

BrokerCheck Report

GREGORY MARCEL MARTINO

CRD# 703338

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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



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.

GREGORY M. MARTINO

CRD# 703338

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:**

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

Registration History

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

B FOX CHASE CAPITAL PARTNERS, LLC
CRD# 104087
SPRINGFIELD, NJ
05/2020 - 11/2021

B BLACKBOOK CAPITAL LLC
CRD# 123234
New York, NY
06/2014 - 02/2015

B COASTAL EQUITIES, INC.
CRD# 23769
New York, NY
04/2014 - 06/2014

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Customer Dispute	10
Termination	1
Judgment/Lien	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

Broker Qualifications



Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. 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 3 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination	Series 4	04/03/2002
General Securities Principal Examination	Series 24	04/09/1998
General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	03/18/1985

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7TO	05/23/2020
Securities Industry Essentials Examination	SIE	03/12/2020
General Securities Representative Examination	Series 7	10/20/1979

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	09/02/2020

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 05/2020 - 11/2021	FOX CHASE CAPITAL PARTNERS, LLC	104087	SPRINGFIELD, NJ
B 06/2014 - 02/2015	BLACKBOOK CAPITAL LLC	123234	New York, NY
B 04/2014 - 06/2014	COASTAL EQUITIES, INC.	23769	New York, NY
B 07/2012 - 05/2014	JOHN CARRIS INVESTMENTS LLC	145767	HOBOKEN, NJ
B 12/2011 - 01/2012	JOHN CARRIS INVESTMENTS LLC	145767	HOBOKEN, NJ
B 02/2002 - 10/2010	WESTROCK ADVISORS, INC.	114338	NEW YORK, NY
B 11/1995 - 04/2002	SANDGRAIN SECURITIES, INC.	26004	GARDEN CITY, NY
B 04/1994 - 10/1995	FIRST ALBANY CORPORATION	298	NEW YORK, NY
B 08/1990 - 03/1994	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 09/1988 - 08/1990	GRUNTAL & CO. INCORPORATED	372	NEW YORK, NY
B 04/1988 - 09/1988	FAHNESTOCK & CO., INC.	249	
B 02/1987 - 04/1988	FAHNESTOCK INTERNATIONAL INC.	279	
B 10/1979 - 02/1987	MOSELEY SECURITIES CORPORATION	7908	

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
04/2014 - Present	COASTAL EQUITIES, INC	RR	Y	WILMINGTON, DE, 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	2	0
Customer Dispute	0	10	N/A
Termination	N/A	1	N/A
Judgment/Lien	1	N/A	N/A



Disclosure Event Details

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

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

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	11/02/2016
Docket/Case Number:	15-00607
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Respondent Martino 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?

Resolution Date: 11/02/2016

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?

(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: Any capacity

Duration: n/a

Start Date: 11/02/2016

End Date: 03/10/2017

**Regulator Statement**

Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Martino is suspended on November 2, 2016 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 March 10, 2017.

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Suspension

Date Initiated: 11/02/2016

Docket/Case Number: [15-00607](#)

Employing firm when activity occurred which led to the regulatory action: n/a

Product Type: No Product

Allegations: respondent martino failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information regarding 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: 11/02/2016

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: all capacities

Duration: 4 months and 8 days



Start Date: 11/02/2016

End Date: 03/10/2017

Broker Statement mr martino is trying to rehabilitate his license....he is not being licensed as a supervisor....he is being licenced as a registered representative only.....mr martino is being placed on heightened supervision by the firm

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 11/04/2011

Docket/Case Number: [2011026346201](#)

Employing firm when activity occurred which led to the regulatory action: WESTROCK ADVISORS, INC.

Product Type: Equity Listed (Common & Preferred Stock)
Other: PRIVATE PLACEMENT NOTES

Allegations: NASD RULES 2110 AND 3010(B): MARTINO FAILED TO TAKE SUFFICIENT ACTION TO ENSURE THAT HIS MEMBER FIRM ESTABLISHED, MAINTAINED AND ENFORCED WRITTEN SUPERVISORY PROCEDURES THAT WERE DESIGNED TO PROVIDE FOR REASONABLE SUPERVISION OF THE FIRM'S SALE OF THE PARENT COMPANY NOTES AND PREFERRED STOCK TO CUSTOMERS.

