



## IAPD Report

# ALAN SIDNEY PAREIRA

CRD# 356287

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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

### ALAN SIDNEY PAREIRA (CRD# 356287)

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 **09/16/2019**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	FLORIDA ATLANTIC SECURITIES CORP.	CRD# 43272	09/02/1997
<b>IA</b>	FLORIDA ATLANTIC SECURITIES CORP.	CRD# 43272	12/02/2011

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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>B</b>	FIRST EQUITY CORPORATION OF FLORIDA	9	MIAMI, FL	12/15/1969 - 09/25/1997

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
Regulatory Event	3
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 6 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **FLORIDA ATLANTIC SECURITIES CORP.**  
Main Address: 9130 SOUTH DADELAND BLVD.  
SUITE 1600  
MIAMI, FL 33156  
Firm ID#: 43272

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	09/02/1997
B FINRA	General Securities Representative	Approved	09/02/1997
B FINRA	Municipal Securities Principal	Approved	09/02/1997
B FINRA	Municipal Securities Representative	Approved	09/18/1997
B FINRA	Investment Banking Representative	Approved	11/12/2010
B FINRA	Operations Professional	Approved	11/01/2011
B FINRA	Investment Banking Principal	Approved	10/01/2018
B Alabama	Agent	Approved	03/18/2020
B Connecticut	Agent	Approved	04/28/2009
B District of Columbia	Agent	Approved	11/26/2013
B Florida	Agent	Approved	09/05/1997
IA Florida	Investment Adviser Representative	Approved	12/02/2011
B Georgia	Agent	Approved	08/18/2006



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York	Agent	Approved	11/06/1997

### Branch Office Locations

**FLORIDA ATLANTIC SECURITIES CORP.**  
9130 SOUTH DADELAND BLVD  
SUITE 1628  
MIAMI, FL 33156





## 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, 6 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/02/2023
	General Securities Principal Examination (S00)	Series 00	12/06/1969

#### General Industry/Product Exams

	Exam	Category	Date
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Registered Representative Examination (S1)	Series 1	01/31/1961

#### State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	04/30/2011
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/18/1986



## 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	12/15/1969 - 09/25/1997	FIRST EQUITY CORPORATION OF FLORIDA	CRD# 9	MIAMI, FL

### 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
08/1997 - Present	FLORIDA ATLANTIC SECURITIES CORP.	DIRECTOR/CEO	Y	MIAMI, FL, 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
Regulatory Event	3
Customer Dispute	2

### 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 3

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 02/20/1975

**Docket/Case Number:** DBCC 7-AWC-22

**Employing firm when activity occurred which led to the regulatory action:** FIRST EQUITY CORP. OF FL.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 02/20/1975

**Sanctions Ordered:** Censure  
Monetary/Fine \$500.00

**Other Sanctions Ordered:**

**Sanction Details:**



**Regulator Statement** 2-20-75 #AWC-22 FILED: 2-20-75 CENSURED, FINED \$500 J&S. 2-20-75  
FINAL FINES & COSTS FC# 6075-J&S-PD \$500.00 - 3-11-75

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD  
**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)  
**Other Sanction(s) Sought:**  
**Date Initiated:** 08/24/1998  
**Docket/Case Number:** DBCC 7-AWC-22  
**Employing firm when activity occurred which led to the regulatory action:** FIRST EQUITY CORP. OF FL.  
**Product Type:** No Product  
**Other Product Type(s):**  
**Allegations:** FIRST EQUITY CORPORATION OF FLORIDA FAILURE TO MAINTAIN \$50,000 : NET CAPITAL (JULY, 1974)  
**Current Status:** Final  
**Resolution:** Acceptance, Waiver & Consent(AWC)  
**Resolution Date:** 02/20/1975  
**Sanctions Ordered:** Censure  
Monetary/Fine \$500.00  
**Other Sanctions Ordered:**  
**Sanction Details:** CENSURE AND \$500.00 FINE.  
**Broker Statement** THE COMPANY FAILED TO MAINTAIN ADEQUATE NET CAPITAL

### Disclosure 2 of 3

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** SECURITIES AND EXCHANGE COMMISSION  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:** 05/06/1976  
**Docket/Case Number:** (8-15025)  
**Employing firm when activity occurred which led to the regulatory action:** FIRST EQUITY CORP. OF FL  
**Product Type:**  
**Other Product Type(s):**  
**Allegations:**



**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 05/06/1976

**Sanctions Ordered:** Censure

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** 05-06-76 ND 76-89 REL 34-12363: PUBLIC ADMINISTRATIVE PROCEEDINGS INSTITUTED CENSURED CONSENTED TO ORDER WITHOUT ADMITTING OR DENYING THE CHARGES. THE EXCHANGE CENSURED FIRST EQUITY CORPORATION OF FLORIDA, A MIAMI BROKER/DEALER AND ALAN PAREIRA, PRESIDENT OF THE FIRM. IT ALSO BARRED IVAN DOBRINSKY, A FORMER SALESMAN WITH THE FIRM FROM ASSOCIATION WITH ANY BROKER, DEALER, INVESTMENT COMPANY OR INVESTMENT ADVISOR. THE SANCTIONS WERE BASED ON THE FINDINGS THAT DOBRINSKY WILLFULLY VIOLATED THE ANTI-FRAUD AND BOOKKEEPING PROVISIONS OF THE SECURITIES LAWS. FIRST EQUITY VIOLATED BOOKKEEPING PROVISIONS AND FIRST EQUITY AND PAREIRA FAILED TO ADEQUATELY SUPERVISE DOBRINSKY.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** SEC

