IAPD Report

ALICE JEAN SOLOMON

CRD# 1789872

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

ALICE JEAN SOLOMON (CRD# 1789872)

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 **03/31/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SOLOMON INVESTMENT GROUP, INC.	CRD# 144575	07/24/2007

QUALIFICATIONS

This representative is currently registered in **0** 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	REGAL SECURITIES, INC.	7297	GLENVIEW, IL	07/02/2007 - 07/09/2008
B	BROOKSTREET SECURITIES CORPORATION	14667	HIGHLAND, NJ	06/20/2006 - 07/03/2007
B	GREENWICH GLOBAL, LLC	37304	HIGHLANDS, NJ	03/26/2003 - 05/31/2006

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	3

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 **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name:	**SOLOMON INVESTMENT GROUP, INC.**
Main Address:	KEANSBURG, NJ
Firm ID#:	144575

	Regulator	Registration	Status	Date
IA	Delaware	Investment Adviser Representative	Approved	10/15/2021
IA	New Jersey	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA	Pennsylvania	Investment Adviser Representative	Approved	07/31/2008

Branch Office Locations

SOLOMON INVESTMENT GROUP, INC.
KEANSBURG, NJ

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, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	06/29/1992
B	General Securities Principal Examination (S24)	Series 24	01/17/1989

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7)	Series 7	03/19/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/02/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1988

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	07/02/2007 - 07/09/2008	REGAL SECURITIES, INC.	CRD# 7297	GLENVIEW, IL
B	06/20/2006 - 07/03/2007	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	HIGHLAND, NJ
B	03/26/2003 - 05/31/2006	GREENWICH GLOBAL, LLC	CRD# 37304	HIGHLANDS, NJ
B	01/23/1997 - 02/03/2003	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
B	03/16/1994 - 01/30/1997	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	11/08/1993 - 03/04/1994	D. BLECH & COMPANY, INCORPORATED	CRD# 26063	NEW YORK, NY
B	09/09/1992 - 12/06/1993	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	11/20/1990 - 09/10/1992	J. GREGORY & COMPANY, INC.	CRD# 14892	
B	08/27/1990 - 11/23/1990	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	
B	03/22/1988 - 11/23/1990	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	DENVER, CO
B	05/15/1989 - 09/25/1990	W. H. NEWBOLD'S SON & CO./HOPPER SOLIDAY & CO., INC.	CRD# 7575	

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
01/1997 - Present	Solomon Investment Group, Inc.	President	Y	Highlands, NJ, United States

Registration & Employment History

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.

A. J. Solomon is licensed in life, health and long term care in the state of New Jersey.

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	3

Regulatory Event

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

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	01/07/2010
Docket/Case Number:	08-03717
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	RESPONDENT FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.
Current Status:	Final
Resolution:	LETTER
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:	01/07/2010

Sanctions Ordered:	Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	N/A
Start Date:	01/07/2010
End Date:	02/09/2011
Regulator Statement	PURSUANT TO ARTICLE VI, SECTION 3 OF FINRA BY-LAWS, AND FINRA RULE 9554, RESPONDENT'S FINRA REGISTRATION IS SUSPENDED JANUARY 7, 2010 FOR FAILURE TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO FINRA REQUESTS TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE. SUSPENSION LIFTED FEBRUARY 9, 2011.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	01/07/2010
Docket/Case Number:	08-03717
Employing firm when activity occurred which led to the regulatory action:	GREENWICH GLOBAL, LLC
Product Type:	No Product
Allegations:	SERIES 7 SUSPENDED UNTIL NONINVESTMENT RELATED ARBITRATION SETTLMENT IS PAID. I AM CURRENTLY WORKING WITH LEGAL COUNSEL ON A SETTLEMENT OR DISCHARGE OF THE AWARD. NO PLAN HAS BEEN FINALIZED AS YET. EITHER WAY THE SUSPENSION WILL BE LIFTED ONCE A PLAN OF ACTION IS AGREED UPON AND FINRA IS NOTIFIED OF THE DETAILS.
Current Status:	Final

Resolution:	Settled
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:	02/09/2011
Sanctions Ordered:	Suspension Other: THIS IS NOT INVESTMENT OR CLIENT RELATED. THE PERSON WHO FILED THE ORIGINAL ARB CLAIM WAS A PARTNER IN THE BD NAMED ABOVE. I HAD BORROWED 50K FOR WORKING CAPITAL. I PAID MY 1/2 OF THE NOTE EVEN THOUGH THE OTHER PARTNER IN TESTIMONY ADMITED TO OWING HIS PORTION, HE CLAIMED HE HAD NO MONEY SO I WAS ORDERED TO PAY CLAIMANT HIS DEBT. SERIES 7 SUSPENDED UNTIL PAYMENT IS MADE. I AM CURRENTLY WORKING WITH LEGAL COUNSEL ON A SETTLEMENT OR DISCHARGE OF THE AWARD. THE SUSPENSION HAS BEEN LIFTED.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	7
Duration:	UNTIL PAYMENT IS MADE.
Start Date:	01/04/2010
End Date:	02/09/2011
Broker Statement	SUSPENSION WAS LIFTED ON 02/09/2011

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/22/2005
Docket/Case Number:	C11050014
Employing firm when activity occurred which led to the regulatory action:	GREENWICH GLOBAL LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 1021 AND 2110 - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM, ACTED IN A CAPACITY THAT REQUIRED REGISTRATION WITH NASD.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/22/2005
Sanctions Ordered:	Censure Monetary/Fine $15,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, SOLOMON CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE SHE IS CENSURED AND FINED $15,000 JOINTLY AND SEVERALLY.

