User Guidance

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IAPD Report

ROBERT JOSEPH OFTRING

CRD# 1058581

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

ROBERT JOSEPH OFTRING (CRD# 1058581)

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 **04/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAPITOL SECURITIES MANAGEMENT, INC.	CRD# 14169	05/22/2009
IA	CAPITOL SECURITIES MANAGEMENT, INC.	CRD# 14169	06/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	JESUP & LAMONT SECURITIES CORP.	39056	WORCESTER, MA	06/25/2004 - 05/29/2009
B	JESUP & LAMONT SECURITIES CORP	39056	WORCESTER, MA	01/09/2004 - 05/29/2009
B	ANTAEUS CAPITAL, INC.	627	LOS ANGELES, CA	08/26/1982 - 09/01/2005

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
Regulatory Event	2
Customer Dispute	1

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

Employment 1 of 1

Firm Name: **CAPITOL SECURITIES MANAGEMENT, INC.**

Main Address: 4050 INNSLAKE DRIVE
SUITE 250
GLEN ALLEN, VA 23060

Firm ID#: 14169

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	05/22/2009
B	FINRA	General Securities Principal	Approved	05/22/2009
B	FINRA	General Securities Representative	Approved	05/22/2009
B	FINRA	Municipal Securities Principal	Approved	05/22/2009
B	FINRA	Municipal Securities Representative	Approved	11/02/2011
B	FINRA	Operations Professional	Approved	10/01/2018
B	California	Agent	Approved	09/12/2016
B	Connecticut	Agent	Approved	05/22/2009
B	District of Columbia	Agent	Approved	04/24/2025
B	Florida	Agent	Approved	06/23/2009
B	Massachusetts	Agent	Approved	06/01/2009
IA	Massachusetts	Investment Adviser Representative	Approved	06/02/2009
B	New Hampshire	Agent	Approved	05/22/2009

Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	06/29/2009
B	Rhode Island	Agent	Approved	05/22/2009

Branch Office Locations

CAPITOL SECURITIES MANAGEMENT, INC.
184 MAIN STREET
WORCESTER, MA 01608

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 3 principal/supervisory exams, 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	01/23/1997
B	Municipal Securities Principal Examination (S53)	Series 53	12/23/1985
B	Financial and Operations Principal Examination (S27)	Series 27	10/22/1982

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/21/1982

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/23/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/27/1982

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
IA	06/25/2004 - 05/29/2009	JESUP & LAMONT SECURITIES CORP.	CRD# 39056	WORCESTER, MA
B	01/09/2004 - 05/29/2009	JESUP & LAMONT SECURITIES CORP	CRD# 39056	WORCESTER, MA
B	08/26/1982 - 09/01/2005	ANTAEUS CAPITAL, INC.	CRD# 627	LOS ANGELES, CA

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
05/2009 - Present	CAPITOL SECURITIES	STOCK BROKER	Y	GLEN ALLEN, VA, 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.

1) Name of Business: 184 MAIN STREET ASSOC. LLC
Investment-related: YES
Address: 184 MAIN STREET, WORCESTER, MA 01608
Nature of the other business: REAL ESTATE DEVELOPMENT
Position, title, or relationship with the other business: PARTNER
Start date: 8/15/2008
Approx # of hours/month you devote to the other business: 8-10
Approx # of hours/month you devote to the other business during securities trading hours: 4
Describe your duties relating to the other business: Purchase, Develop, Manage Real Estate - 2 buildings

2) OFTRING INVESTMENT GROUP. DBA.

