



IAPD Report

NICOLAAS PETRUS PRONK

CRD# 1726101

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6
Disclosure Information	7

i 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

NICOLAAS PETRUS PRONK (CRD# 1726101)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NOBLE CAPITAL MARKETS, INC.	CRD# 15768	02/01/1988
IA	NOBLE CAPITAL MANAGEMENT, INC.	CRD# 112938	05/03/1997

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	INTERNATIONAL ASSETS ADVISORY CORPORATION	10645	ORLANDO, FL	04/19/1989 - 03/04/1991

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	10



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

Employment 1 of 2

Firm Name: **NOBLE CAPITAL MANAGEMENT, INC.**
Main Address: 150 EAST PALMETTO PARK ROAD
SUITE 110
BOCA RATON, FL 33432
Firm ID#: 112938

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	05/27/2021
IA Florida	Investment Adviser Representative	Approved	05/03/1997

Branch Office Locations

NOBLE CAPITAL MANAGEMENT, INC.
951 Yamato Road Suite 210
Boca Raton, FL 33431

NOBLE CAPITAL MANAGEMENT, INC.
88 Post Road W
Westport, CT 06880

Employment 2 of 2

Firm Name: **NOBLE CAPITAL MARKETS, INC.**
Main Address: 150 EAST PALMETTO PARK ROAD
SUITE 110
BOCA RATON, FL 33432
Firm ID#: 15768

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/01/1988
B FINRA	General Securities Principal	Approved	06/15/1988
B FINRA	Financial and Operations Principal	Approved	08/11/1988
B FINRA	Registered Options Principal	Approved	03/19/1991
B FINRA	Municipal Securities Representative	Approved	06/16/1993



Qualifications

Regulator	Registration	Status	Date
B FINRA	Municipal Securities Principal	Approved	11/08/1994
B FINRA	Investment Banking Representative	Approved	03/01/2010
B FINRA	Operations Professional	Approved	11/03/2011
B FINRA	Investment Banking Principal	Approved	10/01/2018
B Connecticut	Agent	Approved	04/18/2007
B Florida	Agent	Approved	01/01/1992
B New York	Agent	Approved	01/16/1992

Branch Office Locations

NOBLE CAPITAL MANAGEMENT INC
150 East Palmetto Park Road
Suite 110
BOCA RATON, FL 33432







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 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	08/10/2018
 Municipal Securities Principal Examination (S53)	Series 53	11/07/1994
 Registered Options Principal Examination (S4)	Series 4	10/02/1989
 Financial and Operations Principal Examination (S27)	Series 27	08/10/1988

General Industry/Product Exams

Exam	Category	Date
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/27/2018

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	10/05/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/11/1988



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	04/19/1989 - 03/04/1991	INTERNATIONAL ASSETS ADVISORY CORPORATION	CRD# 10645	ORLANDO, FL

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
12/1996 - Present	NOBLE CAPITAL MANAGEMENT, INC.	PRESIDENT & CEO	Y	BOCA RATON, FL, United States
08/1995 - Present	NOBLE CAPITAL MARKETS INC./NOBLE FINANCIAL GROUP INC.	PRESIDENT	Y	BOCA RATON, 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.

CAROLINA VISION INVESTMENTS II, III, IV LLC REAL ESTATE INVESTMENTS MEMBER 131 STUTTS ROAD MOORESVILLE NC 28117/1 HOUR PER WEEK

CHARLOTTE DEVELOPMENT PARTNERS, LLC REAL ESTATE INVESTMENTS MEMBER 150 EAST PALMETTO PARK ROAD, STE 110, BOCA RATON FL 33432/1 HOUR PER WEEK

NOBLE CAPITAL MANAGEMENT, INC. REGISTERED INVESTMENT ADVISOR PRESIDENT 150 EAST PALMETTO PARK ROAD, STE 110, BOCA RATON FL 33432/5 HOURS PER WEEK

SKY ONE AVIATION LLC, 150 EAST PALMETTO PARK ROAD, STE 110, BOCA RATON FL 33432, INVESTOR/CHAIRMAN, APPROX 5 HOURS PER WEEK



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	10

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: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 11/23/2016

Docket/Case Number: [2013035740901](#)

Employing firm when activity occurred which led to the regulatory action: Noble Financial Capital Markets

Product Type: Equity Listed (Common & Preferred Stock)