IN AUGUST 2007, THE FIRM BEGAN MARKETING A PRIVATE PLACEMENT OF UP TO \$6 MILLION OF 12% SUBORDINATED NOTES AND 8% CLASS B CONVERTIBLE PREFERRED STOCK, ISSUED BY ITS PARENT COMPANY, FOR THE PRIMARY PURPOSE OF PURSUING A BUSINESS COMBINATION WITH ANOTHER BROKER-DEALER. THE 2007 PRIVATE PLACEMENT WAS TO BE SOLD TO ACCREDITED INVESTORS ONLY, PURSUANT TO RULE 506 OF REGULATION D UNDER THE SECURITIES ACT OF 1933.

THE PRIVATE PLACEMENT NOTES AND PREFERRED STOCK WERE HIGHLY RISKY. THE PRIVATE PLACEMENT MEMORANDUM (PPM) WARNED, IN BOLDFACE, CAPITAL LETTERS, THAT "THE SECURITIES OFFERED HEREBY ARE SPECULATIVE AND INVOLVE A HIGH DEGREE OF RISK AND SHOULD NOT BE PURCHASED BY ANYONE WHO CANNOT AFFORD THE LOSS OF HIS, HER OR ITS ENTIRE INVESTMENT." THE PPM ALSO WARNED THAT THE



COMPANY HAD A HISTORY OF LOSSES AND THAT IT MIGHT NOT HAVE SUFFICIENT CAPITAL TO CONTINUE OPERATIONS IF IT DID NOT RAISE THE MAXIMUM AMOUNT.

MARTINO HAD OVERALL RESPONSIBILITY FOR THE FIRM'S WRITTEN SUPERVISORY PROCEDURES AND ITS SUPERVISORY PRACTICES. MARTINO KNEW THAT THE PARENT COMPANY NOTES AND PREFERRED STOCK WERE NOT APPROPRIATE FOR CUSTOMERS WITH LOW OR MODERATE RISK TOLERANCE, OR WITH LIMITED INVESTMENT EXPERIENCE. HOWEVER, THE FIRM'S PROCEDURES DID NOT SET FORTH ADEQUATE MECHANISMS FOR REVIEWING THE SUITABILITY OF SALES OF HIGH-RISK PRODUCTS SUCH AS THE PARENT COMPANY NOTES AND PREFERRED STOCK. THEY ALSO DID NOT ALLOCATE RESPONSIBILITY FOR PERFORMING SPECIFIC TASKS TO IDENTIFIED INDIVIDUALS. THE PROCEDURES INSTEAD ASSIGNED SUPERVISORY RESPONSIBILITIES FOR PRIVATE PLACEMENTS TO A PRINCIPAL OF THE FIRM WITHOUT SPECIFYING HOW THOSE RESPONSIBILITIES WERE TO BE CARRIED OUT. AS A RESULT, NO ONE AT THE FIRM UNDERTOOK ANY SUBSTANTIVE REVIEW OF THE SUITABILITY OF THE SALES OF THE PARENT COMPANY SECURITIES TO THE FIRM'S CUSTOMERS, INCLUDING RISK-VERSE CUSTOMERS. INSTEAD OF TAKING APPROPRIATE ACTION TO ENSURE THAT THE PROCEDURES ADDRESSED THESE ISSUES IN CONNECTION WITH THE SALE OF THE PARENT COMPANY NOTES AND PREFERRED STOCK, MARTINO ASSUMED THAT THE PRINCIPAL RESPONSIBLE FOR PRIVATE PLACEMENTS, OR THE FIRM'S CCO, WOULD REVIEW THE CUSTOMER ACCOUNT INFORMATION. SEVEN REGISTERED REPRESENTATIVES OF THE FIRM SOLD THE 2007 PRIVATE PLACEMENT TO FIFTY CUSTOMERS. THE INVESTMENT WAS UNSUITABLE FOR MANY OF THE CUSTOMERS. NUMEROUS CUSTOMERS HAD CONSERVATIVE OR MODERATE RISK TOLERANCES, MANY HAD LIMITED INVESTMENT EXPERIENCE, AND MANY INVESTED LARGE PERCENTAGES OF THEIR ANNUAL INCOME IN THE NOTES OR PREFERRED STOCK. IN ADDITION, A NUMBER OF THE CUSTOMERS DID NOT SATISFY THE CRITERIA FOR ACCREDITED INVESTOR STATUS REQUIRED UNDER RULE 506. HOWEVER, BECAUSE OF THE DEFICIENCIES IN THE FIRM'S PROCEDURES DESCRIBED ABOVE, THE SALES OF THE PARENT COMPANY NOTES AND PREFERRED STOCK TO THESE CUSTOMERS DID NOT RECEIVE ADEQUATE SUPERVISORY REVIEW.