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	2
Customer Dispute	1

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	04/05/2011
Docket/Case Number:	2009019996501
Employing firm when activity occurred which led to the regulatory action:	JESUP & LAMONT SECURITIES CORP
Product Type:	No Product
Allegations:	NASD RULES 2110, 3010: OFTRING WAS RESPONSIBLE FOR SUPERVISING A FORMER REGISTERED REPRESENTATIVE OF HIS MEMBER FIRM AND HE FAILED TO TAKE APPROPRIATE ACTION TO REASONABLY SUPERVISE THE FORMER REGISTERED REPRESENTATIVE TO DETECT AND PREVENT HER VIOLATIONS AND HAVE HER ACHIEVE COMPLIANCE WITH THE APPLICABLE RULES IN CONNECTION WITH THE ACCOUNT OF A CUSTOMER. OFTRING, AMONG OTHER THINGS, FAILED TO TAKE REASONABLE STEPS TO FOLLOW UP ON CERTAIN INDICATIONS OF POTENTIAL MISCONDUCT THAT SHOULD HAVE ALERTED HIM TO THE REPRESENTATIVE'S VIOLATIONS. THE REPRESENTATIVE ENGAGED IN EXCESSIVE, SHORT-TERM TRADING IN THE CUSTOMER'S ACCOUNT, RESULTING IN LOSSES OF APPROXIMATELY $60,000, AND THE ACCOUNT WAS SUBJECT TO FREQUENT MARGIN CALLS AND TRANSFERS FROM A THIRD-PARTY ACCOUNT TO SATISFY MARGIN CALLS IN THE ACCOUNT. ON ONE OCCASION THE REPRESENTATIVE TRANSFERRED FUNDS FROM AN ACCOUNT SHE CONTROLLED TO THE CUSTOMER'S ACCOUNT BY FORGING THE CUSTOMERS SIGNATURE ON A

	LETTER OF AUTHORIZATION. OFTRING WAS AWARE OF THE ACTIVE TRADING IN THE CUSTOMER'S ACCOUNT AND KNEW THAT THE REPRESENTATIVE WAS EFFECTING SECURITIES TRANSACTIONS IN THE ACCOUNT WHILE IT HAD A NEGATIVE BALANCE, BUT HE NEVER STOPPED THE REPRESENTATIVE FROM TRADING AND NEVER CONTACTED THE CUSTOMER TO DISCUSS THE ACTIVITY. OFTRING WAS AWARE OF AND APPROVED THE TRANSFER OF FUNDS BETWEEN THE CUSTOMER'S ACCOUNT AND THE THIRD-PARTY ACCOUNT, ACCEPTING THE REPRESENTATIVE'S EXPLANATION FOR THE SAME WITHOUT CONTACTING THE CUSTOMERS INVOLVED IN THE TRANSFERS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	04/05/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(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 PRINCIPAL CAPACITY
Duration:	SIX MONTHS
Start Date:	05/02/2011
End Date:	11/01/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	04/08/2011
Was any portion of penalty waived?	No

Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, OFTRING CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR SIX MONTHS. THE SUSPENSION IS IN EFFECT FROM MAY 2, 2011, THROUGH NOVEMBER 1, 2011.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	04/05/2011
Docket/Case Number:	2009019996501
Employing firm when activity occurred which led to the regulatory action:	JESUP & LAMONT SECURITIES CORP.
Product Type:	No Product
Allegations:	NASD RULES 2110, 3010: OFTRING WAS RESPONSIBLE FOR SUPERVISING A FORMER REGISTERED REPRESENTATIVE OF HIS MEMBER FIRM AND HE FAILED TO TAKE APPROPRIATE ACTION TO REASONABLY SUPERVISE THE FORMER REGISTERED REPRESENTATIVE TO DETECT AND PREVENT HER VIOLATIONS AND HAVE HER ACHIEVE COMPLIANCE WITH THE APPLICABLE RULES IN CONNECTION WITH THE ACCOUNT OF A CUSTOMER. OFTRING, AMONG OTHER THINGS, FAILED TO TAKE REASONABLE STEPS TO FOLLOW UP ON CERTAIN INDICATIONS OF POTENTIAL MISCONDUCT THAT SHOULD HAVE ALERTED HIM TO THE REPRESENTATIVE'S VIOLATIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	04/05/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY PRINCIPAL CAPACITY
Duration:	SIX MONTHS
Start Date:	05/02/2011
End Date:	11/01/2011

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	04/08/2011
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	The suspension was relegated to acting in any Principal Supervisory capacity and did not affect my Series 7, the ability to act as a Financial Advisor.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/11/1996
Docket/Case Number:	C11950044
Employing firm when activity occurred which led to the regulatory action:	OFTRING & COMPANY, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/11/1996
Sanctions Ordered:	Censure Monetary/Fine $15,000.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON NOVEMBER 11, 1996, DISTRICT NO. 11 NOTIFIED RESPONDENTS OFTRING & CO., INC. AND ROBERT J. OFTRING THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C11950044 WAS ACCEPTED; THEREFORE, THE RESPONDENTS ARE CENSURED AND FINED $15,000, JOINTLY AND SEVERALLY AND RESPONDENT OFTRING MUST REQUALIFY BY EXAM BY TAKING AND SUCCESSFULLY PASSING THE SERIES 24 EXAM WITHIN 90 DAYS FROM THE DATE OF THIS AWC'S ACCEPTANCE. IF

