**BrokerCheck Report**

# CHRISTOPHER CHARLES LAFFEY

CRD# 859962

**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.

# CHRISTOPHER C. LAFFEY

CRD# 859962

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

B **ALEXANDER CAPITAL, L.P.**
10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701
CRD# 40077
Registered with this firm since: 12/16/2015

## Report Summary for this Broker

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

### Broker Qualifications

**This broker is registered with:**

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

**This broker has passed:**

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

### Registration History

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

B **LADENBURG THALMANN & CO. INC.**
CRD# 505
MORRISTOWN, NJ
10/2015 - 12/2015

B **GILFORD SECURITIES INCORPORATED**
CRD# 8076
MORRISTOWN, NJ
11/2001 - 10/2015

B **H.C. WAINWRIGHT & CO., INC.**
CRD# 375
NEW YORK, NY
06/2001 - 10/2001

### Disclosure Events

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

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

**The following types of disclosures have been reported:**

| Type | Count |
|---|---|
| Customer Dispute | 6 |
| 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 individual is currently registered with 1 SRO and is licensed in 28 U.S. states and territories through his or her employer.**

### Employment 1 of 1

| | |
|---|---|
| Firm Name: | **ALEXANDER CAPITAL, L.P.** |
| Main Office Address: | **10 DRS JAMES PARKER BLVD<br>SUITE 202<br>RED BANK, NJ  07701** |
| Firm CRD#: | **40077** |

| | SRO | Category | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 12/16/2015 |

| | U.S. State/ Territory | Category | Status | Date |
|---|---|---|---|---|
| B | Alabama | Agent | Approved | 02/06/2020 |
| B | Arizona | Agent | Approved | 12/12/2019 |
| B | California | Agent | Approved | 12/16/2015 |
| B | Colorado | Agent | Approved | 07/16/2019 |
| B | Connecticut | Agent | Approved | 12/21/2015 |
| B | Florida | Agent | Approved | 12/16/2015 |
| B | Georgia | Agent | Approved | 12/16/2015 |
| B | Illinois | Agent | Approved | 02/05/2020 |
| B | Indiana | Agent | Approved | 02/07/2020 |
| B | Kentucky | Agent | Approved | 02/05/2020 |
| B | Louisiana | Agent | Approved | 10/05/2022 |
| B | Massachusetts | Agent | Approved | 01/01/2016 |

# Broker Qualifications

## Employment 1 of 1, continued

| | U.S. State/ Territory | Category | Status | Date |
|---|---|---|---|---|
| B | Michigan | Agent | Approved | 06/14/2021 |
| B | Minnesota | Agent | Approved | 02/07/2020 |
| B | New Hampshire | Agent | Approved | 06/17/2020 |
| B | New Jersey | Agent | Approved | 12/21/2015 |
| B | New Mexico | Agent | Approved | 02/07/2020 |
| B | New York | Agent | Approved | 12/16/2015 |
| B | North Carolina | Agent | Approved | 12/16/2015 |
| B | Pennsylvania | Agent | Approved | 12/16/2015 |
| B | Rhode Island | Agent | Approved | 12/16/2015 |
| B | South Carolina | Agent | Approved | 12/16/2016 |
| B | Texas | Agent | Approved | 12/18/2015 |
| B | Vermont | Agent | Approved | 02/10/2020 |
| B | Virginia | Agent | Approved | 07/09/2020 |
| B | Washington | Agent | Approved | 06/02/2020 |
| B | Wisconsin | Agent | Approved | 10/06/2022 |
| B | Wyoming | Agent | Approved | 06/11/2020 |

## Branch Office Locations

**ALEXANDER CAPITAL, L.P.**
10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ  07701

# 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, 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 |
|---|---|---|---|
| B | Securities Industry Essentials Examination | SIE | 10/01/2018 |
| B | General Securities Representative Examination | Series 7 | 11/18/1978 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Uniform Securities Agent State Law Examination | Series 63 | 12/19/1991 |

