



IAPD Report

GARY LEE VOGT

CRD# 1038262

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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

GARY LEE VOGT (CRD# 1038262)

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 **05/04/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HEROLD & LANTERN INVESTMENTS, INC.	CRD# 30996	04/02/2003
IA	LANTERN WEALTH ADVISORS, LLC	CRD# 147420	02/08/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	KIRLIN SECURITIES INC.	21210	SYOSSET, NY	03/14/1990 - 04/03/2003
B	EMANUEL AND COMPANY	7309	NEW YORK, NY	12/04/1987 - 02/06/1990
B	PHILIPS, APPEL & WALDEN, INC.	659	NEW YORK, NY	09/04/1984 - 12/02/1987

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
Regulatory Event	4
Criminal	1
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 16 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HEROLD & LANTERN INVESTMENTS, INC.**

Main Address: 35 PINELAWN ROAD
SUITE 101E
MELVILLE, NY 11747

Firm ID#: 30996

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	04/02/2003
 Arizona	Agent	Approved	09/08/2009
 California	Agent	Approved	07/24/2003
 Colorado	Agent	Approved	02/20/2009
 Connecticut	Agent	Approved	05/02/2003
 Florida	Agent	Approved	05/27/2003
 Maine	Agent	Approved	03/04/2009
 Maryland	Agent	Approved	05/08/2023
 New Jersey	Agent	Approved	05/20/2003
 New York	Agent	Approved	04/02/2003
 North Carolina	Agent	Approved	02/18/2009
 Ohio	Agent	Approved	02/19/2009
 Oklahoma	Agent	Approved	04/18/2019



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	02/23/2009
B Rhode Island	Agent	Approved	02/17/2009
B Vermont	Agent	Approved	06/05/2012
B Virginia	Agent	Approved	05/05/2008

Branch Office Locations

35 PINELAWN ROAD
SUITE 101E
MELVILLE, NY 11747

Employment 2 of 2

Firm Name: **LANTERN WEALTH ADVISORS, LLC**
Main Address: 35 PINELAWN ROAD
SUITE 101E
MELVILLE, NY 11747
Firm ID#: 147420

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	02/08/2012

Branch Office Locations

LANTERN WEALTH ADVISORS, LLC
35 PINELAWN ROAD
SUITE 101E
MELVILLE, NY 11747



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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

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	03/20/1982

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/23/2012
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/12/1982

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
B	03/14/1990 - 04/03/2003	KIRLIN SECURITIES INC.	CRD# 21210	SYOSSET, NY
B	12/04/1987 - 02/06/1990	EMANUEL AND COMPANY	CRD# 7309	NEW YORK, NY
B	09/04/1984 - 12/02/1987	PHILIPS, APPEL & WALDEN, INC.	CRD# 659	
B	03/26/1982 - 07/27/1984	E. G. FRANCES CO., INC.	CRD# 7797	

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
02/2012 - Present	LANTERN WEALTH ADVISORS, LLC	INVESTMENT ADVISOR REP	Y	MELVILLE, NY, United States
03/2003 - Present	LANTERN INVESTMENTS, INC.	REGISTERED REP	Y	MELVILLE, 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.

EFFECTIVE 05/2012 I AM AN EMPLOYEE/REGISTERED INVESTMENT ADVISOR REPRESENTATIVE WITH LANTERN WEALTH ADVISORS, AN AFFILIATED ENTITY TO LANTERN INVESTMENTS, INC. THIS IS INVESTMENT RELATED. I DEVOTE APPROXIMATELY 5 HOURS/MONTH TO THIS ACTIVITY MOST OF WHICH IS DURING SECURITIES TRADING HOURS. LANTERN WEALTH ADVISORS IS LOCATED AT 35 PINELAWN ROAD MELVILLE, NY.



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
Regulatory Event	4
Criminal	1
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 4

Reporting Source:	Firm
Regulatory Action Initiated By:	GEORGIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated: 03/22/1985	
Docket/Case Number: Unknown	
Employing firm when activity occurred which led to the regulatory action: KIRLIN SECURITIES INC.	

