



IAPD Report

CHARLES STEVEN COLCHAMIRO

CRD# 1011800

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

CHARLES STEVEN COLCHAMIRO (CRD# 1011800)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/20/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JOSEPH GUNNAR & CO. LLC	CRD# 24795	08/03/2018
IA	JOSEPH GUNNAR & CO., LLC	CRD# 24795	08/06/2018

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **13** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	OPPENHEIMER & CO. INC.	249	NEW YORK, NY	08/22/2007 - 08/06/2018
B	OPPENHEIMER & CO. INC.	249	NEW YORK, NY	11/17/2005 - 08/06/2018
B	ADVEST, INC.	10	HARTFORD, CT	09/28/2001 - 12/12/2005

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **13** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **JOSEPH GUNNAR & CO., LLC**

Main Address: 1000 RXR PLAZA
10TH FLOOR
UNIONDALE, NY 11556

Firm ID#: 24795

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/03/2018
B	FINRA	General Securities Sales Supervisor	Approved	08/03/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	08/03/2018
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/03/2018
B	California	Agent	Approved	08/03/2018
IA	California	Investment Adviser Representative	Approved	10/19/2018
B	Colorado	Agent	Approved	08/03/2018
B	Connecticut	Agent	Approved	01/03/2025
B	Florida	Agent	Approved	08/03/2018
B	Louisiana	Agent	Approved	08/03/2018
B	New Jersey	Agent	Approved	08/03/2018
IA	New Jersey	Investment Adviser Representative	Approved	08/20/2018
B	New York	Agent	Approved	08/03/2018



Qualifications

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	09/02/2021
B	Oklahoma	Agent	Approved	08/03/2018
B	Oregon	Agent	Approved	08/03/2018
B	Tennessee	Agent	Approved	05/08/2020
B	Texas	Agent	Approved	08/03/2018
B	Vermont	Agent	Approved	08/03/2018
B	Virginia	Agent	Approved	08/03/2018

Branch Office Locations

JOSEPH GUNNAR & CO., LLC
BROOKLYN, NY



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	08/08/2001
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/01/2001

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/17/1982
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/03/1981

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/02/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/26/1982



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/22/2007 - 08/06/2018	OPPENHEIMER & CO. INC.	CRD# 249	NEW YORK, NY
B	11/17/2005 - 08/06/2018	OPPENHEIMER & CO. INC.	CRD# 249	NEW YORK, NY
B	09/28/2001 - 12/12/2005	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	05/11/1993 - 10/09/2001	TUCKER ANTHONY INCORPORATED	CRD# 837	BOSTON, MA
B	02/14/1984 - 05/21/1993	LADENBURG, THALMANN & CO., INC.	CRD# 505	NEW YORK, NY
B	02/04/1983 - 02/03/1984	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	05/04/1982 - 01/25/1983	PAINE, WEBBER, JACKSON & CURTIS INC.	CRD# 8174	
B	12/18/1981 - 02/02/1982	PHOENIX EQUITY PLANNING CORPORATION	CRD# 3036	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2018 - Present	JOSEPH GUNNAR & CO., LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
08/2018 - Present	JOSEPH GUNNAR & CO., LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	NEW YORK, NY, United States
11/2005 - 08/2018	OPPENHEIMER & CO. INC.	FINANCIAL CONSULTANT	Y	NEW YORK, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

BUTTONWOOD SELECT OPPORTUNITIES MANAGEMENT ASSOCIATES LLC C/O JOSEPH GUNNAR & CO., LLC AT 1000 RXR PLAZA, UNIONDALE, NY 11556. GENERAL PARTNER OF THE JGUN AFFILIATED BUTTONWOOD FUNDS AS A NON-VOTING PASSIVE MEMBER SINCE 06/2019. 0 HOURS/WK IN THIS INVESTMENT RELATED BUSINESS. DUTIES ARE PASSIVE BUT THERE IS THE POTENTIAL OF EARNING COMPENSATION ON A CONTINGENT BASIS AT THE DISCRETION OF THE MANAGING MEMBERS.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ADVEST, INC.
Allegations:	CLIENT ALLEGES EXCESSIVE AND INAPPROPRIATE TRADING ON MARGIN
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$2,000,000.00

Customer Complaint Information

Date Complaint Received:	05/29/2003
Complaint Pending?	No
Status:	Denied
Status Date:	06/26/2003
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	LADENBURG THALMANN & CO., INC.