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 | 10/2015 - 12/2015 | LADENBURG THALMANN & CO. INC. | 505 | MORRISTOWN, NJ |
| B | 11/2001 - 10/2015 | GILFORD SECURITIES INCORPORATED | 8076 | MORRISTOWN, NJ |
| B | 06/2001 - 10/2001 | H.C. WAINWRIGHT & CO., INC. | 375 | NEW YORK, NY |
| B | 03/1995 - 06/2001 | LEGG MASON WOOD WALKER, INCORPORATED | 6555 | BALTIMORE, MD |
| B | 06/1992 - 03/1995 | WERTHEIM SCHRODER & CO. INCORPORATED | 6112 | NEW YORK, NY |
| B | 09/1983 - 05/1992 | TUCKER ANTHONY INCORPORATED | 837 | BOSTON, MA |
| B | 01/1980 - 09/1983 | PAINE, WEBBER, JACKSON & CURTIS INC. | 8174 | |
| B | 01/1980 - 01/1980 | PAINE, WEBBER, JACKSON & CURTIS INCORPORATED | 640 | |
| B | 11/1978 - 01/1980 | BLYTH EASTMAN DILLON & CO. INCORPORATED | 6361 | |

## 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 |
|---|---|---|---|---|
| 12/2015 - Present | ALEXANDER CAPITAL LP | REGISTERED REPRESENTATIVE | Y | NEW YORK, NY, United States |
| 10/2015 - 12/2015 | LADENBURG THALMANN & CO., INC. | REGISTERED REPRESENTATIVE | Y | MORRISTOWN, NJ, United States |
| 11/2001 - 10/2015 | GILFORD SECURITIES | REGISTERED REPRESENTATIVE | Y | NEW YORK, NY, 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:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - 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.
   - 
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - 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.
   - 
4. **There are different statuses and dispositions for disclosure events:**
   - 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.
   - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

**For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.**

| | Pending | Final | On Appeal |
|---|---|---|---|
| Customer Dispute | 2 | 4 | N/A |
| Judgment/Lien | 1 | N/A | N/A |

## Disclosure Event Details

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

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

## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 4

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Employing firm when activities occurred which led to the complaint:** | |
| **Allegations:** | ALLEGED UNAUTHORIZED TRADES; FAILURE TO DISCLOSE RISKS OF SHORT-SELLING. |
| **Product Type:** | |
| **Alleged Damages:** | |

### Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 05/18/1992 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 11/01/1994 |
| **Settlement Amount:** | $200,000.00 |
| **Individual Contribution Amount:** | |
| **Firm Statement** | SETTLED FOR $200,000.00. LAFFEY IS NEGOTIATING TERMS OF HIS CONTRIBUTION TOWARDS THE SETTLEMENT.. Not Provided |

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** VERBAL CUSTOMER COMPLAINT REGARDING DISSATISFACTION WITH HIS ACCOUNT. AMOUNT OF CLAIMED DAMAGES HAVE NOT BEEN SPECIFIED, BUT MAY EXCEED $10,000.00.

**Product Type:**

**Alleged Damages:**

## Customer Complaint Information

**Date Complaint Received:** 05/18/1992

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/01/1994

**Settlement Amount:** $200,000.00

**Individual Contribution Amount:**

**Broker Statement** BASED UPON THE NASD'S REVIEW OF THE ALLEGATIONS AND INFORMATION DEVELOPED IN CONNECTION WITH THEIR INVESTIGATION, THE MATTER IS BEING FILED WITHOUT ACTION.
Not Provided

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### Disclosure 2 of 4

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** TUCKER ANTHONY

**Allegations:** ALLEGED CHURNING AND HANDLING OF ACCOUNT BY MR. LAFFEY.

**Product Type:**

**Alleged Damages:** $30,000.00

## Customer Complaint Information

**Date Complaint Received:** 05/28/1992

| | |
|---|---|
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 01/28/1994 |
| **Settlement Amount:** | $48,000.00 |
| **Individual Contribution Amount:** | $5,000.00 |
| **Firm Statement** | SETTLED FOR $48,000.00 WITH MR. LAFFEY CONTRIBUTING $5,000.00.<br>Not Provided |

