IAPD Report

LAWRENCE THOMAS TULENKO

CRD# 2254239

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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

LAWRENCE THOMAS TULENKO (CRD# 2254239)

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 **05/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	01/20/2021
IA	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	01/21/2021

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
IA	AEGIS CAPITAL CORP.	15007	HOLMDEL, NJ	08/03/2015 - 01/21/2021
B	AEGIS CAPITAL CORP.	15007	HOLMDEL, NJ	03/23/2010 - 01/21/2021
B	GUNNALLEN FINANCIAL, INC	17609	NEW YORK, NY	11/24/2008 - 03/30/2010

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

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	01/20/2021
B	FINRA	General Securities Sales Supervisor	Approved	01/20/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	01/20/2021
B	Nasdaq Stock Market	General Securities Representative	Approved	01/20/2021
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/20/2021
B	Arizona	Agent	Approved	01/20/2021
B	Arkansas	Agent	Approved	12/08/2025
B	California	Agent	Approved	01/20/2021
B	Colorado	Agent	Approved	01/20/2021
B	Connecticut	Agent	Approved	02/02/2021
B	Delaware	Agent	Approved	03/10/2026
B	District of Columbia	Agent	Approved	01/20/2021
B	Florida	Agent	Approved	02/01/2021

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	02/01/2021
B	Idaho	Agent	Approved	03/13/2023
B	Illinois	Agent	Approved	03/25/2021
B	Louisiana	Agent	Approved	01/20/2021
B	Maine	Agent	Approved	01/25/2021
B	Maryland	Agent	Approved	01/20/2021
B	Massachusetts	Agent	Approved	05/11/2021
B	Minnesota	Agent	Approved	03/11/2021
B	New Jersey	Agent	Approved	02/02/2021
IA	New Jersey	Investment Adviser Representative	Approved	02/05/2021
B	New Mexico	Agent	Approved	03/13/2023
B	New York	Agent	Approved	01/20/2021
B	North Carolina	Agent	Approved	02/08/2021
B	Oregon	Agent	Approved	01/20/2021
B	Pennsylvania	Agent	Approved	01/20/2021
B	Rhode Island	Agent	Approved	03/19/2026
B	South Carolina	Agent	Approved	02/19/2021
B	Tennessee	Agent	Approved	01/20/2021
B	Texas	Agent	Approved	01/20/2021

Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	01/21/2021
B	Utah	Agent	Approved	05/21/2026
B	Vermont	Agent	Approved	03/13/2023
B	Virginia	Agent	Approved	01/20/2021
B	Washington	Agent	Approved	02/02/2021
B	West Virginia	Agent	Approved	01/20/2021
B	Wisconsin	Agent	Approved	03/13/2023

Branch Office Locations

A.G.P / ALLIANCE GLOBAL PARTNERS
2137 Route 35
Suite 345
Holmdel, NJ 07733

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, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/27/2001
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/25/2001

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	01/12/1993
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/13/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/31/2015
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/05/2000
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/28/1992

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
IA	08/03/2015 - 01/21/2021	AEGIS CAPITAL CORP.	CRD# 15007	HOLMDEL, NJ
B	03/23/2010 - 01/21/2021	AEGIS CAPITAL CORP.	CRD# 15007	HOLMDEL, NJ
B	11/24/2008 - 03/30/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	NEW YORK, NY
B	10/15/1992 - 11/03/2008	MCLAUGHLIN, PIVEN, VOGEL SECURITIES, INC.	CRD# 7404	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
01/2021 - Present	A.G.P. / Alliance Global Partners	Registered Representative, Investment Adviser Representative	Y	Holmdel, NJ, United States
03/2010 - 01/2021	AEGIS CAPITAL CORP.	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.

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

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:	MCLAUGHLIN, PIVEN, VOGEL SECURITIES INC.
Allegations:	NEGLIGENCE OVER LOSSES IN EQUITY MARKET. CLIENT INVESTED IN VARIOUS MUTUAL FUNDS,UNIT INVESTMENT TRUSTS, FIXED INCOME PRODUCTS, AND WROTE "COVERED-CALLS".CLIENT INVESTED A GREAT PORTION OF THESE FUNDS IN 1999.
Product Type:	Mutual Fund(s)
Other Product Type(s):	UNIT INVESTMENT TRUSTS, FIXED INCOME PRODUCTS (BONDS), AND PURCHASED VARIOUS EXCHANGE TRADED FUNDS AND THEN SOLD "CALLS" AGAINST THE LONG POSITION.
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	04/11/2005
Complaint Pending?	No
Status:	Settled
Status Date:	06/27/2005
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00
Broker Statement	CLIENT LOSSES ARE DUE TO THE MARKET CORRECTION OF 2000 AND THE

	TERROR ATTACKS OF 2001. CLIENT OPENED THREE ACCOUNTS AT FIRM IN 1999, AND INVESTED MOST OF THEIR MONIES JUST PRIOR TO THE HEIGHT OF THE MARKET. FIRM DECIDED TO SETTLE WITH CLIENT, WITHOUT APPROVAL OR ANY CONTRIBUTION FROM LARRY TULENKO.