Allegations: MISREPRESENTATION; SUITABILITY

Product Type:

Alleged Damages: \$6,891.25

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #91-00681](#)

Date Notice/Process Served: 03/12/1991

Arbitration Pending? No

Disposition: Other

Disposition Date: 07/31/1991

Disposition Detail: AWARD AGAINST PARTY
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS
BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$1,275.00 JOINTLY
AND SEVERALL

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LADENBURG THALMANN & CO., INC.

Allegations: MISREPRESENTATION & SUITABILITY. COMMON
STOCK;UNKNOWN TYPE OF SECURITY. ALLEGED DAMAGES OF \$6,891.25

Product Type:

Alleged Damages: \$6,891.25

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.: [National Association of Securities Dealers, Inc.; 91-00681](#)

Date Notice/Process Served: 03/12/1991

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/31/1991

Monetary Compensation Amount: \$1,275.00

**Individual Contribution
Amount:****Broker Statement**

ACTUALL COMPENSATORY DAMAGES RELIEF HAS BEEN
AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$1,275.00 JOINTLY &
SEVERALLY.
CLIENT WAS AN EXPERIENCED INVESTOR & BUSINESSMAN
WHO WISHED TO MAKE AN AGGRESSIVE INVESTMENT. THE RISKS WERE
EXPLAINED AND A COPY OF THE FIRM'S RESEARCH RECOMMENDATION
WAS
SENT TO HIM. ZZZZ BEST WAS, AT THE TIME, A LADENBURG THALMANN
RECOMMENDED STOCK.

Disclosure 3 of 3**Reporting Source:**

Regulator

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

LADENBURG, THALMANN & CO., INC.

Allegations:

MISREPRESENTATION; SUITABILITY

Product Type:**Alleged Damages:**

\$6,891.00

Arbitration Information**Arbitration/Reparation Claim
filed with and Docket/Case
No.:**[NASD - CASE #91-00417](#)**Date Notice/Process Served:**

02/15/1991

Arbitration Pending?

No

Disposition:

Other

Disposition Date:

09/30/1991

Disposition Detail:

AWARD AGAINST PARTY
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS
BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$6,891.25 JOINTLY
AND SEVERALL

.....

Reporting Source:

Individual

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

LADENBURG, THALMANN & CO., INC.

Allegations:

CLAIMANT ALLEGED THAT I "NEGLIGENTLY
MISREPRESENTATION THE VALUE AND POTENTIAL OF 2222 BEST CO."
STOCK HE REQUESTED RELIEF OF \$6891.25.

Product Type:**Alleged Damages:**

\$6,891.00

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.:** [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-00417](#)

Date Notice/Process Served: 02/15/1991

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/30/1991

**Monetary Compensation
Amount:** \$6,891.25

**Individual Contribution
Amount:**

Broker Statement

LADENBURG THALMANN & CHARLES COCHAMIRO JOINTLY
AND SEVERALLY LIABLE FOR SUM OF \$6891.25
CUSTOMER WAS AN EXPERIENCED WEALTHY INVESTOR. AT
THE TIME OF THE INCIDENT HE ASKED ME IF THERE WERE ANY HOT
STOCKS AROUND. 2222 BEST WAS A FIRM RECOMMENDATION OF
LADENBURG
THALMANN. I SENT CUSTOMER THE RESEARCH REPORT. AND HE
PURCHASED THE STOCK. THE COMPANY SUBSEQUENTLY COLLAPSED.
WE
CONTINUED DOING BUSINESS UNTIL WE INITIATED THE ARBITRATION.



End of Report

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