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:	11/04/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) 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: ANY PRINCIPAL CAPACITY

Duration: 60 DAYS

Start Date: 11/21/2011

End Date: 01/19/2012

**Monetary Sanction 1 of 1**

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 12/16/2011

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, MARTINO CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR 60 DAYS. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM, OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDINGS, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM NOVEMBER 21, 2011, THROUGH JANUARY 19, 2012. FINE PAID IN FULL DECEMBER 16, 2011.

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 11/04/2011

Docket/Case Number: [2011026346201](#)

Employing firm when activity occurred which led to the regulatory action: WESTROCK ADVISORS, INC

Product Type: Equity Listed (Common & Preferred Stock)
Other: PRIVATE PLACEMENT NOTES

**Allegations:**

ASD RULES 2110 AND 3010(B): MARTINO FAILED TO TAKE SUFFICIENT ACTION TO ENSURE THAT HIS MEMBER FIRM ESTABLISHED, MAINTAINED AND ENFORCED WRITTEN SUPERVISORY PROCEDURES THAT WERE DESIGNED TO PROVIDE FOR REASONABLE SUPERVISION OF THE FIRM'S SALE OF THE PARENT COMPANY NOTES AND PREFERRED STOCK TO CUSTOMERS. IN AUGUST 2007, THE FIRM BEGAN MARKETING A PRIVATE PLACEMENT OF UP TO \$6 MILLION OF 12% SUBORDINATED NOTES AND 8% CLASS B CONVERTIBLE PREFERRED STOCK, ISSUED BY ITS PARENT COMPANY, FOR THE PRIMARY PURPOSE OF PURSUING A BUSINESS COMBINATION WITH ANOTHER BROKER-DEALER. THE 2007 PRIVATE PLACEMENT WAS TO BE SOLD TO ACCREDITED INVESTORS ONLY, PURSUANT TO RULE 506 OF REGULATION D UNDER THE SECURITIES ACT OF 1933. THE PRIVATE PLACEMENT NOTES AND PREFERRED STOCK WERE HIGHLY RISKY. THE PRIVATE PLACEMENT MEMORANDUM (PPM) WARNED, IN BOLDFACE, CAPITAL LETTERS, THAT "THE SECURITIES OFFERED HEREBY ARE SPECULATIVE AND INVOLVE A HIGH DEGREE OF RISK AND SHOULD NOT BE PURCHASED BY ANYONE WHO CANNOT AFFORD THE LOSS OF HIS, HER OR ITS ENTIRE INVESTMENT." THE PPM ALSO WARNED THAT THE COMPANY HAD A HISTORY OF LOSSES AND THAT IT MIGHT NOT HAVE SUFFICIENT CAPITAL TO CONTINUE OPERATIONS IF IT DID NOT RAISE THE MAXIMUM AMOUNT. MARTINO HAD OVERALL RESPONSIBILITY FOR THE FIRM'S WRITTEN SUPERVISORY PROCEDURES AND ITS SUPERVISORY PRACTICES. MARTINO KNEW THAT THE PARENT COMPANY NOTES AND PREFERRED STOCK WERE NOT APPROPRIATE FOR CUSTOMERS WITH LOW OR MODERATE RISK TOLERANCE, OR WITH LIMITED INVESTMENT EXPERIENCE. HOWEVER, THE FIRM'S PROCEDURES DID NOT SET FORTH ADEQUATE MECHANISMS FOR REVIEWING THE SUITABILITY OF SALES OF HIGH-RISK PRODUCTS SUCH AS THE PARENT COMPANY NOTES AND PREFERRED STOCK. THEY ALSO DID NOT ALLOCATE RESPONSIBILITY FOR PERFORMING SPECIFIC TASKS TO IDENTIFIED INDIVIDUALS. THE PROCEDURES INSTEAD ASSIGNED SUPERVISORY RESPONSIBILITIES FOR PRIVATE PLACEMENTS TO A PRINCIPAL OF THE FIRM WITHOUT SPECIFYING HOW THOSE RESPONSIBILITIES WERE TO BE CARRIED OUT. AS A RESULT, NO ONE AT THE FIRM UNDERTOOK ANY SUBSTANTIVE REVIEW OF THE SUITABILITY OF THE SALES OF THE PARENT COMPANY SECURITIES TO THE FIRM'S CUSTOMERS, INCLUDING RISK-AVERSE CUSTOMERS. INSTEAD OF TAKING APPROPRIATE ACTION TO ENSURE THAT THE PROCEDURES ADDRESSED THESE ISSUES IN CONNECTION WITH THE SALE OF THE PARENT COMPANY NOTES AND PREFERRED STOCK, MARTINO ASSUMED THAT THE PRINCIPAL RESPONSIBLE FOR PRIVATE PLACEMENTS, OR THE FIRM'S CCO, WOULD REVIEW THE CUSTOMER ACCOUNT INFORMATION. SEVEN REGISTERED REPRESENTATIVES OF THE FIRM SOLD THE 2007 PRIVATE PLACEMENT TO FIFTY CUSTOMERS. THE INVESTMENT WAS UNSUITABLE



