IAPD Report

SCOTTY CAMERON GEORGE

CRD# 1023983

Section Title | **Page(s)**

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

SCOTTY CAMERON GEORGE (CRD# 1023983)

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 **12/18/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALEXANDER CAPITAL, L.P.	CRD# 40077	01/06/2014
IA	ALEXANDER CAPITAL WEALTH MANAGEMENT LLC	CRD# 157714	06/01/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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
B	DU PASQUIER & CO., INC.	24750	NEW YORK, NY	01/16/2003 - 01/31/2014
B	CORINTHIAN PARTNERS, L.L.C.	38912	NEW YORK, NY	06/06/1997 - 02/10/2003
B	LAIDLAW EQUITIES, INC.	19018	NEW YORK, NY	12/22/1994 - 05/22/1997

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	2

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 **25** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ALEXANDER CAPITAL WEALTH MANAGEMENT LLC**
Main Address: 10 DRS. JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701
Firm ID#: 157714

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	06/01/2021

Branch Office Locations

ALEXANDER CAPITAL WEALTH MANAGEMENT LLC
New York, NY

Employment 2 of 2

Firm Name: **ALEXANDER CAPITAL, L.P.**
Main Address: 10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701
Firm ID#: 40077

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/06/2014
B	FINRA	General Securities Representative	Approved	01/06/2014
B	FINRA	Operations Professional	Approved	01/06/2014
B	Alabama	Agent	Approved	02/20/2014
B	Arizona	Agent	Approved	02/25/2014
B	California	Agent	Approved	01/06/2014

Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	01/07/2014
B	Florida	Agent	Approved	01/06/2014
B	Georgia	Agent	Approved	01/06/2014
B	Illinois	Agent	Approved	01/09/2014
B	Kansas	Agent	Approved	02/20/2014
B	Maine	Agent	Approved	02/06/2014
B	Maryland	Agent	Approved	01/09/2014
B	Massachusetts	Agent	Approved	02/20/2014
B	Minnesota	Agent	Approved	02/25/2014
B	New Hampshire	Agent	Approved	01/08/2014
B	New Jersey	Agent	Approved	01/06/2014
B	New Mexico	Agent	Approved	02/14/2014
B	New York	Agent	Approved	01/06/2014
B	North Carolina	Agent	Approved	01/14/2014
B	Oklahoma	Agent	Approved	02/06/2014
B	Oregon	Agent	Approved	06/22/2016
B	Pennsylvania	Agent	Approved	01/06/2014
B	Rhode Island	Agent	Approved	01/06/2014
B	South Carolina	Agent	Approved	01/09/2014

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	02/24/2014
B	Virginia	Agent	Approved	01/06/2014
B	Washington	Agent	Approved	02/11/2014

Branch Office Locations

ALEXANDER CAPITAL, L.P.
New York, 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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/23/2000

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Research Analyst Exam - Part II Regulations Module (S87)	Series 87	02/25/2005
B	General Securities Representative Examination (S7)	Series 7	01/16/1982

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/29/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1982

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/16/2003 - 01/31/2014	DU PASQUIER & CO., INC.	CRD# 24750	NEW YORK, NY
B	06/06/1997 - 02/10/2003	CORINTHIAN PARTNERS, L.L.C.	CRD# 38912	NEW YORK, NY
B	12/22/1994 - 05/22/1997	LAIDLAW EQUITIES, INC.	CRD# 19018	NEW YORK, NY
B	03/28/1988 - 01/03/1995	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	02/15/1988 - 04/19/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	01/07/1985 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	03/29/1982 - 01/22/1985	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	02/10/1982 - 03/17/1982	OTC NET INCORPORATED	CRD# 7756	

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
01/2014 - Present	ALEXANDER CAPITAL L.P.	CHIEF INVESTMENT STRATEGIST	Y	NEW YORK, NY, United States
01/2014 - Present	ALEXANDER CAPITAL WEALTH MANAGEMENT LLC	INVESTMENT ADVISER REPRESENTATIVE	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.

No information reported.