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	MCLAUGHLIN, PIVEN, VOGEL SECURITIES, INC.
Allegations:	CLAIMANT ASSERTED THE FOLLOWING CAUSES OF ACTION: BREACH OF CONTRACT, VIOLATION OF INDUSTRY RULES, UNSUITABILITY, FAILURE TO DIVERSIFY, NEGLIGENCE, BREACH OF FIDUCIARY DUTY AND CONSTRUCTIVE TRUST, MARGIN VIOLATIONS, AND FRAUD AND MISREPRESENTATIONS.
Product Type:	Mutual Fund(s)
Alleged Damages:	$426,929.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #06-04051
Date Notice/Process Served:	09/06/2006
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	01/29/2008
Disposition Detail:	RESPONDENT TULENKO IS LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF $50,000.00.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MCLAUGHLIN, PIVEN, VOGEL SECURITIES INC.
Allegations:	CLIENT ALLEGES THAT BROKER ENGAGED IN EXCESSIVE TRADING RESULTING IN EXCESSIVE COMMISSIONS AND HUGE LOSSES.
Product Type:	Mutual Fund(s)
Other Product Type(s):	UNIT INVESTMENT TRUSTS COVERED CALL WRITING
Alleged Damages:	$426,929.00

Customer Complaint Information

Date Complaint Received:	01/12/2006
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/12/2006

Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DISPUTE RESOLUTION ARBITRATION NUMBER 06-04051
Date Notice/Process Served:	09/12/2006
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	01/29/2008
Monetary Compensation Amount:	$467,000.00
Individual Contribution Amount:	$50,000.00
Broker Statement	CLIENT HAD TWO ACCOUNTS AT MPV, A RETIREMENT ACCOUNT AND NON-RETIREMENT ACCOUNT. CLIENT PURCHASED IN THE LATTER 1990'S AND EARLY 2000'S MUTUAL FUNDS AND UNIT INVESTMENT TRUSTS, THAT CONCENTRATED IN THE EQUITY MARKET. IT WAS DECIDED WITH THE CLIENTS PERMISSION, TO INVEST IN A 'BUY-WRITE' STRATEGY, STARTING IN 2002. THIS STRATEGY REQUIRES ACTIVE MANAGEMENT, NUMEROUS TRANSACTIONS, AND RESULTED IN POSITIVE RETURNS, NET OF TRANSACTION COSTS. CLIENT IN ADDITION MADE CASH WITHDRAWALS OF OVER SIX FIGURES. CLIENT STATES THAT LOSSES IN HIS ACCOUNTS WERE OVER $500,000.00, BUT THE CLIENT NEGLECTS TO CONSIDER THE MARKET DOWNTURN AND WITHDRAWALS. ALL TRANSACTIONS WERE FULLY DISCUSSED VERBALLY AND AT TIMES IN WRITTEN FORM. CLIENT MOVED ADDITIONAL (CONSIDERABLE)ASSETS INTO FIRM IN LATE 1990'S JUST AS EQUITY MARKETS WERE PEAKING. AFTER TWO BIG DOWN YEARS (2000-2002), CLIENT ALTERED HIS LONG-TERM GROWTH OJECTIVE, AND WITHDREW PROCEEDS FROM ACCOUNT, FORCING SALES DURING MARKET DOWNTURN. CLIENT CALCULATED LOSSES FROM MARKET TOP (JAN 2000), RATHER THAN ENTIRE INVESTMENT HISTORY (JAN 1987), BLAMING FIRM AND REPRESENTATIVE FOR HIS ACTIONS. FOLLOWING HEARINGS MARRED BY ARBITRATOR PREJUDICE AND MISCONDUCT, PANEL ENTERED AWARD OF $50,000 AGAINST BROKER AND $300,000 AGAINST FIRM, DESPITE CLEAR EVIDENCE OF LOSSES OF ONLY HALF SUCH AMOUNT CAUSED BY CLIENT'S ACTIONS AND MARKET DOWNTURN, AS WELL AS CLIENT'S UNDERSTANDING OF HIS INVESTMENTS AND THEIR PERFORMANCE. PANEL ALSO ENTERED AN AWARD OF $117,000 IN ATTORNEY FEES AGAINST FIRM, DESPITE KNOWLEDGE OF NO LEGAL AUTHORITY FOR THE SAME. AN ACTION TO VACATE THE AWARD ON THE GROUNDS OF ARBITRATOR BIAS/PREJUDICE AND MISCONDUCT IS BEING FILED.

End of Report

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