FOR MANY OF THE CUSTOMERS. NUMEROUS CUSTOMERS HAD CONSERVATIVE OR MODERATE RISK TOLERANCES, MANY HAD LIMITED INVESTMENT EXPERIENCE, AND MANY INVESTED LARGE PERCENTAGES OF THEIR ANNUAL INCOME IN THE NOTES OR PREFERRED STOCK. IN ADDITION, A NUMBER OF THE CUSTOMERS DID NOT SATISFY THE CRITERIA FOR ACCREDITED INVESTOR STATUS REQUIRED UNDER RULE 506. HOWEVER, BECAUSE OF THE DEFICIENCIES IN THE FIRM'S PROCEDURES DESCRIBED ABOVE, THE SALES OF THE PARENT COMPANY NOTES AND PREFERRED STOCK TO THESE CUSTOMERS DID NOT RECEIVE ADEQUATE SUPERVISORY REVIEW

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:	11/04/2011
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY PRINCIPAL CAPACITY
Duration:	60DAYS
Start Date:	11/21/2011
End Date:	01/19/2012
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	



Was any portion of penalty waived? No

Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, MR. MARTINO CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATES WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR 60 DAYS. THE FINE SHALL BE PAYABLE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING IN FROM THIS OR ANY OTHER EVENT PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM NOVEMBER 21, 2011 THROUGH JANUARY 19, 2012



Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 3

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: WESTROCK ADVISORS, INC.
Allegations: BREACH OF FIDUCIARY DUTY; COMMON LAW NEGLIGENCE; STATUTORY CONTROL PERSON LIABILITY; FAILURE TO REASONABLY SUPERVISE
Product Type: Other: IRA ACCOUNT, UNSPECIFIED SECURITIES
Alleged Damages: \$145,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #09-03845](#)
Date Notice/Process Served: 06/23/2009
Arbitration Pending? No
Disposition: Award
Disposition Date: 11/30/2010
Disposition Detail: MARTINO IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY CLAIMANT \$65,585.50 IN COMPENSATORY DAMAGES LESS ANY AMOUNTS RECEIVED PURSUANT TO CLAIMANT'S SETTLEMENT WITH THIRD RESPONDENT. MARTINO IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY CLAIMANT \$39,265.50 IN PRE-JUDGMENT INTEREST.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: WESTROCK ADVISORS, INC.
Allegations: BREACH OF FIDUCIARY DUTY; COMMON LAW NEGLIGENCE; STATUTORY CONTROL PERSON LIABILITY; FAILURE TO REASONABLY SUPERVISE
Product Type: Other: IRA ACCOUNT, UNSPECIFIED SECURITIES
Alleged Damages: \$145,000.00



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 #: 09-03845

Filing date of arbitration/CFTC reparation or civil litigation: 06/23/2009

Customer Complaint Information

Date Complaint Received: 06/23/2009

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 11/30/2010

Settlement Amount: \$65,858.50

Individual Contribution Amount: \$39,265.50

Arbitration Information

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

Docket/Case #: [09-03845](#)

Date Notice/Process Served: 06/23/2009

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/30/2010

Monetary Compensation Amount: \$141,835.00

Individual Contribution Amount: \$0.00



Disclosure 2 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MOSELEY SECURITIES CORP.