Product Type:

Other Product Type(s):

Allegations:

Current Status:	Final
Resolution:	Decision
Resolution Date:	03/22/1985
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	

Sanction Details:



Firm Statement VOGT'S REGISTRATION IN GEORGIA WAS TERMINATED BECAUSE OF HIS PAST DISCIPLINARY HISTORY.

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF GEORGIA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/22/1985

Docket/Case Number: Unknown

Employing firm when activity occurred which led to the regulatory action: KIRLIN SECURITIES INC.

Product Type:

Other Product Type(s):

Allegations: TERMINATION BASED ON DISCIPLINARY HISTORY

Current Status: Final

Resolution: Decision

Resolution Date: 03/22/1985

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: TERMINATION BASED ON DISCIPLINARY HISTORY

Broker Statement I WAS TERMINATED WITHOUT REGISTRATION BY GEORGIA, BUT BECAUSE MY APPLICATION WAS OVER 120 DAYS DEFICIENT, IT BECAME AN AUTOMATIC DENIAL.

Disclosure 2 of 4

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF DELAWARE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/05/1983

Docket/Case Number: Unknown

Employing firm when activity occurred which led to the regulatory action: E.G. FRANCES & CO

Product Type:

Other Product Type(s):

Allegations: DENIAL BASED ON DISCIPLINARY HISTORY



Current Status:	Final
Resolution:	Decision
Resolution Date:	10/05/1983
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	DENIAL OF APPLICATION AS GENERAL SECURITIES AGENT

Disclosure 3 of 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/09/1988
Docket/Case Number:	88.27 DOS
Employing firm when activity occurred which led to the regulatory action:	EMANUEL AND COMPANY
Product Type:	No Product
Other Product Type(s):	
Allegations:	NA
Current Status:	Final
Resolution:	Decision
Resolution Date:	03/09/1988
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	ON MARCH 9, 1988, THE STATE OF FLORIDA DENIED THE APPLICATION TO REGISTER GARY LEE VOGT AS AN ASSOCIATED PERSON OF EMANUEL AND COMPANY. THE DENIAL IS PREDICATED UPON THE RESPONDENT'S CRIMINAL RECORD, AND DEMONSTRATION OF PRIMA FACIE EVIDENCE OF UNWORTHINESS TO TRANSACT THE BUSINESS OF AN ASSOCIATED PERSON IN THIS STATE. ON MARCH 15, 1988, THE STATE OF FLORIDA PERMITTED GARY LEE VOGT TO WITHDRAW HIS APPLICATION FOR REGISTRATION AS AN ASSOCIATED PERSON OF EMANUEL AND COMPANY, AFTER HIS APPLICATION WAS DENIED IN THIS STATE.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF FLORIDA - DIVISION OF SECURITIES AND INVESTMENTS
Sanction(s) Sought:	

**Other Sanction(s) Sought:****Date Initiated:** 03/09/1988**Docket/Case Number:** 88.27 DOS**Employing firm when activity occurred which led to the regulatory action:** EMANUEL AND COMPANY**Product Type:** No Product**Other Product Type(s):****Allegations:** DENIAL BASED ON PAST DISCIPLINARY HISTORY**Current Status:** Final**Resolution:** Decision**Resolution Date:** 03/09/1988**Sanctions Ordered:** Revocation/Expulsion/Denial**Other Sanctions Ordered:****Sanction Details:**
AFTER DENIAL OF REGISTRATION 3-9-88, [THIRD PARTY], ASSISTANT DIRECTOR OF SECURITIES AND INVESTOR PROTECTION FOR THE STATE OF FLORIDA ADVISED EMANUEL AND CO., THAT MY APPLICATION SHOULD HAVE BEEN ALLOWED TO BE WITHDRAWN PRIOR TO THE DENIAL AND THAT HER OFFICE WOULD REPORT THIS CHANGE OF STATUS TO CRD. HOWEVER, SINCE CRD HAD ALREADY RECEIVED THE DENIAL STATUS, CRD REQUIRED ME TO FILE AN AMENDED U4, NOTWITHSTANDING THE WITHDRAWAL.**Broker Statement**