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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER INCORPORATED
Allegations:	Alleged misrepresentation & unsuitability re: investment in Blackstone in North American Gov't Income Trust. Claimant sought damages in excess of $200k + interest & costs.
Product Type:	
Alleged Damages:	

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 Assoc. of Securities Dealers; 95-03061
Date Notice/Process Served:	07/11/1995

Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/24/1997
Monetary Compensation Amount:	$92,500.00
Individual Contribution Amount:	$0.00
Firm Statement	PW agreed to pay the Client the sum of $92.5k in exchange for a full release of all claims. Contact: Patricia E. Cowart, Esq. (954) 527-6330

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER INCORPORATED
Allegations:	UNSUITABILITY OF MUTUAL FUND
Product Type:	
Alleged Damages:	

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 Assoc. of Securities Dealers; 95-03061
Date Notice/Process Served:	07/11/1995
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/24/1997
Monetary Compensation Amount:	$92,500.00
Individual Contribution Amount:	$0.00
Broker Statement	PW AGREED TO $92.5 M SUM THIS SETTLEMENT WAS TOTALLY WITHOUT MERIT. CLIENT WAS FURNISHED WITH PROSPECTUS ON AT LEAST 2 OCCASIONS. CLIENT AGREED TO AN ASSET ALLOCATION PROGRAM THAT INCLUDED THIS

INVESTMENT. HIS GOAL WAS INCOME AND WE ACHIEVED THAT GOAL.
CLIENT MANFESTED HIS SATISFACTION WITH ACCOUNT BY REFERRING ME
OTHER ACCOUNTS, AND NEVER INDICATED ANY DISATISFACTION. HIS ASSECTIONS ARE (WERE) TOTALLY FALSE. PAINEWEBBER SETTLED THIS MATTER WITHOUT CNSULTING ME, AND IS UNJUSTIFIED IN ITS ACTIONS.

Disclosure 2 of 2

Reporting Source: Firm

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

Allegations: THE ABOVE REFERENCED CLIENT HAS SUBMITTED A
CLAIM FORM TO THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASE OF A LIMITED PARTNERSHIP IN 10/83. THE ABOVE MENTIONED REGISTERED REPRESENTIVE WAS THE BROKER OF RECORD AT THE TIME OF
THE PURCHASE. NO DAMAGES WERE ALLEGED BUT THE APPROXIMATE AMOUNT OF ACTUAL LOSS (OUT-OF-POCKET) IS $13,225

Product Type:

Alleged Damages: $13,225.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $36,068.00

Individual Contribution Amount:

Firm Statement A SETTLEMENT FOR THE ABOVE CLIENT HAS BEEN
REACHED IN THE CLAIMS RESOLUTION PROCESS. THE APPROXIMATE DOLLAR AMOUNT OF THE SETTLEMENT IS AS FOLLOWS: $36,068
THIS MATTER RESULTED FROM THE UNPRECEDENTED,
UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM
JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE REFERENCED CLIENT SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING. THE CLAIM FORM WAS EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND
THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT AROSE OUT OF THIS UNIQUE PROCESS.

Reporting Source: Individual

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

Allegations: THE ALLEGATIONS WERE AGAINST BROKER
DEALER-PRUDENTIAL SECURITIES, INC. NOT THE BROKER OF RECORD.
PRUDENTIAL SECURITIES MAILED CLAIMS RESOLUTION FORMS TO THE
CUSTOMERS WHO PURCHASE LIMTED PARTNERSHIPS THROUGH PSI
FROM
1/1/80-1/1/91 MARY E PUSCH WAS A CUSTOMER OF MINE ON THE FORM
THEY REQUESTED THE NAME OF THE BROKER HER CLAIM WAS AGAINST
PSI
(FIRM) NOT ME FOR AN UNSUCCESSFUL PARTNERSHIP PROGRAM THIS
WAS
NEVER A CUSTOMER COMPLAINT.

Product Type:

Alleged Damages: $13,225.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $36,068.00

Individual Contribution Amount:

Broker Statement THE CUSTOMER RECEIVED $36,068.00 IN ACCORDANCE
WITH THE SETTLEMENT ESTABLISHED UNDER THE SETTLEMENT
BETWEEN
PRUDENTIAL SECURITIES, SEC, AND THE STATE SECURITIES
ADMINISTRATORS. THIS WAS NEVER A CUSTOMER COMPLAINT
OVER 340,000 INVESTORS RECEIVED UNSOLICITED
MAILINGS (FORMS) THE ABOVE NAMED CUSTOMER SUBMITTED HER
CLAIM
FORM THE CLAIM FORM WAS EVALUATED BY PSI IN ACCORDANCE WITH
THE
STANDARDS ESTABLISHED UNDER A SETTLEMENT BETWEEN PSI, THE
SEC,
NASD, AND THE STATE SECURITIES ADMINISTRATORS. THIS WAS NEVER A
CUSTOMER COMPLAINT. THE CUSTOMER HAS NEVER ACCUSED ME OF
MISLEADING HER IN FACT SHE HAS WRITTEN TO PSI STATING THAT SHE
WAS NOT ACCUSING ME OF ANYTHING THAT SHE FELT THE FIRM WAS IN
THE WRONG...FOR AN UNSUCCESFUL PARTNERSHIP PROGRAM.

End of Report

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