



## IAPD Report

# TIMOTHY PETER CIRAULO

CRD# 1443540

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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

### TIMOTHY PETER CIRAULO (CRD# 1443540)

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 **02/26/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	HENNION & WALSH, INC.	CRD# 25766	12/13/2013
<b>IA</b>	HENNION & WALSH ASSET MANAGEMENT, INC.	CRD# 126236	09/01/2016

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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>IA</b>	PMK CAPITAL ADVISORS INC	108061	DELRAY BEACH, FL	01/07/2013 - 02/03/2014
<b>IA</b>	PMK SECURITIES & RESEARCH, INC.	40145	DELRAY BEACH, FL	02/15/2013 - 12/31/2013
<b>B</b>	PMK SECURITIES & RESEARCH, INC.	40145	DELRAY BEACH, FL	10/22/2002 - 12/31/2013

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

### Employment 1 of 2

Firm Name: **HENNION & WALSH, INC.**  
Main Address: 2001 ROUTE 46  
WATERVIEW PLAZA  
PARSIPPANY, NJ 07054-1018  
Firm ID#: 25766

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	12/13/2013
<b>B</b>	FINRA	General Securities Representative	Approved	12/13/2013
<b>B</b>	FINRA	Registered Options Principal	Approved	12/13/2013
<b>B</b>	California	Agent	Approved	12/13/2013
<b>B</b>	Colorado	Agent	Approved	04/18/2018
<b>B</b>	Connecticut	Agent	Approved	06/06/2019
<b>B</b>	District of Columbia	Agent	Approved	07/29/2015
<b>B</b>	Florida	Agent	Approved	12/26/2013
<b>B</b>	Georgia	Agent	Approved	12/26/2013
<b>B</b>	Illinois	Agent	Approved	12/16/2013
<b>B</b>	Maine	Agent	Approved	01/17/2014
<b>B</b>	Maryland	Agent	Approved	01/09/2014
<b>B</b>	Massachusetts	Agent	Approved	01/14/2014



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Michigan	Agent	Approved	01/02/2014
<b>B</b> Minnesota	Agent	Approved	11/28/2023
<b>B</b> Nevada	Agent	Approved	01/16/2014
<b>B</b> New Jersey	Agent	Approved	02/26/2025
<b>B</b> New York	Agent	Approved	01/24/2014
<b>B</b> North Carolina	Agent	Approved	01/13/2014
<b>B</b> Oklahoma	Agent	Approved	09/25/2019
<b>B</b> Pennsylvania	Agent	Approved	06/11/2019
<b>B</b> South Carolina	Agent	Approved	02/23/2021
<b>B</b> Texas	Agent	Approved	04/25/2017
<b>B</b> Virginia	Agent	Approved	10/03/2023
<b>B</b> Washington	Agent	Approved	08/21/2018
<b>B</b> Wisconsin	Agent	Approved	01/08/2014

### Branch Office Locations

777 YAMATO ROAD  
SUITE 500  
BOCA RATON, FL 33431

### Employment 2 of 2

Firm Name: **HENNION & WALSH ASSET MANAGEMENT, INC.**  
Main Address: 2001 ROUTE 46  
WATERVIEW PLAZA  
PARSIPPANY, NJ 07054  
Firm ID#: 126236



## Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	09/01/2016

### Branch Office Locations

#### **HENNION & WALSH ASSET MANAGEMENT, INC.**

777 Yamato Road  
Suite 500  
Boca Raton, FL 33431





## 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, 2 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	09/10/1990
 General Securities Principal Examination (S24)	Series 24	07/25/1989

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/14/1985

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/19/2012
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/11/1986

### 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	01/07/2013 - 02/03/2014	PMK CAPITAL ADVISORS INC	CRD# 108061	DELRAY BEACH, FL
IA	02/15/2013 - 12/31/2013	PMK SECURITIES & RESEARCH, INC.	CRD# 40145	DELRAY BEACH, FL
B	10/22/2002 - 12/31/2013	PMK SECURITIES & RESEARCH, INC.	CRD# 40145	DELRAY BEACH, FL
IA	04/29/1999 - 01/30/2006	INVESTMENT SCIENCES, INC.	CRD# 127993	DELRAY BEACH, FL
B	09/30/1991 - 11/18/2002	COMPREHENSIVE CAPITAL CORPORATION	CRD# 6215	GREAT NECK, NY
B	07/11/1988 - 09/30/1991	G. K. SCOTT & CO., INC.	CRD# 3305	PLAINVIEW, NY
B	08/19/1987 - 07/16/1988	BROWNSTONE-SMITH SECURITIES CORP.	CRD# 17118	
B	07/21/1987 - 09/16/1987	THE JAMESON GROUP, INC.	CRD# 18409	
B	12/17/1985 - 07/29/1987	THE STUART-JAMES COMPANY, INC.	CRD# 11691	