	RESPONDENT OFTRING FAILS TO REQUALIFY, HE CAN NO LONGER BE ASSOCIATED WITH A MEMBER FIRM IN ANY PRINCIPAL OR SUPERVISORY CAPACITY UNTIL HIS REQUALIFICATION - (NASD RULES 1031(a), 2110 AND 3010(a), (b), (c) AND (d) - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT OFTRING, FAILED TO ESTABLISH AND MAINTAIN A SUPERVISORY SYSTEM TO ADEQUATELY SUPERVISE THE ACTIVITIES OF EACH REGISTERED REPRESENTATIVE AND ASSOCIATED PERSON OF THE FIRM THAT WAS REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND REGULATIONS AND WITH THE RULES OF THE NASD; FAILED TO ENFORCE COMPLIANCE WITH ITS WRITTEN SUPERVISORY PROCEDURES; AND, ALLOWED AN INDIVIDUAL TO SOLICITED NEW BUSINESS FROM CUSTOMERS AND RECEIVED SECURITIES SALES COMMISSION COMPENSATION THEREFROM, WHEN THE INDIVIDUAL WAS NOT REGISTERED WITH THE FIRM AND CONTINUED TO SOLICIT NEW SECURITIES BUSINESS FROM CUSTOMERS, WHICH BUSINESS WAS ULTIMATELY TRANSACTED THROUGH RESPONDENT MEMBER AND FOR WHICH THE FIRM PAID THE INDIVIDUAL COMMISSIONS). **$15,000.00 PAID J&S ON 12/10/96, INVOICE #96-11-867**

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/11/1996
Docket/Case Number:	C11950044
Employing firm when activity occurred which led to the regulatory action:	OFTRING & COMPANY, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	LETTER OF ACCEPTANCE WAIVER & CONSENT ACCEPTED BY NASD 11/11/96 RELATING TO A) ALLEGED FAILURE TO ESTABLISH & MAINTAIN ADEQUATE WRITTEN SUPERVISORY PROCEDURES AND B) ALLEGED PAYMENTS TO RETIRED REGISTERED REPRESENTATIVE IN THE NATURE OF COMMISSIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/11/1996
Sanctions Ordered:	Censure Monetary/Fine $15,000.00
Other Sanctions Ordered:	
Sanction Details:	CENSURE, FINE IN THE AMOUNT OF $15,000.00,

	ROBERT J. OFTRING RETAKE SERIES 24 EXAM.
Broker Statement	ALLEDGED DEFICIENCIES NOTED DURING A ROUTINE NASD AUDIT. CORRECTIVE ACTION TAKEN INCLUDES A) WRITTEN SUPERVISORY PROCEDURES REVISED AND UPGRADED TO ACCEPTABLE STANDARDS B) OUTSIDE SECURITIES CONSULTANTS RETAINED ON AN ONGOING BASIS TO REVIEW SUPERVISORY SYSTEM IN ORDER TO PREVENT FUTURE OCCURRENCE OF ALLEGED VIOLATIONS AND C) ROBERT J. OFTRING REQUALIFIED AS PRINCIPAL BY RETAKING SERIES 24 EXAM.

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JESUP AND LAMONT SECURITIES CORPORATION
Allegations:	CLIENT ALLEGES OFTRING FAILED TO MAINTAIN AN APPROPRIATE SYSTEM OF SUPERVISION AND FAILED TO PROPERLY SUPERVISE.
Product Type:	No Product
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNKNOWN

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	YES
Docket/Case #:	11-04293
Date Notice/Process Served:	11/16/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/03/2014
Monetary Compensation Amount:	$7,500.00
Individual Contribution Amount:	$7,500.00
Broker Statement	THE ALLEGATIONS HAVE BEEN WITHDRAWN AGAINST THE BROKER-DEALER AND OFTRING DENIES THE FAILURE TO SUPERVISE ALLEGATIONS MADE AGAINST HIM. THE CLIENT WITHDREW HIS ALLEGATION AGAINST THE RESPONDENT OFTRING AND ACKNOWLEDGES THAT THE PAYMENT OF FUNDS HERIN IS AS COMPENSATION FOR THE EXPENSES INCURRED BY CLAIMANT IN CONNECTION WITH PURSUING THE ARBITRATION ACTION AS ORIGINALLY CAPTIONED.

End of Report

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