Allegations:

Product Type:

Alleged Damages: \$9,934.57

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/01/1987

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD

Date Notice/Process Served: 11/01/1985

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/01/1987

Monetary Compensation Amount: \$9,934.57

Individual Contribution Amount:

Firm Statement IN NOVEMBER 1985, CUSTOMER AND CUSTOMER FILED AN ARBITRATION CLAIM BEFORE THE NASD, NAMING AS RESPONDENTS MOSELEY AND GREGORY MARTINO, FORMERLY A REGISTERED REPRESENTATIVE IN



MOSELEY'S NEW YORK OFFICE. THE STATEMENT OF CLAIM ALLEGED THAT MARTINO HAD EFFECTED UNAUTHORIZED TRADES AND FAILED TO FOLLOW CLAIMANTS' INSTRUCTIONS REGARDING THEIR ACCOUNT. CLAIMANTS ALLEGED DAMAGES OF \$9,934.57 PLUS INTEREST AND EXPENSES. MOSELEY'S ANSWER ASSERTED A COUNTERCLAIM IN THE AMOUNT OF \$2,612.64 PLUS INTEREST, REPRESENTING A DEBIT BALANCE IN CLAIMANTS' ACCOUNT. IN SEPTEMBER 1987, THE ARBITRATORS AWARDED CLAIMANTS \$9,934.57 AND DISMISSED RESPONDENTS' COUNTERCLAIM. MR. MARTINO HAS BEEN REQUESTED TO CONTRIBUTE TO THE AWARD.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MOSELEY SECURITIES CORP.
Allegations: UNAUTHORIZED TRADING AND FAILURE TO FOLLOW INSTRUCTIONS.

Product Type:
Alleged Damages: \$9,934.57

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/01/1987

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD
Date Notice/Process Served: 11/01/1985
Arbitration Pending? No
Disposition: Award to Customer



Disposition Date: 09/01/1987
Monetary Compensation Amount: \$9,934.57
Individual Contribution Amount:
Broker Statement SETTLED FOR 9934.50
BEING AS THIS WAS SETTLED MORE THAN 10 YEARS AGO
AND I DID NOT CONTRIBUTE TO THE SETTLEMENT. PLEASE TAKE THIS
OFF MY RECORD.

Disclosure 3 of 3

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MOSELEY SECURITIES CORP.
Allegations: ALLEGED FAILURE TO EXECUTE ORDER.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 12/01/1987

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE

Date Notice/Process Served: 06/01/1986

Arbitration Pending? No

Disposition: Award to Customer



Disposition Date: 12/01/1987

Monetary Compensation Amount: \$9,750.00

Individual Contribution Amount: \$0.00

Broker Statement

CUSTOMER WAS AWARDED \$9750. BROKER DID NOT CONTRIBUTE.
SINCE THIS INCIDENT WAS CLOSED MORE THAN 10 YEARS AGO, PLEASE TAKE IT OFF MY RECORD.



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 7

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: WESTROCK ADVISORS, INC.
Allegations: FRAUD; MISREPRESENTATIONS; NEGLIGENCE; BREACH OF FIDUCIARY DUTIES
Product Type: Other
Other Product Type(s): PROMISSORY NOTES
Alleged Damages: \$230,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #08-00294](#)

Date Notice/Process Served: 01/23/2008

Arbitration Pending? No

Disposition: Other

Disposition Date: 02/23/2009

Disposition Detail: STIPULATED AWARD: PARTIES ENTERED INTO A SETTLEMENT AGREEMENT IN OR ABOUT DECEMBER 10, 2008. MARTINO IS JOINTLY AND SEVERALLY LIABLE TO AND SHALL PAY CLAIMANTS \$107,500 IN COMPENSATORY DAMAGES LESS ANY AMOUNTS PAID BY RESPONDENTS UNDER THE SETTLEMENT AGREEMENT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WESTROCK ADVISORS

Allegations: FRAUD; MISREPRESENTATION; NEGLIGENCE; BREACH OF FIDUCIARY DUTIES.

