



IAPD Report

EUGENE MARTIN SINGER

CRD# 1540416

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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

EUGENE MARTIN SINGER (CRD# 1540416)

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 **12/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EMPIRE ASSET MANAGEMENT COMPANY	CRD# 143007	06/15/2015
IA	EMPIRE FINANCIAL MANAGEMENT COMPANY, LLC	CRD# 146097	03/29/2021

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	TRIBAL CAPITAL MARKETS, LLC	38901	NEW YORK, NY	09/27/1995 - 07/10/2015
B	FEDERATED MANAGEMENT INC.	6148	NEW YORK, NY	09/24/1986 - 10/03/1995

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	1
Customer Dispute	6



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: **EMPIRE ASSET MANAGEMENT COMPANY**
Main Address: 29 BROADWAY
12TH FLOOR
NEW YORK, NY 10006
Firm ID#: 143007

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	06/15/2015
B FINRA	General Securities Representative	Approved	06/15/2015
B FINRA	Municipal Securities Representative	Approved	06/15/2015
B FINRA	Operations Professional	Approved	06/15/2015
B FINRA	Registered Options Principal	Approved	06/15/2015
B FINRA	Securities Trader	Approved	01/04/2016
B FINRA	Securities Trader Principal	Approved	02/03/2016
B Arizona	Agent	Approved	06/29/2015
B California	Agent	Approved	06/16/2015
B Colorado	Agent	Approved	07/16/2015
B Connecticut	Agent	Approved	06/29/2015
B Florida	Agent	Approved	06/22/2015
B Georgia	Agent	Approved	06/15/2015



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	06/17/2015
B Louisiana	Agent	Approved	05/23/2018
B Maine	Agent	Approved	08/19/2022
B Maryland	Agent	Approved	07/10/2015
B Michigan	Agent	Approved	04/24/2019
B Minnesota	Agent	Approved	04/24/2019
B Nevada	Agent	Approved	05/01/2019
B New Jersey	Agent	Approved	06/29/2015
B New York	Agent	Approved	06/24/2015
B North Carolina	Agent	Approved	04/29/2019
B Ohio	Agent	Approved	03/03/2017
B Oregon	Agent	Approved	06/14/2025
B Pennsylvania	Agent	Approved	06/16/2015
B Texas	Agent	Approved	08/19/2022
B Virginia	Agent	Approved	06/15/2015
B Washington	Agent	Approved	07/10/2015
B Wisconsin	Agent	Approved	08/18/2022

Branch Office Locations

29 BROADWAY



Qualifications

12TH FLOOR
NEW YORK, NY 10006

Employment 2 of 2

Firm Name: **EMPIRE FINANCIAL MANAGEMENT COMPANY, LLC**
Main Address: 29 BROADWAY
12TH FLOOR
NEW YORK, NY 10006
Firm ID#: 146097

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	03/29/2021

Branch Office Locations

EMPIRE FINANCIAL MANAGEMENT COMPANY, LLC
29 BROADWAY
12TH FLOOR
NEW YORK, NY 10006





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, 6 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	06/19/1995
 General Securities Principal Examination (S24)	Series 24	11/19/1987

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Limited Representative-Equity Trader Exam (S55)	Series 55	09/26/2000
 General Securities Representative Examination (S7)	Series 7	09/20/1986

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/14/1987



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	09/27/1995 - 07/10/2015	TRIBAL CAPITAL MARKETS, LLC	CRD# 38901	NEW YORK, NY
B	09/24/1986 - 10/03/1995	FEDERATED MANAGEMENT INC.	CRD# 6148	NEW YORK, NY

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
06/2015 - Present	EMPIRE ASSET MANAGEMENT COMPANY, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
06/2015 - Present	EMPIRE FINANCIAL MANAGEMENT COMPANY, LLC	INVESTMENT ADVISORY 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
Regulatory Event	1
Customer Dispute	6

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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	09/22/2002
Docket/Case Number:	NASD 01-05976
Employing firm when activity occurred which led to the regulatory action:	BCS BROKERAGE, INC.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	SUITABILITY
Current Status:	Final
Resolution:	Settled
Resolution Date:	12/02/2002
Sanctions Ordered:	Monetary/Fine \$120,000.00
Other Sanctions Ordered:	
Sanction Details:	\$120,000.00 TO CUSTOMER. \$60,000 WAS DUE TO ERROR IN THE ACOCUNT.
Broker Statement	\$60,000 WAS DUE TO ERROR IN ACCOUNT. \$60,000 PAID BY FIRM. NO



INDIVIDUAL CONTRIBUTION TO SETTLEMENT



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 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Blue Capital Securities

Allegations: Customer alleged that certain options trades which were executed in his account occurred after he had instructed the broker to temporarily suspend limited discretion that was in place for his account. The customer also alleged that these trades were not consistent with the investment objective he had conveyed to the Broker. The claim was jointly settled by the firm and broker for \$216,000 in order to avoid the uncertainties of arbitration and extensive legal costs.

