



IAPD Report

MICHAEL FRANCIS JENNETTA SR

CRD# 2255867

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

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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

MICHAEL FRANCIS JENNETTA SR (CRD# 2255867)

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 **11/04/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	09/16/2014
IA	AEGIS CAPITAL CORP.	CRD# 15007	09/16/2014

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **12** 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	IC ADVISORY SERVICES, INC.	140190	EGG HARBOR, NJ	08/27/2007 - 09/17/2014
B	THE INVESTMENT CENTER, INC.	17839	EGG HARBOR, NJ	08/27/2007 - 09/17/2014
IA	CITIGROUP GLOBAL MARKETS INC.	7059	EGG HARBOR TOWNSHIP, NJ	07/18/2005 - 08/09/2007

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

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**
Main Address: 1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105
Firm ID#: 15007

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	09/16/2014
B FINRA	General Securities Representative	Approved	09/16/2014
B NYSE Arca, Inc.	General Securities Principal	Approved	09/16/2014
B NYSE Arca, Inc.	General Securities Representative	Approved	09/16/2014
B Nasdaq Stock Market	General Securities Principal	Approved	09/16/2014
B Nasdaq Stock Market	General Securities Representative	Approved	09/16/2014
B Arizona	Agent	Approved	05/02/2019
IA Arizona	Investment Adviser Representative	Approved	05/02/2019
IA California	Investment Adviser Representative	Approved	07/15/2020
B California	Agent	Approved	07/16/2020
B Delaware	Agent	Approved	08/31/2020
IA Delaware	Investment Adviser Representative	Approved	08/31/2020
B Florida	Agent	Approved	09/16/2014



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	09/22/2014
B Illinois	Agent	Approved	01/08/2024
B Indiana	Agent	Approved	06/11/2021
B Michigan	Agent	Approved	03/06/2023
B New Jersey	Agent	Approved	09/16/2014
IA New Jersey	Investment Adviser Representative	Approved	09/16/2014
B New York	Agent	Approved	10/24/2014
B Oregon	Agent	Approved	11/30/2020
B Pennsylvania	Agent	Approved	09/16/2014
IA Pennsylvania	Investment Adviser Representative	Approved	09/16/2014
B Wisconsin	Agent	Approved	08/11/2022
IA Wisconsin	Investment Adviser Representative	Approved	08/11/2022

Branch Office Locations

AEGIS CAPITAL CORP.
3153 Fire Rd
SUITE 1C
EGG HARBOR TWP, NJ 08234




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
 General Securities Principal Examination (S24)	Series 24	09/08/1995

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/29/1993

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/18/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/27/1995

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
IA	08/27/2007 - 09/17/2014	IC ADVISORY SERVICES, INC.	CRD# 140190	EGG HARBOR, NJ
B	08/27/2007 - 09/17/2014	THE INVESTMENT CENTER, INC.	CRD# 17839	EGG HARBOR, NJ
IA	07/18/2005 - 08/09/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	EGG HARBOR TOWNSH NJ
B	07/01/2005 - 08/09/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	EGG HARBOR TOWNSH NJ
IA	10/21/2002 - 07/05/2005	MORGAN STANLEY	CRD# 7556	MOUNT LAUREL, NJ
B	03/07/2000 - 07/05/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	06/05/1995 - 02/01/2000	THE INVESTMENT CENTER, INC.	CRD# 17839	BEDMINSTER, NJ
B	02/01/1993 - 06/08/1995	L.O. THOMAS & CO.	CRD# 23657	LINWOOD, NJ

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
09/2014 - Present	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	EGG HARBOR TWP, NJ, 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.

- JENNETTA ASSET MANAGEMENT, LLC. 3205 FIRE RD. EGG HARBOR TWP, NJ ; OWNER NON-SECURITIES BUSINESS, BUSINESS ACCOUNT FOR OFFICE EXPENSES; START DATE: 08/27/2007; APPROXIMATELY 8 HOURS PER MONTH DEVOTED TO BUSINESS DURING NON-SECURITIES TRADING HOURS
- USA POLE VAULT BUREAU ASSOCIATION 444 MANSFIELD AVE. HADDONFIELD, NJ 08033; NON PROFIT CLINICS, NON-SECURITIES RELATED; CLINICAN VAULTER COMPETITOR; START DATE 08/08/2014; APPROXIMATELY 15 HOURS PER MONTH DEVOTED TO BUSINESS DURING NON-SECURITIES TRADING HOURS.