Allegations: Pronk was named a respondent in a FINRA complaint alleging that he and his member firm, that he was president of, willfully violated Section 10(b) of the Securities Exchange Act of 1934 and Rules 10b-5(a), (b) and (c) thereunder and FINRA Rule 2020 by soliciting seven customers to purchase nearly a million shares of a company's common stock without disclosing the firm's multiple and material conflicts of interest. The complaint alleges that Pronk and the firm knowingly or recklessly failed to inform the customers of the firm's Advisory and Warrant Agreements with the company and the compensation it received and anticipated receiving thereunder. In addition, Pronk and the firm knowingly or recklessly failed to inform the customers of additional compensation the firm promised the registered representatives in its Institutional Sales and Trading Department for promoting, recommending, and selling the company's stock and also the firm's speculative arbitrage strategy in the company's securities that created a financial incentive for Pronk and the firm to recommend the company's stock.



Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
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:	10/18/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Requalification 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 2

Sanction Type: Suspension
Capacities Affected: all capacities
Duration: two months
Start Date: 06/01/2018
End Date: 07/31/2018

Sanction 2 of 2

Sanction Type: Suspension
Capacities Affected: any principal capacity
Duration: six months
Start Date: 12/01/2017
End Date: 05/31/2018

Requalification 1 of 1

Requalification Type: Requalification by Exam
Length of time given to requalify: within the eight-month suspension period

Type of exam required : Series 7 and Series 24

Has condition been satisfied: No

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$25,000.00
Portion Levied against individual: \$25,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 11/08/2017



Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

Without admitting or denying the allegations, Pronk consented to the sanctions and to the entry of findings that he and his member firm recommended and sold nearly a million shares of a company's common stock to customers without disclosing the firm's multiple and material conflicts of interest.

The findings stated that Pronk and the firm promoted and recommended the company's common stock to prospective investors to profit from the firm's undisclosed investment banking relationships with the company and their undisclosed arbitrage of the company's securities, which created a financial incentive for the firm and Pronk to recommend the common stock to customers. Pronk retained ultimate control over all firm activities including proprietary trading, sales, investment banking, and the decision to initiate and prioritize the promotion and sale of the common stock. To boost the sale of the company's common stock, the firm and Pronk aggressively promoted and solicited purchases of the common stock by issuing research through the firm's research department, conducting non-deal road shows through the firm's investment banking and institutional sales departments, and contacting prospective investors, primarily institutions, through registered representatives of the firm's institutional sales departments. The firm and Pronk also provided the representatives with a misleading sales script to use when soliciting prospective investors in the company's common stock.

The findings also stated that Pronk and the firm failed to disclose to the customers who purchased the company's common stock of the firm's Advisory and Warrant Agreements with the company and the compensation it received and anticipated receiving thereunder. In addition, the firm failed to disclose to the customers the additional compensation the firm promised its registered representatives for promoting, recommending and selling the company's stock, and of the firm's speculative arbitrage strategy in the company's securities that created a financial incentive for the firm and Pronk to recommend the company's stock. Pronk and the firm did not disclose or take any steps to ensure that the representatives disclose, to the customers to whom they recommended and sold the common stock that the firm and Pronk were engaged in the speculative arbitrage strategy. Fine paid in full on November 8, 2017.

.....

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

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

Date Initiated: 11/23/2016

Docket/Case Number: [2013035740901](#)

Employing firm when activity occurred which led to the regulatory action: NOBLE FINANCIAL CAPITAL MARKETS

Product Type: Equity Listed (Common & Preferred Stock)

Allegations: INITIATED 11/29/2016 Pronk was named a respondent in a FINRA complaint



alleging that he and his member firm, that he was president of, willfully violated Section 10(b) of the Securities Exchange Act of 1934 and Rules 10b-5(a), (b) and (c) thereunder and FINRA Rule 2020 by soliciting seven customers to purchase nearly a million shares of a company's common stock without disclosing the firm's multiple and material conflicts of interest. The complaint alleges that Pronk and the firm knowingly or recklessly failed to inform the customers of the firm's Advisory and Warrant Agreements with the company and the compensation it received and anticipated receiving thereunder. In addition, Pronk and the firm knowingly or recklessly failed to inform the customers of additional compensation the firm promised the registered representatives in its Institutional Sales and Trading Department for promoting, recommending, and selling the company's stock and also the firm's speculative arbitrage strategy in the company's securities that created a financial incentive for Pronk and the firm to recommend the company's stock.

Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	10/18/2017
Sanctions Ordered:	Requalification Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	8 months total -6 months in a Principal Capacity, 2 months in all capacities
Duration:	8 months
Start Date:	11/20/2017
End Date:	07/19/2018
Requalification 1 of 1	
Requalification Type:	Requalification by Exam
Length of time given to requalify:	8 MONTHS
Type of exam required :	Series 7, Series 24
Has condition been satisfied:	No
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$25,000.00
Portion Levied against individual:	\$25,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	



Was any portion of penalty waived? No

Amount Waived:

Broker Statement

As CEO, Pronk agrees that he had ultimate control over the Firm's activities and thereby must assume responsibility for errors made. Pronk concedes that disclosures in the 2011 research reports in question were deficient; although a banking relationship was disclosed, a more thorough description was required. Pronk relied on the Firm's Chief Compliance Officer at the time, who did not provide sufficient disclosure. Similarly, Noble disclosed that it was a market maker but failed to provide a more detailed description of such activities. Noble's "arbitrage strategy," as described in the Complaint, however, was a component of regular and accepted market making activity, as is evidenced by the removal of the allegation that Noble was in violation of Rule 203(B)(1) of Regulation SHO. Pronk and Noble have long since taken steps to revamp its protocols wherein the Company provides its institutional clients disclosure that exceeds industry requirements. FINRA agrees with Pronk that violations were not "willful," "reckless," or "knowingly" misleading



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 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NOBLE INTERNATIONAL INVESTMENTS INC
Allegations:	SUITABILITY
Product Type:	Equity-OTC
Alleged Damages:	\$95,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	03-00482
Filing date of arbitration/CFTC reparation or civil litigation:	02/07/2003

Customer Complaint Information

Date Complaint Received:	02/07/2003
Complaint Pending?	No
Status:	Settled
Status Date:	02/07/2003
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Disposition:	Settled
Disposition Date:	02/04/2004

Broker Statement	PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.
-------------------------	---



Disclosure 2 of 10

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: NOBLE INVESTMENT COMPANY

Allegations: MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE; SUITABILITY

Product Type:

Alleged Damages:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-04907

Date Notice/Process Served: 12/02/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/31/1998

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
CASE SETTLED

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: SUITABILITY

Product Type: Equity-OTC

Alleged Damages: \$90,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 97-04907

Filing date of arbitration/CFTC reparation or civil litigation: 12/07/1997

Customer Complaint Information

Date Complaint Received: 12/07/1997

Complaint Pending? No

Status: Settled

Status Date: 08/31/1998



Settlement Amount: \$27,500.00

Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: Settled

Disposition Date: 08/31/1998

Broker Statement PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.

Disclosure 3 of 10

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: NOBEL INVESTMENT CO.; NOBEL INTERNATIONAL INVESTMENTS, INC.

Allegations: MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE; SUITABILITY

Product Type:

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-02525

Date Notice/Process Served: 06/12/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/03/1998

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
** CASE SETTLED THRU MEDIATION **

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NOBEL INVESTMENT CO.; NOBEL INTERNATIONAL INVESTMENTS, INC.

Allegations:

Product Type:

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received:



Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/03/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 97-02525

Date Notice/Process Served: 06/12/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/03/1998

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NOBEL INVESTMENT CO.; NOBEL INTERNATIONAL INVESTMENTS, INC.

Allegations: SUITABILITY

Product Type: Equity-OTC

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 97-02525

Filing date of arbitration/CFTC reparation or civil litigation: 06/12/1997

Customer Complaint Information

Date Complaint Received: 06/12/1997

Complaint Pending? No

Status: Settled

Status Date: 02/03/1998



Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: Settled

Disposition Date: 02/03/1998

Broker Statement PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.

Disclosure 4 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NOBLE INVESTMENT COMPANY OF PALM BEACH

Allegations: SUITABILITY

Product Type: Equity-OTC

Alleged Damages: \$74,798.14

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: UNKNOWN

Filing date of arbitration/CFTC reparation or civil litigation: 11/10/1995

Customer Complaint Information

Date Complaint Received: 11/10/1995

Complaint Pending? No

Status: Settled

Status Date: 08/06/1996

Settlement Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: Settled

Disposition Date: 08/06/1996



Broker Statement PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.