Product Type: Options

Alleged Damages: \$364,560.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/02/2015

Complaint Pending? No

Status: Settled

Status Date: 07/01/2016

Settlement Amount: \$216,000.00

Individual Contribution Amount: \$50,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Blue Capital Securities

Allegations: Customer alleged that certain option trades which were executed in his account occurred after he had instructed the broker to temporarily suspend limited discretion that was in place for his account. The customer also alleges that these trades were not consistent with the investment objective he had conveyed to the Broker. The claim was jointly settled by the firm and the broker for \$216,000 in order to avoid the uncertainties of arbitration and extensive legal costs.

Product Type: Options



Alleged Damages: \$364,560.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 10/02/2015

Complaint Pending? No

Status: Settled

Status Date: 07/01/2016

Settlement Amount: \$216,000.00

**Individual Contribution
Amount:** \$50,000.00

Broker Statement I deny the allegations of any wrongdoing. At all times the client was aware of both the strategy for the account and the profits and losses of the account. The client provided limited discretionary authority that was followed. A settlement was reached to preserve the relationship with the client as well as avoid the uncertainties and costs of an arbitration.

Disclosure 2 of 6

Reporting Source: Individual

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

Allegations: NOTHING SPECICICALLY ALLEGED

Product Type: No Product

Alleged Damages: \$0.00

**Alleged Damages Amount
Explanation (if amount not
exact):** NO AMOUNT WAS ALLEGED

Is this an oral complaint? Yes

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 06/21/2012

Complaint Pending? No

Status: Settled

Status Date: 10/10/2012

Settlement Amount: \$14,999.00



Individual Contribution Amount: \$14,999.00

Broker Statement ALLEGATIONS WERE NEITHER SPECIFIC OR VERIFIABLE. COMPLAINT SETTLED PRIOR TO ANY FURTHER REVIEW.

Disclosure 3 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BLUE CAPITAL SECURITAIES

Allegations: UNAUTHORIZED TRADES

Product Type: Options

Other Product Type(s): EQUITIES

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 07/13/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/29/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: ARBITRATION: NASD CASE NO. 05-03966

Date Notice/Process Served: 07/29/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/29/2008

Monetary Compensation Amount: \$177,500.00

Individual Contribution Amount: \$177,500.00

Disclosure 4 of 6

Reporting Source: Individual

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

Allegations: UNAUTHORIZED TRADING

Product Type: Equity-OTC



Alleged Damages: \$15,000.00

Alleged Damages Amount Explanation (if amount not exact): NO ACTUAL DAMAGES WERE EVER ALLEGED. THIS WAS A GOOD FAITH ESTIMATE BY THE FIRM.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/29/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/29/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE ABOVE CUSTOMER COMPLAINT WAS BOGUS AND MALICIOUS IN NATURE. THERE NEVER WERE ANY GROUNDS FOR SUCH A COMPLAINT TO BE LODGED, AND THE REGISTERED REPRESENTATIVE HAS PROVIDED PROOF OF SUCH. IT IS THE OPINION OF THE FIRM THAT THIS SHOULD NOT BE A REPORTABLE EVENT ON THE FORM U4, AS THERE NEVER WAS ANY MERIT TO THE CLAIM.

Disclosure 5 of 6

Reporting Source: Individual

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

Allegations: UNAUTHORIZED TRADING

Product Type: Equity - OTC

Other Product Type(s): OPTIONS

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 06/20/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/14/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 03-04011

Date Notice/Process Served: 06/20/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/02/2004

Monetary Compensation Amount: \$7,000.00

Individual Contribution Amount: \$0.00

Broker Statement RESONDENT EMPHATICALLY DENIES THESE FRIVOLOUS ALLEGATIONS THAT WERE MADE BY A HIGHLY SOPHISTICATED AND EXPERIENCED TRADER WHO RECEIVED ONLINE FINANCIAL DATA BASES, INCLUDING BLOOMBERG, AND ACTIVELY MANAGED HIS OWN ACCOUNT THRU COMPUTER ACCESS FROM HIS HOME OFFICE. IN FACT, COMPUTER RECORDS REFLECT THAT CLAIMANT CONSTATNLY ACCESSED HIS ACCOUNT INFORMATION (GOING ON LINE TO MONITOR AND MANAGE HIS ACCOUNT ACTIVITY MORE THAN 2000 TIMES). RESPONDENT INTENDS TO SEEK LEGAL FEES AND HAVE THESE RECORDS EXPUNGED.THE SETTLEMENT WAS FOR LEGAL FEES ONLY, NO COMPENSOTORY DAMAGES.

Disclosure 6 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BCS BROKERAGE

Allegations: TO MUCH MARGIN.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITY OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 11/15/2001

Complaint Pending? No

Status: Settled

Status Date: 06/02/2002

Settlement Amount: \$16,524.00

Individual Contribution Amount: \$0.00

Broker Statement BCS BROKERAGE AGREED TO SETTLE THE MATTER RATHER THAN EXTENDED LITIGATION AS THE MEDIATION AMOUNT WAS CONSIDERED IMMATERIAL.



End of Report

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