Product Type: Other: PRIVATE PLACEMENT



Alleged Damages: \$230,000.00

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 #: 08-00294

Filing date of arbitration/CFTC reparation or civil litigation: 01/23/2008

Customer Complaint Information

Date Complaint Received: 02/10/2008

Complaint Pending? No

Status: Settled

Status Date: 02/23/2009

Settlement Amount: \$230,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: [08-00294](#)

Date Notice/Process Served: 02/12/2008

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/23/2009

Monetary Compensation Amount: \$230,000.00



Individual Contribution Amount: \$0.00

Disclosure 2 of 7

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: WESTROCK ADVISORS, INC.
Allegations: CLAIMANT ASSERTED THE FOLLOWING CAUSE OF ACTION: FAILURE TO SUPERVISE.
Product Type: Other
Other Product Type(s): THE CAUSES OF ACTION RELATE TO UNSPECIFIED SECURITIES.
Alleged Damages: \$225,840.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #07-00736](#)
Date Notice/Process Served: 03/07/2007
Arbitration Pending? No
Disposition: Other
Disposition Date: 04/18/2008
Disposition Detail: STIPULATED AWARD ISSUED: CLAIMANT AND RESPONDENT MARTINO ENTERED INTO A CONFIDENTIAL SETTLEMENT AGREEMENT. IN CONNECTION WITH THAT AGREEMENT, CLAIMANT DISMISSED ALL CLAIMS, WITH PREJUDICE, AGAINST RESPONDENTS IN JANUARY 2008.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: WESTROCK ADVISORS, INC.
Allegations: NEGIGENT, UNSUPERVISED TRADING
Product Type: Mutual Fund
Alleged Damages: \$225,840.00



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: 03/01/2007

Complaint Pending? No

Status: Settled

Status Date: 04/18/2008

Settlement Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: [07-00736](#)

Date Notice/Process Served: 03/07/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/18/2008

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement STIPULATED AWARD ISSUED: CLAIMANT AND RESPONDENT MARTINO ENTERED INTO A CONFIDENTIAL SETTLEMENT AGREEMENT IN CONNECTION WITH THAT AGREEMENT THE CLAIMANT DISMISSED ALL CLAIMS WITH PREJUDICE AGAINST RESPONDENT IN JANUARY 2008

Disclosure 3 of 7

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: WESTROCK ADVISORS, INC

Allegations: FAILURE TO SUPERVISE

Product Type: Equity-OTC

Alleged Damages: \$307,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 02/17/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 04-00882

Date Notice/Process Served: 03/29/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/30/2006

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement settlement amount is an estimate records were destroyed by finra....mr martino was never made aware of this arbitration

Disclosure 4 of 7



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: WESTROCK ADVISORS, INC./SANDGRAIN SECURITIES

Allegations: FAILURE TO SUPERVISE

Product Type: Equity-OTC

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 02/17/2004

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 02/17/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 04-00882

Date Notice/Process Served: 02/06/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/06/2006

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement files have been destroyed....dates and amounts are best guess estimates

Disclosure 5 of 7



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: SANDGRAIN SECURITIES, INC
Allegations: UNSPECIFIED CLAIMS AGAINST MR MARTINO FOR ALLEGED ACTIONS AND INACTIONS AS SUPERVISOR AND ALLEGED STOCK BROKER.