### 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
12/2013 - Present	HENNION & WALSH INC.	BROKER	Y	DELRAY BEACH, FL, United States
10/2002 - Present	PMK SECURITIES & RESEARCH	REGISTERED REPRESENTATIVE	Y	DELRAY BEACH, FL, 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
Regulatory Event	2
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 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Florida Office of Financial Regulation
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	09/01/2016
<b>Docket/Case Number:</b>	66087-SR
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Hennion & Walsh Asset Management, Inc.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Conducted investment advisory business from offices within this state without the benefit of lawful registration.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	09/01/2016



**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$10,000.00

**Portion Levied against individual:** \$10,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 09/01/2016

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement**

On 9/1/2016, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Timothy P. Ciraulo. Mr. Ciraulo neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that Timothy P. Ciraulo engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida pursuant to section 517.12(4), F. S. Timothy P. Ciraulo agreed to pay an administrative fine in the amount of \$10,000. The Office agreed to approve Timothy P. Ciraulo's application as an associated person (RA) with Hennion & Walsh Asset Management, Inc. effective 9/1/2016.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** Florida Office of Financial Regulation

**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 09/01/2016

**Docket/Case Number:** 66087-SR

**Employing firm when activity occurred which led to the regulatory action:** Hennion & Walsh Asset Management, Inc.

**Product Type:** No Product

**Allegations:** Conducted investment advisory business from offices within Florida without lawful registration.

**Current Status:** Final

**Resolution:** Order

**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:** 09/01/2016



**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$10,000.00

**Portion Levied against individual:** \$10,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 09/01/2016

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement**

Mr. Ciraulo was at all times in compliance with his firm's requirements and believed he was properly registered. The Order states that the firm confirmed that the lack of registration was due to an oversight on the its part.

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT\*See FAQ #1\*

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 12/20/1990

**Docket/Case Number:** 1377-S-10/90

**Employing firm when activity occurred which led to the regulatory action:** G. K. SCOTT & CO., INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** Not Provided

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 07/24/1992

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** ON JULY 24, 1992, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ENTERED INTO A STIPULATION AND CONSENT AGREEMENT AND FINAL ORDER WITH RESPONDENTS G. K. SCOTT & CO., INC., GEORGE KEVORKIAN, MICHAEL CZAJA, MICHAEL ROBERTS, FRED CIRILLO, R. PETER SAUER, TIMOTHY CIRAULO AND MARK CZAJA. ALL RESPONDENTS AGREE TO CONDUCT ALL BUSINESS AFFAIRS IN



COMPLIANCE WITH CHAPTER 517, FLORIDA STATUTES, AND THE RULES PROMULGATED THEREUNDER; AGREE TO NOT SELL OR OFFER FOR SALE DESIGNATED SECURITIES EXCEPT FOR UNSOLICITED TRADES AND AGREE TO REIMBURSE THE DEPARTMENT'S ANTI-FRAUD TRUST FUND FOR INVESTIGATION COSTS AS FOLLOWS: G.K. SCOTT - \$2500; MICHAEL CZAJA - \$250; M. ROBERTS - \$250; R.P. SAUER - \$250; T. CIRAULO - \$250; MARK CZAJA - \$250; G. KEVORKIAN - \$625.

**Regulator Statement**

Not Provided

**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

STATE OF FLORIDA DEPARTMENT OF BANKING & FINANCE

**Sanction(s) Sought:**

Other

**Other Sanction(s) Sought:**

**Date Initiated:**

12/20/1990

**Docket/Case Number:**

1377-S-10/90

**Employing firm when activity occurred which led to the regulatory action:**

G. K. SCOTT & CO., INC.

**Product Type:**

Penny Stock(s)

**Other Product Type(s):**

**Allegations:**

THE ADMINISTRATIVE COMPLAINT ALLEGES THAT G.K SCOTT & CO INC. FAILED TO COMPLY WITH RULE 3E600.012 (5), FLORIDA ADMINISTRATIVE CODE, A THEN NEWLY ADOPTED ADMINISTRATIVE RULE OF THE DIVISION DEALING WITH DESIGNATED SECURITIES.

**Current Status:**

Final

**Resolution:**

Stipulation and Consent

**Resolution Date:**

07/24/1992

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:**

IN THE INTEREST OF COMPROMISE AND SETTLEMENT THE DEPARTMENT AND RESPONDENTS AGREED TO RESOLVE THE MATTERS ADDRESSED IN THE COMPLAINT WITHOUT THE NECESSITY OF AN ADMINISTRATIVE HEARING. RESPONDENTS NEITHER ADMITTED OR DINED THE ALLEGATIONS OF THE COMPLAINT, BUT CONSENTED TO THE ENTRY OF THE DEPARTMENT FINAL ORDER. RESPONDENTS AGREED TO REIMBURSE THE DEPARTMENT FOR ITS INVESTIGATORY COSTS RELATED TO THIS MATTER. RESPONDENT TIMOTHY CIRAULO MADE A PAYMENT OF \$250.00 NO FINE WAS IMPOSED.