THE DENIAL OF REGISTRATION BY THE STATE OF FLORIDA 3-9-88 MUST BE DISCLOSED NOTWITHSTANDING THE FACT THAT FLORIDA ALLOWED ME TO WITHDRAW MY APPLICATION, BUT HAD FIRST REPORTED A DENIAL OF MY APPLICATION TO CRD. THIS DENIAL/WITHDRAWAL WAS DESPITE THE FACT THAT I HAD BEEN PREVIOUSLY REGISTERED IN FLORIDA WITH PHILIPS, APPEL & WALDEN SINCE 1-30-85.

Disclosure 4 of 4**Reporting Source:** Regulator**Regulatory Action Initiated By:** MASSACHUSETTS SECURITIES DIVISION**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 06/29/1993**Docket/Case Number:** R-93-077**Employing firm when activity occurred which led to the regulatory action:** KIRLIN SECURITIES INC.**Product Type:**

**Other Product Type(s):****Allegations:**

GARY LEE VOGT HAD FILED WITH THE MASSACHUSETTS SECURITIES DIVISION AN APPLICATION FOR REGISTRATION AS AN AGENT OF KIRLIN SECURITIES, INC. SOLELY IN CONNECTION WITH THAT APPLICATION, VOGT SUBMITTED TO THE DIVISION UNDERTAKINGS AND REPRESENTATIONS AND CONSENT TO ENTRY OF ORDER WHICH EXPRESSY CONSENT TO THE ENTRY OF THE ORDER APPROVING REGISTRATION UPON CONDITIONS. VOGT, THROUGH HIS APPLICATION, DISCLOSED THAT ON OR ABOUT MAY 20, 1983 HE WAS CONVICTED ON A FELONY CHARGE OF FORGING AND UTTERING SIX UNITED STATES TREASURY SOCIAL SECURITY CHECKS. VOGT'S FELONY CONVICTION CONSTITUTES GROUNDS FOR TH DENIAL OF HIS APPLICATION FOR AGENT REGISTRATION URSUANT TO M.G.L. c.110A, SECTION 204(a)(2)(c).

Current Status:

Final

Resolution:

Consent

Resolution Date:

06/29/1993

Sanctions Ordered:**Other Sanctions Ordered:****Sanction Details:**

ON JUNE 29, 1993 THE MASSACHUSETTS SECURITIES DIVISION APPROVED GARY LETT VOGT'S REGISTRATION AS AN AGENT IN MASSACHUSETTS AFTER HE AGREED TO UNDERTAKINGS AND REPRESENTATIONS AND CONSENTED TO AN ENTRY OF AN ORDER.