Product Type: Equity-OTC
Alleged Damages: \$35,510.00

Customer Complaint Information

Date Complaint Received: 02/04/2002
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 02/04/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): nasd
Docket/Case #: 02-00435
Date Notice/Process Served: 02/04/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/06/2004
Monetary Compensation Amount: \$10,000.00
Individual Contribution Amount: \$0.00
Broker Statement records of settlement have been destroyed by finra....the settlement amount is an estimate....mr martino was not ever made aware of the case

**Disclosure 6 of 7**

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: SANDGRAIN SECURITIES, INC
Allegations: NEGLIGENT SUPERVISION OF ELLIOT NADEL, AN ACCOUNT EXECUTIVE. COMPLAINT SEEKS ALL DAMAGES AS MAY BE PROVEN BUT LESS THAN \$1,000,000.
Product Type: Equity-OTC
Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received: 11/24/1998
Complaint Pending? No
Status: Settled
Status Date: 10/22/1999
Settlement Amount: \$45,000.00
Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: PRIVATE MEDIATION
Name of Court: PRIVATE MEDIATION
Location of Court: MICHAGAN
Docket/Case #: N/A
Date Notice/Process Served: 04/14/1999
Litigation Pending? No
Disposition: Settled
Disposition Date: 10/22/1999
Monetary Compensation Amount: \$45,000.00
Individual Contribution Amount: \$0.00

**Broker Statement**

ACTION WAS REFERRED TO MEDIATION WHEREIN SETTLEMENT WAS MADE WHICH PROVIDES THE ACCOUNT EXECUTIVE (NADEL) IS TO REFUND COMMISSIONS TO CUSTOMER IN THE AMOUNT OF \$45,000.00 MR. MARTINO MADE NO CONTRIBUTION TO THE SETTLEMENT.

Disclosure 7 of 7

Reporting Source: Broker

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

Allegations: ALLEGED UNSUITABILITY ALLEGED LOSSES
24,438.00.

Product Type:

Alleged Damages: \$24,438.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/14/1987

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD

Date Notice/Process Served: 02/01/1987

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/14/1987

Monetary Compensation Amount: \$11,999.00



Individual Contribution Amount:	\$1,000.00
Broker Statement	SETTLED [CUSTOMER] ON 9/14/87 FOR 7000 OF WHICH FIRM (MOSELY) PAID 5000 AND MYSELF AND [BROKER] (THE OTHER BROKER INVOLVED) PAID \$1,000 EACH. FIRM (MOSELY) SETTLED [CUSTOMER] FOR LESS THAN 5,000. SINCE THIS WAS SETTLED 9/87, PLEASE REMOVE FROM MY RECORD.



Employment Separation After Allegations

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

Disclosure 1 of 1

Reporting Source: Broker
Employer Name: PRUDENTIAL SECURITIES INCORPORATED
Termination Type: Permitted to Resign
Termination Date: 02/01/1994
Allegations: N/A
NO CUSTOMER COMPLAINT INVOLVED. NO MONETARY LOSSES TO ANY CLIENTS. EMPLOYEE PARTICIPATED IN STOCK OFFERING OF FEDERAL SAVINGS ASSN WITH WHICH HE HAD A MORTGAGE. THIS OCCURRED OUTSIDE OF FIRM ON BEHALF OF HIMSELF AND OTHERS AND A SUBSCRIPTION FORM WAS FILED FAILING TO DISCLOSE MATERIAL FACTS REGARDING THE TRANSACTION.
Product Type:
Other Product Types:
Broker Statement
EMPLOYEE PREMITTED TO RESIGN. INTERNAL REVIEW CONCLUDED EMPLOYEE ACTED WITHOUT CAREFUL REVIEW OF REQUIREMENTS OF THIS PRIVATE STOCK OFFERING.
I DID NOT PROPERLY FILLOUT AN APPLICATION FOR AN OFFERING OF STOCK IN A BANK I HAD A MORTGAGE WITH. THE FIRM ACKNOWLEDGES THIS WAS NOT DONE INTENTIONALLY, RATHER IT WAS MY FAILURE TO READ THE APPLICATION PRIOR TO SIGNING IT.



Judgment / Lien

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

Disclosure 1 of 1

Reporting Source: Broker

Judgment/Lien Holder: unspecified creditor

Judgment/Lien Amount: \$4,962.00

Judgment/Lien Type: Civil

Date Filed with Court: 05/10/2011

Date Individual Learned: 02/13/2020

Type of Court: county

Name of Court: westchester ny

Location of Court: westchester ny

Docket/Case #: 1105104197

Judgment/Lien Outstanding? Yes

Broker Statement

mr martino has informed us that this lien is as a result of acting as treasurer of his brothers political campaign....the campaign was fined for not making a filing in a timely manner....as treasurer he was the person deemed responsible for the filing and thus the lien was issued in his name

End of Report



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