Reporting Source:	Firm
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	04/22/2006
Docket/Case Number:	C11050014
Employing firm when activity occurred which led to the regulatory action:	GREENWICH GLOBAL, LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	VIOLATION OF NASD RULES 1021 AND 2110-RESPONDENT ACTING ON BEHALF OF HER MEMBER FIRM, ACTED IN A CAPACITY THAT REQUIRED REGISTRATION WITH THE NASD.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/22/2005
Sanctions Ordered:	Censure Monetary/Fine $15,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MS. SOLOMON CONSENTED TO THE DESCRIBED SANCTONS AND TO THE ENTRY OF FINDINGS, THEREFORE SHE IS CENSURED AND FINED $15,000 JOINTLY AND SEVERALLY

Reporting Source:	Individual

Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	04/22/2005
Docket/Case Number:	C11050014
Employing firm when activity occurred which led to the regulatory action:	GREENWICH GLOBAL, LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 1021 AND 2110-RESPONDENT ACTING ON BEHALF OF HER MEMBER FIRM, ACTING IN A CAPACITY THAT REQUIRED REGISTRATION WITH NASD
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/22/2005
Sanctions Ordered:	Censure Monetary/Fine $15,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, SOLOMON CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE SHE IS CENSURED AND FINED $15,000 JOINTLY AND SEVERALLY
Broker Statement	SOLOMON WAS A PARTNER IN THIS NOW DEFUNCT B/D. SHE WAS REGISTERED TO TAKE THE FINOP EXAM TO BE THE FINOP FOR THE FIRM. AFTER STUDYING FOR THE EXAM FOR 30 DAYS, SHE REALIZED THAT SHE WAS NOT QUALIFIED FOR THE POSITION. SHE WENT TO THE CEO AND PRESIDENT, AND INFORMED HIM THAT SHE WAS NOT QUALIFIED AND THAT THE FIRM WOULD HAVE TO FIND A LICENSED FINOP. FROM HER RECOLLECTION, SOMEONE WAS HIRED TO START AS SOON AS THE YEAR END AUDIT WAS FINISHED. HOWEVER, THE AUDITORS WENT ON EXTENSION SO THE FINOP CAME ON BOARD LATER THAN THE TIME OF HER TESTING WINDOW, LEAVING THE FIRM WITHOUT A FINOP FOR A SHORT PERIOD OF TIME. THEY (HER PARTNER AND HERSELF) WERE NEW TO THE B/D BUSINESS AND VERY GREEN TO THE B/D INDUSTRY, AS WELL AS OVERWHELMED AT THE INFORMATION REQUESTED BY THE AUDITORS AND THE NASD. SOLOMON AND HER PARTNER HAD JUST PURCHASED THE FIRM AND WERE STILL GETTING THEIR BEARINGS.

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 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	N/A
Allegations:	FRAUDULENT MISREPRESENTATION; CONVERSION; BREACH OF FIDUCIARY DUTY
Product Type:	Other: UNSPECIFIED PRIVATE PLACEMENT SECURITIES
Alleged Damages:	$185,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #08-03717
Date Notice/Process Served:	10/09/2008
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	10/28/2009
Disposition Detail:	SOLOMON IS LIABLE FOR AND SHALL PAY CLAIMANTS $45,000, PLUS INTEREST, IN COMPENSATORY DAMAGES. SOLOMON IS LIABLE FOR AND SHALL PAY CLAIMANTS INTEREST AT 6% PER ANNUM ON $70,000 FROM AUGUST 17, 2005 THROUGH NOVEMBER 9, 2007 AND INTEREST AT 6% PER ANNUM ON $45,000 FROM NOVEMBER 9, 2007 UNTIL AWARD IS PAID IN ITS ENTIRETY.
Regulator Statement	THE PANEL DETERMINED THAT SOLOMON WAS LIABLE TO CLAIMANTS FOR $70,000 IN COMPENSATORY DAMAGES; HOWEVER, ON NOVEMBER 8, 2007, SOLOMON PAID CLAIMANTS $25,000 AND THEREFORE, THE PANEL REDUCED ITS COMPENSATORY DAMAGE AWARD FROM $70,000 TO $45,000. The Award has not been paid.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	N/A
Allegations:	CLAIMANTS ASSERTED THE FOLLOWING CAUSES OF ACTION: FRAUDULENT MISREPRESENTATION, CONVERSION, AND BREACH OF FIDUCIARY DUTY. THE CAUSES OF ACTION RELATE TO INVESTMENTS IN UNSPECIFIED PRIVATE PLACEMENT SECURITIES.
Product Type:	Other: PRIVATE PLACEMENT SECURITIES