Disclosure 5 of 10

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$285,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-05077

Date Notice/Process Served: 02/13/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/24/1998

Disposition Detail: CASE IS CLOSED, SETTLED
** CASE SETTLED **

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: SUITABILITY

Product Type: Equity-OTC

Alleged Damages: \$285,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 96-05077



Filing date of arbitration/CFTC reparation or civil litigation: 02/13/1997

Customer Complaint Information

Date Complaint Received: 02/13/1997
Complaint Pending? No
Status: Settled
Status Date: 07/24/1998
Settlement Amount: \$46,971.10
Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: Settled
Disposition Date: 07/24/1998

Broker Statement PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.

Disclosure 6 of 10

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: BRCH OF FIDUCIARY DT; OTHER; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-BREACH OF CONTRACT

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$50,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-04993

Date Notice/Process Served: 12/16/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/06/1997

Disposition Detail: SETTLEMENT AGREEMENT DATED 09/03/97.

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: SUITABILITY

Product Type: Equity-OTC

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 96-04993

Filing date of arbitration/CFTC reparation or civil litigation: 12/16/1996

Customer Complaint Information

Date Complaint Received: 12/16/1996

Complaint Pending? No

Status: Settled

Status Date: 10/06/1997

Settlement Amount: \$58,650.00

Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: Settled

Disposition Date: 10/06/1997

Broker Statement PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.

Disclosure 7 of 10

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: CHURNING; OMISSION OF FACTS; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$500,000.00

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-04329

Date Notice/Process Served: 10/07/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/05/1998

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
** PARTIES SETTLED THRU MEDIATION **

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: SUITABILITY

Product Type: Equity-OTC

Alleged Damages: \$500,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: UNKNOWN

Filing date of arbitration/CFTC reparation or civil litigation: 10/07/1996

Customer Complaint Information

Date Complaint Received: 10/07/1996

Complaint Pending? No

Status: Settled

Status Date: 11/05/1998

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: Settled

Disposition Date: 11/05/1998

Broker Statement PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS



POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.

Disclosure 8 of 10

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE; SUITABILITY

Product Type:

Alleged Damages: \$113,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-03912

Date Notice/Process Served: 11/05/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/01/1998

Disposition Detail: CASE IS CLOSED, SETTLED
*****CASE SETTLED*****

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: SUITABILITY

Product Type: Equity-OTC

Alleged Damages: \$113,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: UNKNOWN

Filing date of arbitration/CFTC reparation or civil litigation: 11/05/1996



Customer Complaint Information

Date Complaint Received: 11/05/1996
Complaint Pending? No
Status: Settled
Status Date: 10/01/1998
Settlement Amount: \$17,500.00
Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: Settled
Disposition Date: 10/01/1998

Broker Statement PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.

Disclosure 9 of 10

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.

Allegations: MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; OMISSION OF FACTS; BRCH OF FIDUCIARY DT

Product Type:
Alleged Damages: \$99,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-03820
Date Notice/Process Served: 09/05/1996
Arbitration Pending? No
Disposition: Settled
Disposition Date: 12/10/1997
Disposition Detail: CASE IS CLOSED, SETTLED
 ** CASE SETTLED **

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NOBLE INTERNATIONAL INVESTMENTS, INC.
Allegations: SUITABILITY



Product Type: Equity-OTC

Alleged Damages: \$99,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date: 09/05/1996

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: UNKNOWN

Date Notice/Process Served: 09/05/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/10/1997

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Broker Statement PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.

Disclosure 10 of 10

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: NOBLE INVESTMENT CO

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$188,903.21

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-02528



Date Notice/Process Served: 05/30/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/17/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NOBLE INVESTMENT CO

Allegations: SUITABILITY

Product Type: Equity-OTC

Alleged Damages: \$188,903.21

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date: 05/30/1995

Settlement Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: UNKNOWN

Date Notice/Process Served: 05/30/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/17/1996

Monetary Compensation Amount: \$150,000.00



Individual Contribution Amount:

\$0.00

Broker Statement

PRONK IS, AND WAS AT THE TIME OF ALLEGATIONS, PRESIDENT / CEO OF NOBLE. PRONK WAS NAMED AS A RESPONDENT BASED SOLELY UPON HIS POSITION IN THE COMPANY; NO SALES PRACTICE VIOLATIONS WERE ALLEGED AGAINST PRONK EITHER DIRECTLY OR INDIRECTLY AS SUPERVISOR OF INDIVIDUAL(S) ALLEGED OF SUCH SALES PRACTICE VIOLATIONS. REFERENCE: FINRA DOCUMENT P119944.PDF Q14(1)-Q4.



End of Report

This page is intentionally left blank.