| | |
|---|---|
| **Reporting Source:** | Broker |
| **Employing firm when activities occurred which led to the complaint:** | TUCKER ANTHONY |
| **Allegations:** | IN A WRITTEN COMPLAINT, DATED JUNE 16, 1992 [CUSTOMER] ALLEGED A GOAL OF APPRECIATION AND CLAIMED THAT FROM LATE 1988 THROUGH MAY 31, 1992 THE ACCOUNT DECLINED IN VALUE OF $30,000. [CUSTOMER] CLAIMED THAT THIS PERFORMANCE WAS "UNACCEPTABLE" AND NOT IN ACCORD WITH HIS INVESTMENT GOALS. |
| **Product Type:** | |
| **Alleged Damages:** | $30,000.00 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 05/28/1992 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 01/28/1994 |
| **Settlement Amount:** | $48,000.00 |
| **Individual Contribution Amount:** | $5,000.00 |
| **Broker Statement** | TUCKER ANTHONY PAID $48,000 TO [CUSTOMER] AND MR. LAFFEY AGREED TO REIMBURSE TUCKER ANTHONY $5,000. [CUSTOMER] BECAME A CUSTOMER OF LAFFEY AT TUCKER ANTHONY IN EARLY 1984. WHEN HE CHANGED EMPLOYMENT IN JUNE |

1992 THE ACCOUNT DID NOT TRANSFER BUT REMAINED AT TUCKER ANTHONY. LAFFEY DENIED AND CONTINUES TO DENY ANY WRONGDOING WITH RESPECT TO THE [CUSTOMER]S' JOINT ACCOUNTS. THE CLAIM WAS INITIATED AS A VERBAL COMPLAINT RESPECTING UNSPECIFIED UNAUTHORIZED TRADING IN THE [CUSTOMER]S' JOINT ACCOUNT AT UNSPECIFIED TIMES. A WRITTEN COMPLAINT FOLLOWED. THIS WRITTEN COMPLAINT WAS MERELY THAT THE [CUSTOMER]S' JOINT ACCOUNT DID NOT APPRECIATE IN VALUE FROM 1988 THROUGH MAY 1992 AS THEY WISHED. THERE HAS NOT BEEN ANY SPECIFICATION OF THE ALLEGED UNAUTHORIZED TRANSACTIONS REFERRED TO IN THE PRIOR VERBAL COMPL.

**Disclosure 3 of 4**

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Employing firm when activities occurred which led to the complaint:** | TUCKER ANTHONY INCORPORATED |
| **Allegations:** | $270,000.00 CUSTOMER ALLEGES ACCOUNT WAS CHURNED. |
| **Product Type:** | |
| **Alleged Damages:** | $270,000.00 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | |
| **Complaint Pending?** | No |
| **Status:** | Arbitration/Reparation |
| **Status Date:** | 05/01/1998 |
| **Settlement Amount:** | |
| **Individual Contribution Amount:** | |

## Arbitration Information

| | |
|---|---|
| **Arbitration/Reparation Claim filed with and Docket/Case No.:** | NEW YORK STOCK EXCHANGE; 1998-007334 |
| **Date Notice/Process Served:** | 04/27/1998 |
| **Arbitration Pending?** | Yes |

| | |
|---|---|
| **Reporting Source:** | Broker |
| **Employing firm when activities occurred which led to the complaint:** | SCHRODER & CO., INC. |
| **Allegations:** | BETWEEN 1992 AND 1995 CHESTERFIELD ASSOCIATES ALLEGES THAT LAFFEY AND HIS EMPLOYER, SCHRODER AND COMPANY, EFFECTED EXCESSIVE, UNSUITABLE AND UNAUTHORIZED TRADES. ALLEGED DAMAGES ARE $271,751. |
| **Product Type:** | Equity Listed (Common & Preferred Stock) |
| **Alleged Damages:** | $270,000.00 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 05/01/1998 |
| **Complaint Pending?** | No |
| **Status:** | Arbitration/Reparation |
| **Status Date:** | 07/28/1999 |
| **Settlement Amount:** | |
| **Individual Contribution Amount:** | |

## Arbitration Information

| | |
|---|---|
| **Arbitration/Reparation Claim filed with and Docket/Case No.:** | NEW YORK STOCK EXCHANGE; 1998-007334 |
| **Date Notice/Process Served:** | 04/27/1998 |
| **Arbitration Pending?** | No |
| **Disposition:** | Settled |
| **Disposition Date:** | 07/28/1999 |
| **Monetary Compensation Amount:** | $65,000.00 |
| **Individual Contribution Amount:** | $0.00 |
| **Broker Statement** | NOT PROVIDED<br>THE CHESTERFIELD ACCOUNT WAS AN ACTIVE TRADING |