Alleged Damages:	$185,000.00
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 DISPUTE RESOLUTION - NEW YORK, NEW YORI^
Docket/Case #:	08-03717
Filing date of arbitration/CFTC reparation or civil litigation:	10/09/2008

Customer Complaint Information

Date Complaint Received:	10/09/2008
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	10/28/2009
Settlement Amount:	$70,000.00
Individual Contribution Amount:	$70,000.00
Broker Statement	Solomon, was a partner in the defunct B/D in question. The claimant was also a partner in the defunct B/D in question. This was a partner dispute not a customer complaint and anything stated by [REDACTED] with regard to the handling of her finances in a fiduciary capacity was false since [REDACTED] nor Stonehouse had a brokerage account with Solomon, Daly or the B/D. There was a loan to the B/D in the amount of $50,000.00 from [REDACTED]... Solomon paid her $25,000.00 plus all the interest due on the full loan amount. The remainder, $25000, was owed by Timothy Daly, also cited in the complaint. Timothy Daly cried poverty in the arbitration, even representing himself, so the panel decided to have AJ Solomon repay the remaining amount of money that Daly owed since the loan document that was submitted did not say joint and several...Solomon is not sure where the $70000 amount came from as the claimant was only owed $50000 according to the loan document. Solomon was completely taken aback by the decision of the panel. She was also unsure of why this was even taken in as an arbitration as this was clearly a partner dispute and should have been tried in civil court.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	REGAL SECURITIES
Allegations:	CLIENTS ALLEGES THAT 2 STOCK ORDERS WERE ENTERED AS STOP LOSSES BUT WERE SOLD AT A MUCH LOWER PRICE THAN THE STOP LOSS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$10,500.00

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:	12/17/2007
Complaint Pending?	No
Status:	Settled
Status Date:	05/20/2008
Settlement Amount:	$10,350.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	REGAL SECURITIES
Allegations:	CLIENT ALLEGES THAT 2 STOCK ORDER WERE ENTERED AS STOP LOSSES BUT WERE SOLD AT A MUCH LOWER PRICE THAN THE STOP LOSS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$10,500.00
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:	12/17/2007
Complaint Pending?	No
Status:	Settled
Status Date:	05/20/2008
Settlement Amount:	$10,350.00
Individual Contribution Amount:	$0.00
Broker Statement	Please archive this DRP as it is no longer reportable on her corresponding BrokerCheck report.

Disclosure 3 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO., INC.

Allegations: UNAUTHORIZED TRADING; EXECUTIONS-FAILURE TO EXECUTE; SUITABILITY; MISREPRESENTATION

Product Type:

Alleged Damages: $125,195.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #94-03049

Date Notice/Process Served: 09/28/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/1995

Disposition Detail: AWARD AGAINST PARTY
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS
BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $5,100.00;
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO., INC.

Allegations: Client alleges unauthorized trading,
unsuitable recommendation. Alleges $125,195 in damages.

Product Type:

Alleged Damages: $125,195.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-03049

Date Notice/Process Served: 09/28/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/1995

Monetary Compensation Amount: $24,900.00

Individual Contribution Amount:

Firm Statement Oppenheimer settled the NASD arbitration for $24,900. The settlement did not include Ms. Solomon who remained in the case and is awaiting the decision of the arbitration panel.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO., INC.

Allegations: ALLEGATIONS WERE UNAUTHORIZED TRADING, UNSUITABILITY

Product Type: Equity - OTC

Alleged Damages: $125,195.00

Customer Complaint Information

Date Complaint Received: 09/28/1994

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/01/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-03049

Date Notice/Process Served: 09/28/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/1995

Monetary Compensation Amount: $24,900.00

Individual Contribution Amount: $5,100.00

Broker Statement I WAS TO PAY 5100.00 TO CUSTOMER WHICH I DID. IN THE EARLY 1990S, MY SISTER'S BOYFRIEND FILED ARBITRATION AGAINST ME SHORTLY AFTER SHE TERMINATED THEIR RELATIONSHIP. HE ALLEGED UNAUTHORIZED TRADING. I HAD PHONE RECORDS THAT SHOWED I MADE A CALL TO HIM SHORTLY BEFORE THE TRADE WAS ENTERED AS WELL AS A CALL I MADE SHORTLY AFTER THE TRADE. THE CLIENT ALSO PURCHASED THE SAME SECURITY FOR HIMSELF AT HIS DISCOUNT HOUSE

MINUTES AFTER I PURCHASED THIS SAID AUTHORIZED TRADE.

End of Report

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