IAPD Report

JOHN WILLIAM CATALFIO

CRD# 2092083

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

JOHN WILLIAM CATALFIO (CRD# 2092083)

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 **11/27/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	01/07/2004
IA	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	03/26/2010

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **32** 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	FIRST FINANCIAL EQUITY CORPORATION	16507	SCOTTSDALE, AZ	02/08/2000 - 06/04/2002
B	U.S. BANCORP PIPER JAFFRAY INC.	665	MINNEAPOLIS, MN	04/30/1997 - 02/16/2000
B	PRINCIPAL FINANCIAL SECURITIES,INC.	260	DALLAS, TX	02/16/1996 - 04/29/1997

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
Customer Dispute	2
Termination	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **32** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **A.G.P / ALLIANCE GLOBAL PARTNERS**

Main Address: 88 POST ROAD WEST
2ND FLOOR
WESTPORT, CT 06880

Firm ID#: 8361

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/07/2004
B	FINRA	General Securities Principal	Approved	02/04/2004
B	Nasdaq Stock Market	General Securities Principal	Approved	02/15/2013
B	Nasdaq Stock Market	General Securities Representative	Approved	02/15/2013
B	Alaska	Agent	Approved	01/24/2017
B	Arizona	Agent	Approved	01/08/2004
IA	Arizona	Investment Adviser Representative	Approved	03/26/2010
B	California	Agent	Approved	01/08/2004
IA	California	Investment Adviser Representative	Approved	09/05/2024
B	Colorado	Agent	Approved	07/16/2004
IA	Connecticut	Investment Adviser Representative	Approved	09/05/2024
B	Florida	Agent	Approved	01/22/2004
IA	Florida	Investment Adviser Representative	Approved	09/06/2024

Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	02/13/2004
B	Idaho	Agent	Approved	09/14/2004
B	Indiana	Agent	Approved	02/26/2004
B	Louisiana	Agent	Approved	12/18/2008
B	Massachusetts	Agent	Approved	05/03/2007
B	Michigan	Agent	Approved	04/20/2004
B	Minnesota	Agent	Approved	04/28/2005
B	Missouri	Agent	Approved	08/02/2006
B	Montana	Agent	Approved	09/10/2004
B	Nebraska	Agent	Approved	05/20/2009
B	Nevada	Agent	Approved	04/01/2004
IA	New Jersey	Investment Adviser Representative	Approved	09/05/2024
B	New Mexico	Agent	Approved	07/08/2005
B	New York	Agent	Approved	02/01/2017
IA	New York	Investment Adviser Representative	Approved	09/05/2024
B	North Carolina	Agent	Approved	02/24/2004
IA	North Carolina	Investment Adviser Representative	Approved	09/05/2024
B	Ohio	Agent	Approved	11/25/2005
B	Oklahoma	Agent	Approved	11/20/2008

Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	02/20/2004
B	Pennsylvania	Agent	Approved	07/29/2020
B	South Carolina	Agent	Approved	12/05/2008
B	South Dakota	Agent	Approved	01/23/2017
B	Tennessee	Agent	Approved	06/25/2004
B	Texas	Agent	Approved	01/29/2004
IA	Texas	Investment Adviser Representative	Restricted Approval	05/17/2013
B	Utah	Agent	Approved	08/01/2006
B	Vermont	Agent	Approved	04/26/2006
B	Washington	Agent	Approved	09/10/2004

Branch Office Locations

A.G.P / ALLIANCE GLOBAL PARTNERS
9375 E. SHEA BLVD, SUITE 100
SCOTTSDALE, AZ 85260

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/02/2004

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/15/1990

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/17/2010
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/20/1990

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	02/08/2000 - 06/04/2002	FIRST FINANCIAL EQUITY CORPORATION	CRD# 16507	SCOTTSDALE, AZ
B	04/30/1997 - 02/16/2000	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	02/16/1996 - 04/29/1997	PRINCIPAL FINANCIAL SECURITIES,INC.	CRD# 260	DALLAS, TX
B	07/23/1993 - 02/20/1996	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	10/16/1990 - 07/30/1993	LEHMAN BROTHERS INC.	CRD# 7506	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
08/2012 - Present	EURO PACIFIC CAPITAL, INC.	BRANCH MANAGER	Y	SCOTTSDALE, AZ, 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
Customer Dispute	2
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EURO PACIFIC CAPITAL, INC.
Allegations:	CUSTOMERS ALLEGE UNSUITABLE RECOMMENDATION IN FEBRUARY - MARCH 2010 REGARDING INVESTMENT IN PRIVATE PLACEMENT CONVERTIBLE NOTE FOR OLYMPUS PACIFIC MINERALS, INC. (NAME NOW "BESRA GOLD INC.").
Product Type:	Debt-Corporate Other: PRIVATE PLACEMENT
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC AMOUNT ALLEGED
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:	10/10/2014
Complaint Pending?	No

Status:	Denied
Status Date:	10/14/2014
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	FIRM AND REGISTERED REPRESENTATIVE BELIEVE ALLEGATIONS ARE FRIVOLOUS AND WITHOUT MERIT.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	U.S. BANCORP PIPER JAFFRAY INC.
Allegations:	CLIENT ALLEGES PURCHASES OF 1,200 AND 210 MICAQ ON 6/14/99 WERE UNAUTHORIZED. SEEKS REVERSAL OF TRADES. CURRENT UNREALIZED LOSSES TOTAL APPROXIMATELY $6,311. ARBITRATION: CLAIMANTS ALLEGE UNAUTHORIZED TRADING.
Product Type:	Equity - OTC
Alleged Damages:	$6,311.00

Customer Complaint Information

Date Complaint Received:	12/05/2000
Complaint Pending?	No
Status:	Arbitration/Reparation Denied
Status Date:	04/02/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. CASE NUMBER 01-3121
Date Notice/Process Served:	08/17/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/10/2002
Monetary Compensation Amount:	$4,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	U.S. BANCORP PIPER JAFFRAY INC.
Allegations:	CLIENT SETTLED WITH REPRESENATIVE FOR $900.00. CLIENT SETTLED WITH PIPER JAFFRAY FOR $4,000.00
Product Type:	Equity - OTC
Alleged Damages:	$6,311.00

Customer Complaint Information

Date Complaint Received:	12/05/2000
Complaint Pending?	No
Status:	Settled
Status Date:	08/20/2001
Settlement Amount:	$4,900.00
Individual Contribution Amount:	$900.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD-DR ARBITRATION NUMBER 01-03121
Date Notice/Process Served:	08/20/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/20/2001

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	PRINCIPAL FINANCIAL SECURITIES,INC.
Termination Type:	Discharged
Termination Date:	04/18/1997
Allegations:	NA MISREPRESENTATION OF COMMISSION TO REACH BONUS.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	VARIABLE ANNUITIES, BONDS, EQUITY OTC
Broker Statement	NOT PROVIDED COMMISSION BUSINESS WAS DONE IN MY NUMBER WITH CLIENTS THAT WERE NOT MINE. THE BROKER INVOLVED WAS A NEWLY CREATED PARTNER THAT WAS PREDISCUSSED WITH MANAGEMENT. HOWEVER, THE PROPER CHANGE OF CREATING A JOINT NUMBER WAS NOT YET ESTABLISHED. ALMOST HALF OF THE COMMISSION IN QUESTION WAS AN ANNUITY PRODUCT IN WHICH THE OTHER PARTNER WAS NOT LICENSED, SO I MADE THE PRESENTATION, RECEIVED THE COMMISSION. IT WAS A LOAING OF COMMISSION THAT WAS SWUNG IN MY FAVOR.

End of Report

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