Regulator Statement

ON JUNE 29, 1993 THE MASSACHUSETTS SECURITIES DIVISION APPROVED GARY LEE VOGT'S REGISTRATION UPON THE FOLLOWING CONDITIONS; 1. HE HAS NOT TRANSACTED ANY SECURITIES BUSINESS, INCLUDING THE OFFER AND/OR SALE OF ANY SECURITY IN MASSACHUSETTS SINCE HE BECAME AFFILIATED WITH KIRLIN ON OR ABOUT JANUARY 19, 1990 TO DATE; 2. FOR A PERIOD OF TWO YEARS FOR THE DATE OF THE ORDER, HE WILL SUBMIT TO THE DIRECTOR OF OMPLIANCE OF KIRLIN ("DOC") ON A DAILY BASIS ALL RDER TICKETS ENTERED BY VOGT FOR REVIEW TO ENSURE THAT EACH TRADE IS SUITABLE; 3. FOR A PERIOD OF TWO YEARS FROM THE DATE OF THE ORDER HE WILL SUBMIT TO THE DOC FOR REVIEW ALL NEW ACCOUNT FORMS PRIOR TO EXECUTING ANY SECURITIES TRANSACTIONS IN THE ACCOUNT; 4. FOR A PERIOD OF TWO YARS FOR THE DATE OF THE ORDER, HE WILL SUBMIT TO THE DOC FOR REVIEW ALL MONTHLY ACCOUNT STATEMENTS FOR HIS MASS. CUSTOMERS; 5. HE WILL NOT ENGAGE IN ANY OPTION TRANSACTIONS ON BEHALF OF ANY MASSACHUSETTS CUSTOMER; 6. HE WILL NOTENGAGE IN ANY MARGIN TRANSACTIONS ON BEHALF OF ANY MASS. CUSTOMERS; 7. HE WILL NOT POSSESS OR EXERCISE ANY DISCRETION IN EXECUTING TRADES ON BEHALF OF ANY MASS. CUSTOMER; ;8. HE WILL NOT OFFER AND/OR SELL INTERESTS IN LIMITED PARTNERSHIPS TO ANY MASS. CUSTOMER; HE WILL NOT ACT IN A PRINCIPAL, SUPERVISORY OR MANAGERIAL CAPACITY FOR KIRLIN; HE WILL NOTIFY THE DOC, NOT LATER THAN THE END OF THE NEXT BUSINESS DAY, OF HIS RECEIPT OF A COMPLAINT, ORAL OR WRITTEN RELATING TO A CUSTOMER'S ACCOUNT; HE WILL NOTIFY THE DOC, NO LATER THAN THE END OF THE NEXT BUSINESS DAY OF HIS RECEIPT OF NOTIFICATION, IF HE BECOMES THE SUBJECT OF AN INQUIRY OR INVESTIGATION OF ANY SECURITIES REGULATORY AGENCY OR



SELF-REGULATORY ORGANIZATION, AN ARBITRATION PROCEEDING OR SECURITIES RELATED LITIGATION AND HE WILL COMPLY WITH ALL PROVISION OF M.G.L. c110A.

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF MASSACHUSETTS ORDER LIMITING TYPE OF BUSINESS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/29/1993

Docket/Case Number: R-93-077

Employing firm when activity occurred which led to the regulatory action: KIRLIN SECURITIES INC.

Product Type:

Other Product Type(s):

Allegations: THERE WERE NO ACTUAL ALLEGATIONS, THE STATE OF MASSACHUSETTS DECIDED IT WOULD ONLY REGISTER MR. VOGT IN ITS STATES. IF HE UNDERTOOK CERTAIN UNDERTAKINGS ON THE TYPE OF BUSINESS HE COULD TRANSACT. A COPY OF THE ORDER IS ATTACHED.

Current Status: Final

Resolution: Consent

Resolution Date: 06/29/1993

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: MR. VOGT IS CONDUCTING HIMSELF WITHIN THE LIMITATIONS OF THE ORDER AND IS BEING SUPERVISED THIS WAY AS WELL.

Broker Statement THE TYPE OF BUSINESS THE STATE OF MASSACHUSETTS LIMITED MR. VOGT TO WAS BASICALLY IN LINE WITH WHAT HE DOES. THE OTHER TYPE OF INVESTMENTS WERE THOSE THAT MR. VOGT NAMELY DOES TO CUSTOMERS OF ANY STATE.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source: Individual

Court Details: UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK
83C4-0091-01MEL

Charge Date: 02/28/1983

Charge Details: FORGERY AND UTTERING 6 U.S. TREASURY SOCIAL SECURITY CHECKS ISSUED TO MY DECEASED MOTHER IN THE AMOUNT OF \$1,677.20. (THIS WAS A VIOLATION OF T.18, U.S.C., SECTION 495).

Felony?

Current Status: Final

Status Date: 05/20/1983

Disposition Details: GUILTY PLEA TO (T. 18 U.S.C. SECTION 495) A FELONY; FOR FORGERY AND UTTERING A U.S. TRASURY CHECK IN THE AMOUNT OF \$273.60. PER COURT ORDER, IMPOSITION OF SENTENCE SUSPENDED ON COUNT 1 AND PLACED ON PROBATION FOR 2 YEARS, SUBJECT TO CERTAIN CONDITIONS: [1] PERFORM 200 HOURS OF COMMUNITY SERVICE; [2] COMPLETE RESTITUTION TO SOCIAL SECURITY ADMINISTRATION; [3] COMPLETE PAYMENT OF 1981 FEDERAL INCOME TAX INTEREST AND PENALTY. COUNTS 2-6 DISMISSED WITH CONSENT OF U.S. GOVERNMENT.