ACCOUNT AT TUCKER ANTHONY AND FOLLOWED ME TO SCHRODER AND THEN
TO LEGG MASON. [OTHER FIRM EMPLOYEE] WAS THE APPOINTED INVESTMENT
MANAGER AT CHESTERFIELD. [OTHER FIRM EMPLOYEE] AND I WERE IN CONSTANT
CONTACT-ON AVERAGE FOUR TIMES A DAY. ALL ACCOUNT ACTIVITY WAS
PURSUANT TO [OTHER FIRM EMPLOYEE'S] ORDER. THE ACCOUNT`S INVESTMENT
OBJECTIVES AND ACTIVITY DURING THE EIGHT YEARS I SERVED AS ITS
BROKER WAS CONSISTENT. DURING THE ENTIRE PERIOD OF THE ACCOUNT
THERE WERE NO COMPLAINTS. IN FACT, IN A LETTER TO SCHRODER IN
AUGUST 1994, [OTHER FIRM EMPLOYEE] INDICATED THAT HE WAS PLEASED WITH THE
ACCOUNT AND WITH THE SERVICE THAT I PROVIDED. IT APPEARS THAT
I HAVE BEEN CAUGHT IN THE MIDDLE OF A DISPUTE BETWEEN
CHESTERFIELD AND [OTHER FIRM EMPLOYEE], WHO IS NO LONGER EMPLOYED AT
CHESTERFIELD. I VEHEMENTLY DENY ANY WRONGDOING AND I EXPECT TO
BE FULLY VINDICATED.

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**Disclosure 4 of 4**

| | |
|---|---|
| **Reporting Source:** | Broker |
| **Employing firm when activities occurred which led to the complaint:** | |
| **Allegations:** | CLIENT CLAIMED THAT I FAILED TO USE STOP LOSS ORDERS RESULTING IN LOSSES OF APPROXIMATELY $100,000.00 |
| **Product Type:** | |
| **Alleged Damages:** | $100,000.00 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 01/01/1980 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | |
| **Settlement Amount:** | $15,000.00 |

| | |
|---|---|
| **Individual Contribution Amount:** | $0.00 |
| **Broker Statement** | THE CLAIM WAS SETTLED BY PAINEWEBBER FOR $15,000.00 TO WICH I NEITHER CONTRIBUTED NOR WAS ASKED TO CONTRIBUTE. [CUSTOMER]'S ATTORNEY WAIVED A JURY HEARING AND THE CASE WENT BEFORE A PANEL OF ATTORNEYS WHO DETERMINED THAT [CUSTOMER]'S CLAIM WAS EXAGGERATED. PAINEWEBBER AND [CUSTOMER] SETTLED FOR $15,000.00 |

## 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 2

| | |
|---|---|
| **Reporting Source:** | Broker |
| **Employing firm when activities occurred which led to the complaint:** | ALEXANDER CAPITAL, L.P. |
| **Allegations:** | Alleges: Breach of Fiduciary Duty, Fraudulent Inducement, Negligence, Breach of Contract, Violation of FINRA Rule 2010, Equity. February 2021. |
| **Product Type:** | Other: Private Equity |
| **Alleged Damages:** | $1,694,000.00 |

### Arbitration Information

| | |
|---|---|
| **Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** | FINRA |
| **Docket/Case #:** | 24-02230 |
| **Date Notice/Process Served:** | 10/17/2024 |
| **Arbitration Pending?** | Yes |

### Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Broker |
| **Employing firm when activities occurred which led to the complaint:** | ALEXANDER CAPITAL, L.P. |
| **Allegations:** | Allegations include breach of fiduciary duty, misrepresentation, and negligence starting in November 2019. |
| **Product Type:** | Promissory Note |
| **Alleged Damages:** | $0.00 |

| | |
|---|---|
| **Alleged Damages Amount Explanation (if amount not exact):** | No dollar amount was given. Claimants are seeking damages for recovery of loss, interest, punitive damages, and an assortment of fees. |

## Arbitration Information

| | |
|---|---|
| **Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** | FINRA |
| **Docket/Case #:** | 22-02061 |
| **Date Notice/Process Served:** | 09/22/2022 |
| **Arbitration Pending?** | Yes |

## 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:** | IRS |
| **Judgment/Lien Amount:** | $248,417.73 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 03/16/2023 |
| **Date Individual Learned:** | 03/16/2023 |
| **Type of Court:** | State Court |
| **Name of Court:** | US District Court Southern District of Florida |
| **Location of Court:** | Palm Beach Florida |
| **Docket/Case #:** | 20230087894 |
| **Judgment/Lien Outstanding?** | Yes |

# End of Report

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