IAPD Report

VADIM MOSTOVOY

CRD# 2147364

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When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

VADIM MOSTOVOY (CRD# 2147364)

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 **01/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EMPIRE FINANCIAL MANAGEMENT COMPANY, LLC	CRD# 146097	06/23/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	EMPIRE ASSET MANAGEMENT COMPANY	143007	NEW YORK, NY	01/08/2021 - 09/05/2025
B	EMPIRE ASSET MANAGEMENT COMPANY	143007	NEW YORK, NY	06/25/2016 - 12/31/2020
B	BISHOP, ROSEN & CO., INC.	1248	NEW YORK, NY	07/11/2002 - 06/27/2016

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

Employment 1 of 1

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	06/23/2021

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 0 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	02/28/2002
B	General Securities Representative Examination (S7)	Series 7	07/23/1991

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/12/1991

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	01/08/2021 - 09/05/2025	EMPIRE ASSET MANAGEMENT COMPANY	CRD# 143007	NEW YORK, NY
B	06/25/2016 - 12/31/2020	EMPIRE ASSET MANAGEMENT COMPANY	CRD# 143007	NEW YORK, NY
B	07/11/2002 - 06/27/2016	BISHOP, ROSEN & CO., INC.	CRD# 1248	NEW YORK, NY
B	02/08/2002 - 06/19/2002	HEARTLAND SECURITIES CORP.	CRD# 43201	EDISON, NJ
B	09/10/1998 - 02/05/2002	VERTICAL CAPITAL PARTNERS, INC.	CRD# 35909	NEW YORK, NY
B	08/28/2001 - 09/06/2001	HEARTLAND SECURITIES CORP.	CRD# 43201	EDISON, NJ
B	06/22/2001 - 08/21/2001	ALEXANDER, WESCOTT, & CO., INC.	CRD# 35935	UTICA, NY
B	03/04/1998 - 08/25/1998	MERCER, BOKERT, BUCKMAN & REID, INC.	CRD# 23407	LITTLE SILVER, NJ
B	07/22/1997 - 12/16/1997	HORNBLOWER & WEEKS, INC.	CRD# 4683	NEW YORK, NY
B	03/10/1994 - 07/26/1995	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	06/29/1992 - 03/09/1994	TAMARON INVESTMENTS, INC.	CRD# 14929	ENGLEWOOD, CO
B	07/26/1991 - 06/25/1992	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	

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
02/2017 - Present	EMPIRE FINANCIAL MANAGMENT COMPANY, LLC	INVESTMENT ADVISORY REPRESENTATIVE	Y	NEW YORK, NY, United States
06/2016 - 11/2025	EMPIRE ASSET MANAGEMENT COMPANY	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2002 - 06/2016	BISHOP ROSEN & CO., INC.	REGISTERED REP.	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.

LionHunter Capital Management is the pass through company for Mr. Mostovoy's expenses as a 1099 employee of Empire Asset Management Co. (EAMC) and maintains a trading account through EAMC. Effective February 3, 2021 Lionhunter became an SEC RIA, but has yet to commence operations. Mr Mostovoy is currently the CEO of Lionhunter and is not currently receiving any remuneration from the advisor.

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	1

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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/19/1996
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/19/1996
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	*******NASD REGISTRATION SUSPENDED ON 09/19/96***************

**********FOR FAILING TO PAY AN ARBITRATION AWARD************
***********IN ARBITRATION CASE #96-00670*********************

************NASD SUSPENSION LIFTED ON 6/10/97************
**************DUE TO PAYMENT OF ARBITRATION AWARD********
*****************IN ARBITRATION CASE # 96-00670**********

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/19/1996
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	NON PAYMENT OF AN ARBITRATION, AWARDED FOR $4,200.
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/19/1996
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	I WAS NEVER NOTIFIED OF ARBITRATION FILLED BY RICHARD YEHL FOR $8,256.65. I NEVER RECEIVED COMPLAINT THEREFORE I COULDN'T DEFEND MYSELF AND THE CLIENT WAS AWARDED $4200. BECAUSE THE COMPLAINT WAS NOT PAID I WAS SUSPENDED DUE TO NON-PAYMENT. I HAVE SINCE SETTLED THE COMPLAINT AND REINSTATED MY MEMBERSHIP WITH THE NASD.
Broker Statement	I HAVE ATTACHED A SHEET OF PAPER, WHICH IS AN ARTICLE FROM THE WALL STREET JOURNAL DATED 5-12-1997, WHICH MAY EXPLAIN THE REASON WHY I NEVER RECEIVED NOTICE OF ARBITRATION OR THE COMPLAINT.

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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	J. W. GANT & ASSOCIATES, INC.
Allegations:	MISREPRESENTATION; SUITABILITY; BRCH OF FIDUCIARY DT; OTHER
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Alleged Damages:	$8,256.65

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #96-00670
Date Notice/Process Served:	02/20/1996
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	07/02/1996
Disposition Detail:	RESPONDENT VADIM MOSTOVOY IS LIABLE AND SHALL PAY CLAIMANTS $4,200.00 IN ACTUAL DAMAGES, PLUS INTEREST RATE OF 3% PER ANNUM FROM NOVEMBER 1, 1995 TO DATE OF PAYMENT OF THE AWARD. CLAIMANT'S REQUEST FOR PUNITIVE DAMAGES HAS BEEN DENIED.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J. W. GANT & ASSOCIATES, INC.
Allegations:	MISREPRESENTATION, SUITABILITY, BREACH OF FIDUCIARY DUTIES. AMOUNT OF COMPLAINT WAS $8,256.65
Product Type:	
Alleged Damages:	$8,200.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/02/1996

Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOC. OF SECURITIES DEALERS; 96-00670
Date Notice/Process Served:	02/20/1996
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/02/1996
Monetary Compensation Amount:	$4,200.00
Individual Contribution Amount:	$4,200.00
Broker Statement	$4,200 WAS AWARDED. I WAS SUSPENDED FOR NON-PAYMENT BECAUSE I NEVER RECEIVED THE COMPLAINT AS WELL AS NOT HAVING A CHANCE TO DEFEND MYSELF, I HAD BEEN SUSPENDED FROM NASD, DUE TO NON-PAYMENT. I AM INCLUDING AN ARTICLE FROM THE WALL STREET JOURNAL ON 5-12-97, WHICH I HOPE WILL HELP MAKE YOU UNDERSTAND THAT MY INFO FROM MY EX-EMPLOYER OPPENHEIMER & CO, INC WAS NEVER FORWARDED TO THE NASD SO I HAD NO KNOWLEDGE OF THIS COMPLAINT BEFORE IT WAS TO LATE. PLEASE SEE ATTACHED DOCUMENTATION PERTAINING TO THIS MATTER.

End of Report

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