

BrokerCheck Report

ROGER BRIGGS COE JR

CRD# 710456

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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.

ROGER B. COE JR

CRD# 710456

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
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration History

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

B **GATE US LLC**
CRD# 10863

NEW YORK, NY
10/2010 - 05/2012

B **ZEALOUS CAPITAL MARKETS, LLC.**
CRD# 136412

BOSTON, MA
12/2007 - 01/2009

B **OPPENHEIMER & CO. INC.**
CRD# 249

BOSTON, MA
01/2003 - 12/2007

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	06/21/1980

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/14/1985

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/2010 - 05/2012	GATE US LLC	10863	NEW YORK, NY
B 12/2007 - 01/2009	ZEALOUS CAPITAL MARKETS, LLC.	136412	BOSTON, MA
B 01/2003 - 12/2007	OPPENHEIMER & CO. INC.	249	BOSTON, MA
B 08/2000 - 01/2003	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY
B 04/1998 - 06/2000	TUCKER ANTHONY INCORPORATED	837	BOSTON, MA
B 05/1994 - 04/1998	CIBC OPPENHEIMER CORP.	630	NEW YORK, NY
B 12/1990 - 05/1994	ALEX. BROWN & SONS INCORPORATED	20	
B 01/1990 - 12/1990	COWEN & CO.	1541	NEW YORK, NY
B 10/1988 - 01/1990	HAMBRECHT & QUIST INCORPORATED	940	SAN FRANCISCO, CA
B 12/1986 - 10/1988	PAINEWEEBER INCORPORATED	8174	
B 05/1986 - 01/1987	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	
B 01/1984 - 06/1986	SHEARSON LEHMAN BROTHERS INC.	7506	
B 07/1982 - 01/1984	HERZFELD & STERN INC.	406	
B 06/1980 - 07/1982	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	

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
09/2008 - Present	BRIGGS CAPITAL ADVISORS	CONSULTANT	Y	BOSTON, MA, United States

Registration and Employment History



Employment History, continued

Disclosure Events



What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:

- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	1	0
Customer Dispute	1	N/A



Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Suspension

Date Initiated: 02/03/2016

Docket/Case Number: [12-00889](#)

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

Product Type: No Product

Allegations: Respondent Coe failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

Current Status: Final

Resolution: Letter

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 02/03/2016

Sanctions Ordered: Suspension



If the regulator is the SEC, No

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: 02/03/2016

End Date:

Regulator Statement

Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Coe is suspended on February 3, 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.



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 named broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations:

Product Type:

Alleged Damages: \$59,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NEW YORK STOCK EXCHANGE

Date Notice/Process Served: 10/31/1986

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 01/20/1988

Monetary Compensation Amount: \$11,000.00

Individual Contribution Amount: \$0.00

Firm Statement "[CUSTOMER], A FORMER CLIENT OF SHEARSON'S 437 MADISON



AVENUE, NEW YORK, NEW YORK BRANCH, ALLEGED HIS FORMER FINANCIAL CONSULTANT, ROGER COE, ENGAGED IN UNAUTHORIZED AND UNSUITABLE TRADING, AS WELL AS CHURNING, IN [CUSTOMER'S] INDIVIDUAL AND CORPORATE ACCOUNTS. [CUSTOMER] CLAIMED DAMAGES OF \$59,000. AFTER THREE HEARINGS, A NYSE ARBITRATION PANEL AWARDED [CUSTOMER] \$11,000."

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN BROTHERS INC.

Allegations: CLIENT FILED FOR ARBITRATION ON OR ABOUT OCT. 31, 1986. THE CLIENT ALLEGED THAT I ENGAGED IN EXCESSIVE AND UNSUITABLE TRADING IN HIS ACCOUNT. HE SOUGHT DAMAGES OF \$59,000. AFTER THREE HEARINGS, THE PANEL AWARDED CLIENT \$11,000 WHICH WAS THE TOTAL AMOUNT OF COMMISSIONS GENERATED DURING THE QUESTIONING PERIOD. I DID NOT PARTICIPATE IN THE SETTLEMENT.

Product Type: No Product

Alleged Damages: \$59,000.00

Customer Complaint Information

Date Complaint Received: 10/31/1986

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/31/1986

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NEW YORK STOCK EXCHANGE / DOCKET CASE NUMBER NOT AVAILABLE.

Date Notice/Process Served: 10/31/1986

Arbitration Pending? No



Disposition: Award to Customer
Disposition Date: 01/20/1988
Monetary Compensation Amount: \$11,000.00
Individual Contribution Amount: \$0.00
Broker Statement SEE ABOVE
NOT PROVIDED DOCKET CASE NUMBER NOT AVAILABLE

End of Report



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