## 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:** Regulator

**Employing firm when activities occurred which led to the complaint:** G. K. SCOTT & CO., INC.

**Allegations:** BRCH OF FIDUCIARY DT; MISREPRESENTATION; UNKNOWN TYPE OF CONTROVERSY; UNKNOWN TYPE OF CONTROVERSY

**Product Type:**

**Alleged Damages:** \$24,860.77

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #91-00658](#)

**Date Notice/Process Served:** 03/13/1991

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 08/22/1991

**Disposition Detail:** AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$14,498.89 JOINTLY AND SEVERALLY; INTEREST, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$933.22 JOINTLY AND SEVERALL

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** G. K. SCOTT & CO., INC.

**Allegations:** [CUSTOMER] ALLEGED THAT HIS BROKER, [OTHER FIRM EMPLOYEE], WHO IS ALSO HIS NEPHEW, PURCHASED UNSUITABLE INVESTMENTS AND MADE UNAUTHORIZED TRADES ON HIS BEHALF. CLAIMANT SAID HE WAS AN UNSOPHISTICATED INVESTOR AND ONLY HAD A 10TH GRADE EDUCATION.

**Product Type:** Equity - OTC

**Alleged Damages:** \$24,860.77

### Customer Complaint Information

**Date Complaint Received:** 03/13/1991

**Complaint Pending?** No



**Status:** Arbitration/Reparation

**Status Date:** 08/22/1991

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NATIONAL ASSOC. OF SECURITIES DEALERS; 91-00658](#)

**Date Notice/Process Served:** 03/13/1991

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 08/22/1991

**Monetary Compensation Amount:** \$14,498.89

**Individual Contribution Amount:** \$940.86

### Civil Litigation Information

**Disposition:**

**Disposition Date:** 08/22/1991

**Broker Statement** RESPONDENTS [OTHER FIRM EMPLOYEES], AND TIMOTHY CIRAULO WERE FOUND LIABLE, JOINT AND SEVERAL, FOR AWARD OF \$15,351.11. REQUEST FOR PUNATIVE DAMAGES AND ATTORNEY'S FEES WERE DENIED. TIMOTHY CIRAULO CONTRIBUTED 940.86 TO THE FINAL SETTLEMENT, REFLECTING APPROXIMATELY 5% OF AWARD INCLUDING DEFENSE ATTORNEY FEES. [OTHER FIRM EMPLOYEES] SPLIT THE REMAINDER.  
I, TIMOTHY CIRAULO, WAS NAMED AS RESPONDENT IN THE ARBITRATION, CLAIMANT WAS [OTHER FIRM EMPLOYEE'S] UNCLE, AND THEY BOTH COMMUNICATED EVERY MORNING. I WAS FIRST MADE AWARE OF THE PROBLEM [CUSTOMER] HAD WHEN HE CALLED TO LIQUIDATE HIS PORTFOLIO ON JANUARY 25, 1991.

### Disclosure 2 of 2

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** COMPREHENSIVE CAPITAL CORP.

**Allegations:** UNAUTHORIZED TRADING

**Product Type:**

**Alleged Damages:** \$21,068.11

### Arbitration Information



**Arbitration/Reparation Claim filed with and Docket/Case No.:** [UNKNOWN - CASE #94-02853](#)

**Date Notice/Process Served:** 08/01/1994

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 11/21/1995

**Disposition Detail:** AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$2,000.00; INTEREST, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$750.00; OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$27.00; OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** COMPREHENSIVE CAPITAL CORP.

**Allegations:** CLAIMANT CONTENDS THAT VARIOUS CHECKS AGGREGATING THE SUM OF \$10,000 WERE ISSUED IN THE NAME OF CLAIMANT BUT WERE CONVERTED BY HIS FATHER, [FAMILY MEMBER], TO HIS FATHER'S PERSONAL USE WITHOUT THE KNOWLEDGE OR CONSENT OF THE CLAIMANT.

**Product Type:** No Product

**Alleged Damages:** \$21,068.11

### Customer Complaint Information

**Date Complaint Received:** 08/01/1994

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 11/21/1995

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NATIONAL ASSOC. OF SECURITIES DEALERS; 94-02853](#)

**Date Notice/Process Served:** 08/01/1994

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 11/21/1995



**Monetary Compensation Amount:** \$2,777.00

**Individual Contribution Amount:**

**Broker Statement**

AWARD IN FAVOR OF CLAIMANT FOR \$2,000 PLUS \$777.00 IN INTEREST FOR A TOTAL OF \$2,777.00 COMPREHENSIVE ISSUED ALL CHECKS IN CLAIMANT'S NAME AND TO THE CLAIMANT'S ADDRESS ON OUR SCREENS. CLAIMANT'S FATHER, [FAMILY MEMBER]. APPARENTLY INTERCEPTED THE CHECKS AND CONVERTED THEM FOR HIS PERSONAL USE. THE PAYING BANK WAS CONTACTED BUT CLAIMS THE CHECKS WERE PROPERLY PAID. RESPONDENTS FILED A COMPLAINT AGAINST CLAIMANT'S FATHER WITH THE LOCAL POLICE DEPARTMENT BUT CLAIMANT REFUSES TO PRESS CHARGES.



## End of Report

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