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	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/07/2009
Docket/Case Number:	2007010282601
Employing firm when activity occurred which led to the regulatory action:	CITIGROUP SMITH BARNEY
Product Type:	Other: UNSPECIFIED TYPE OF SECURITIES
Allegations:	NASD RULES 2110 AND 2510(B): RESPONDENT MICHAEL F. JENNETTA SR. EXERCISED DISCRETION IN CUSTOMERS' ACCOUNTS WITHOUT OBTAINING WRITTEN AUTHORIZATION FROM THE CUSTOMERS OR THEIR CONSENT.
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:	07/07/2009



Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
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:	ANY CAPACITY
Duration:	10 BUSINESS DAYS
Start Date:	08/03/2009
End Date:	08/14/2009

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	08/04/2009
Was any portion of penalty waived?	No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, JENNETTA CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$2,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS.

THE SUSPENSION IS IN EFFECT FROM AUGUST 3, 2009 THROUGH AUGUST 14, 2009.

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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A



Date Initiated:	07/07/2009
Docket/Case Number:	2007010282601
Employing firm when activity occurred which led to the regulatory action:	CITIGROUP SMITH BARNEY
Product Type:	Other: UNSPECIFIED TYPE OF SECURITIES
Allegations:	NASD RULES 2110 & 2510(B): RESPONDENT MICHAEL JENNETTA SR. EXERCISED DISCRETION IN CUSTOMER'S ACCOUNTS WITHOUT OBTAINING WRITTEN AUTHORIZATION OR CONSENT.
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:	07/07/2009
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	10 BUSINESS DAYS
Start Date:	08/03/2009
End Date:	08/14/2009
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, MR. JENNETTA CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF THE FINDINGS. HE IS FINED \$2,500.00 & SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM 08/03/2009 THROUGH 08/10/2009.



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: Individual

Employing firm when activities occurred which led to the complaint: THE INVESTMENT CENTER, INC.

Allegations: CUSTOMER ALLEGES THAT THEY HAD UNSUITABLE RECOMMENDATIONS, EXCESSEIVE TRADING, BREACHES OF FIDUCIARY DUTY, AND GENERAL MISMANAGEMENT OF THEIR ACCOUNTS.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,600,000.00

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

Docket/Case #: 13-01365

Filing date of arbitration/CFTC reparation or civil litigation: 05/07/2013

Customer Complaint Information

Date Complaint Received: 05/22/2013

Complaint Pending? No

Status: Settled

Status Date: 06/05/2013

Settlement Amount: \$650,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THE INVESTMENT CENTER, INC

Allegations: CUSTOMER'S COMPLAINT IS MARKET LOSS OF \$150,000.00. HE ALLEGES ON 9/18/2008 HE RECORDED OUR CONVERSATION TO SELL FOR CASH



\$350,000.00 AND KEEP BONDS AND SOME STOCK.

Product Type: Other: EQUITIES AND DEBIT

Alleged Damages: \$150,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: #09-00850

Filing date of arbitration/CFTC reparation or civil litigation: 08/13/2009

Customer Complaint Information

Date Complaint Received: 02/23/2009

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 02/23/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: #09-00850

Date Notice/Process Served: 08/13/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/01/2010

Monetary Compensation Amount: \$31,000.00

Individual Contribution Amount: \$0.00

Broker Statement THESE ALLEGATIONS ARE WITHOUT MERIT.ARBITRATION. HEARING IS SCHEDULED FOR JUNE 22-24, 2010. RELEASE OF CLAIMS. ICAS PAYED [CUSTOMER] \$31,000. [CUSTOMER] RELEASED AND FOREVER DISCHARGED ICAS , THE INVESTMENT CENTER INC, JENNETTA ASSET MANAGEMENT, MICHEAL JENNETTA FROM ALL CLAIMS, ACTIONS, DAMAGES, COSTS, LOSES ETC. CASE DISMISSED AGAINST THE INVESTMENT CENTER, JENNETTA ASSET MANAGEMENT, MICHAEL JENNETTA ON 07/01/2010.



Disclosure 3 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.
Allegations: CUSTOMER ALLEGES UNAUTHORIZED TRADES.
Product Type: Equity - OTC
Alleged Damages: \$24,558.37

Customer Complaint Information

Date Complaint Received: 11/25/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 11/01/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #: 03-07438

Date Notice/Process Served: 11/25/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/01/2004

Monetary Compensation Amount: \$9,999.99

Individual Contribution Amount: \$0.00

Broker Statement I DENY ALL ALLEGATIONS.



End of Report

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