Broker Statement

UPON FATHER'S DEATH 4/74 AND MOTHER'S DEATH 10/76, AT AGE OF 22, I WAS ORPHANED, DESTITUTE AND EMOTIONALLY DISTRAUGHT. THE LAST 6 MONTHS OF MY MOTHER'S LIFE, I ROUTINELY ENDORSED AND DEPOSITED EHR SOCIAL SECURITY CHECKS IN HER BEHALF. AFTER HER DEATH, I CONTINUED THIS PRACTICE FOR FINANCIAL SURVIVAL UNTIL I STOPPED VOLUNTARILY. WHILE THERE IS NO JUSTIFICATION FOR MY ACTIONS, THE COMPASSION SHOWN AND ULTIMATE DISPOSITION OF THIS PROCEEDING BY THE U.S. COURT, AND RULING FOR MY CONTINUANCE AS A REGISTERED REP. BY THE SEC, NYSE AND NASD IS TESTIMONY TO THE UNDERSTANDING OF MY EMOTIONAL STATE WHEN THESE EVENTS DISRUPTED MY LIFE AT SUCH A YOUNG AGE.



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: KIRLIN SECURITIES, INC.
Allegations: UNAUTHORIZED TRADING AND SUITABILITY
Product Type: Equity - OTC
Other Product Type(s): MUTUAL FUNDS, UIT'S, AND CORP. & FOREIGN DEBT SECURITIES
Alleged Damages: \$34,809.07

Customer Complaint Information

Date Complaint Received: 08/12/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 08/12/2004
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE #04-04655

Date Notice/Process Served: 08/12/2004
Arbitration Pending? Yes

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: KIRLIN SECURITIES
Allegations: FORMER CLIENT ALLEGES UNAUTHORIZED TRADING AND UNSUITABLE INVESTMENTS FROM JANUARY 1996 THROUGH MARCH 2000.
Product Type: Other
Other Product Type(s): GOVERNMENT DEBT, CORPORATE DEBT, MUTUAL FUNDS AND EQUITIES
Alleged Damages: \$34,809.07

Customer Complaint Information



Date Complaint Received: 08/13/2004

Complaint Pending? No

Status: Settled

Status Date: 08/13/2004

Settlement Amount: \$6,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 04-04655

Date Notice/Process Served: 08/13/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/25/2005

Monetary Compensation Amount: \$6,000.00

Individual Contribution Amount: \$0.00

Broker Statement ALL TRANSACTIONS WERE AUTHORIZED BY THE CLIENT. NO VERBAL OR WRITTEN COMPLAINTS WERE EVER RECEIVED DURING THE TIME I WAS THE REGISTERED REP ON THE ACCOUNT. THE MATTER WAS SETTLED IN MEDIATION FOR \$6000.00 BY KIRLIN SECURITIES.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: KIRLIN SECURITIES, INC.

Allegations: CUSTOMER ALLEGES BREACH OF FIDUCIARY DUTY AND UNSUITABLE TRANSACTIONS.

Product Type: Debt - Corporate

Alleged Damages: \$140,000.00

Customer Complaint Information

Date Complaint Received: 07/11/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/11/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD-DR CASE NUMBER 02-03744
Date Notice/Process Served:	07/11/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/15/2003
Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	\$15,000.00
Broker Statement	I EXPLICITLY DENY ANY LIABILITY. THE EXECUTION OF A SETTLED AGREEMENT WAS ENTERED INTO WITHOUT AN ADMISSION BY ANY PARTY SOLELY FOR THE PURPOSE OF AVOIDING COSTLY AND TIME CONSUMING LITIGATION OF A DOUBTFUL AND DISPUTED CLAIM.



End of Report

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