas	Agent	Approved	05/22/2018
B	Kentucky	Agent	Approved	05/22/2018
B	Louisiana	Agent	Approved	05/22/2018
B	Maine	Agent	Approved	05/22/2018
B	Maryland	Agent	Approved	05/22/2018
B	Massachusetts	Agent	Approved	05/22/2018
B	Michigan	Agent	Approved	05/22/2018
B	Minnesota	Agent	Approved	05/22/2018
B	Mississippi	Agent	Approved	05/22/2018
B	Missouri	Agent	Approved	05/22/2018
B	Montana	Agent	Approved	05/22/2018
B	Nebraska	Agent	Approved	05/22/2018



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	05/22/2018
B	New Hampshire	Agent	Approved	05/22/2018
B	New Jersey	Agent	Approved	03/01/2018
B	New Mexico	Agent	Approved	05/22/2018
B	New York	Agent	Approved	03/01/2018
B	North Carolina	Agent	Approved	05/22/2018
B	North Dakota	Agent	Approved	05/22/2018
B	Ohio	Agent	Approved	05/22/2018
B	Oklahoma	Agent	Approved	05/22/2018
B	Oregon	Agent	Approved	05/22/2018
B	Pennsylvania	Agent	Approved	03/01/2018
B	Puerto Rico	Agent	Approved	05/22/2018
B	Rhode Island	Agent	Approved	05/22/2018
B	South Carolina	Agent	Approved	05/22/2018
B	South Dakota	Agent	Approved	05/22/2018
B	Texas	Agent	Approved	05/22/2018
B	Utah	Agent	Approved	05/22/2018
B	Vermont	Agent	Approved	05/22/2018
B	Virginia	Agent	Approved	05/22/2018
B	Washington	Agent	Approved	05/22/2018
B	West Virginia	Agent	Approved	05/22/2018



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Wisconsin	Agent	Approved	05/22/2018
B	Wyoming	Agent	Approved	05/22/2018

### Branch Office Locations

#### A.G.P. / ALLIANCE GLOBAL PARTNERS

590 Madison Avenue  
28th Floor  
New York, NY 10022

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## 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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	12/27/2017

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Investment Banking Registered Representative Examination	Series 79	01/27/2016
<b>B</b> General Securities Representative Examination	Series 7	03/29/2012

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	08/23/2012

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/](http://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>B</b> 03/2012 - 03/2018	AEGIS CAPITAL CORP.	15007	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
03/2018 - Present	Euro Pacific Capital, Inc.	Vice President, Investment Banking	Y	New York, NY, United States
11/2011 - Present	AEGIS CAPITAL CORP	INVESTMENT BANKING ASSOCIATE	Y	NEW YORK, NY, United States
06/2007 - Present	DORRIAN'S RED HAND	BARTENDER	N	NEW YORK, NY, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1)DORRIAN'S RED HAND; RESTAURANT & BAR BARTENDER / MANAGER; 1616 SECOND AVENUE, NEW YORK, NY 10028; SINCE MAY 2017; NON-INVESTMENT RELATED; 1 WEEKEND PER MONTH; ZERO HOURS DURING TADING HOURS

2)215 CLEMATIS STREET LLC (DBA DORRIAN'S RED HAND); 2% OWNERSHIP PARTNER; 215 CLEMATIS STREET, WEST PALM BEACH, FL 33414; SINCE JUNE 2015; NON-INVESTMENT RELATED; ZERO HOURS PER MONTH; ZERO HOURS DURING TRADING HOURS

3)JAMES TIERNEY TANG, INC.; OWNER, ESTABLISHED FOR TAX PURPOSES ONLY; 300 EAST 84TH STREET, NEW YORK, NY 10028; SINCE JANUARY 2013; NON-INVESTMENT RELATED; ZERO HOURS PER MONTH; ZERO HOURS DURING TRADING HOURS

4)QY TANG, INC. (DBA HWA YUAN SZECHUAN & SHORTY TANG NOODLE SHOPS); PARTNER, FAMILY BUSINESS; 42 EAST BROADWAY, NEW YORK, NY 10002; SINCE MARCH 2017; NON-INVESTMENT RELATED; FIVE HOURS PER MONTH; ZERO HOURS DURING TRADING HOURS

## Registration and Employment History



### Other Business Activities, continued

5) UNITED STATES NAVY (RESERVE); COMMISSIONED OFFICER IN SUPPLY CORPS & DEFENSE LOGISTICS AGENCY; FORT DIX, NJ 08068; SINCE MARCH 2022; NON-INVESTMENT RELATED; ONE WEEKEND PER MONTH / TWO WEEKS PER YEAR; ZERO HOURS DURING TRADING HOURS

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## End of Report



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