**Sanction(s) Sought:** Censure

**Other Sanction(s) Sought:**

**Date Initiated:** 05/06/1976

**Docket/Case Number:** (8-15025)

**Employing firm when activity occurred which led to the regulatory action:** FIRST EQUITY CORP. OF FL

**Product Type:** Equity - OTC

**Other Product Type(s):**

**Allegations:** FAILURE TO SUPERVISE A SALESMAN (IVAN DOBRINSKY)

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 05/06/1976

**Sanctions Ordered:** Censure

**Other Sanctions Ordered:**

**Sanction Details:** CENSURED BY THE SEC

**Broker Statement** HELD RESPONSIBLE FOR FAILURE TO SUPERVISE A SALESMAN



**Disclosure 3 of 3**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/20/1976

**Docket/Case Number:** DBCC 7 AWC-50

**Employing firm when activity occurred which led to the regulatory action:** FIRST EQUITY CORP. OF FL

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 04/28/1977

**Sanctions Ordered:** Monetary/Fine \$250.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** 07-20-77 #AWC-50 FILED DIST. #7: 07-20-77 FINED \$250 J&S  
07-20-77 FINAL FINES & COSTS 08-29-77 FC# 6868 PAID.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 07/20/1976

**Docket/Case Number:** DBCC 7 AWC-50

**Employing firm when activity occurred which led to the regulatory action:** FIRST EQUITY CORP. OF FL

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** FIRST EQUITY CORPORATION OF FLORIDA FAILED TO COMPLY WITH SEC RULE 17A-3 AND 15C3-3 EXEMPTIVE PROVISION (K) (2) (A).

**Current Status:** Final



<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	04/28/1977
<b>Sanctions Ordered:</b>	Monetary/Fine \$250.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	APRIL 28, 1977
<b>Broker Statement</b>	FINED \$250.00



### 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:** Firm

**Employing firm when activities occurred which led to the complaint:** FIRST EQUITY CORPORATION OF FLORIDA

**Allegations:** BREACH OF FIDUCIARY DUTY

**Product Type:** Direct Investment(s) - DPP & LP Interest(s)

**Alleged Damages:** \$980,000.00

#### Customer Complaint Information

**Date Complaint Received:** 12/09/1991

**Complaint Pending?** No

**Status:** Litigation  
Settled

**Status Date:** 09/17/1999

**Settlement Amount:** \$1,340,000.00

**Individual Contribution Amount:** \$0.00

#### Civil Litigation Information

**Court Details:** 91-54982

**Date Notice/Process Served:** 12/01/1991

**Litigation Pending?** No

**Disposition:** Monetary Judgment to Customer

**Disposition Date:** 09/17/1999

**Monetary Compensation Amount:** \$1,340,000.00

**Individual Contribution Amount:** \$0.00

#### Firm Statement

HE JURY FOUND THAT THE FIRM AND ALAN PAREIRA VIOLATED THE SECURITIES AND INVESTOR PROTECTION ACT, FLORIDA STATUTES CHAPTER 517.211 & 517.301, AND BREACHED FIDUCIARY DUTY. [CUSTOMER] AWARDED \$300,000 COMPENSATORY DAMAGES & \$329,000 INTEREST. CASE IS ON APPEAL.ON 9/17 JUDGEMENTS AFFIRMED ON 9/17/1999 BY COURT OF APPEALS.  
NOT PROVIDED

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**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** FIRST EQUITY CORPORATION OF FLORIDA

**Allegations:** ORIGINALLY, BREACH OF FIDUCIARY DUTY. [CUSTOMER] LATER ADDED FRAUD AND FALSE OR MISLEADING STATEMENTS OF OMISSIONS. \$980,000 PLUS ATTORNEY'S FEES AND COSTS.

**Product Type:** Direct Investment(s) - DPP & LP Interest(s)

**Alleged Damages:** \$980,000.00

### Customer Complaint Information

**Date Complaint Received:** 12/09/1991

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/07/1999

**Settlement Amount:** \$1,340,000.00

**Individual Contribution Amount:** \$0.00

### Civil Litigation Information

**Court Details:** CIRCUIT COURT OF THE 11TH JUDICIAL CIRCUIT - MIAMI, FLORIDA 91-54982-2

**Date Notice/Process Served:** 12/09/1991

**Litigation Pending?** No

**Disposition:** Monetary Judgment to Customer

**Disposition Date:** 09/07/1999

**Monetary Compensation Amount:** \$1,340,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** JURY RULED NO FRAUD BUT AWARDED \$300,000 AND \$339,000 OF PRE- JUDGEMENT INTEREST FOR BREACH OF FIDUCIARY DUTY AND FALSE OR MISLEADING STATEMENTS OR OMISSIONS. CO-DEFENDANT FIRST EQUITY CORPORATION OF FLORIDA LED THE DEFENSE AND ULTIMATELY SETTLED THE JUDGMENTS AND FURTHER CLAIMS BY [CUSTOMER].

### Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** FIRST EQUITY CORP. OF FL

**Allegations:** UNSUITABLE INVESTMENT WITH AN APPROXIMATE LOSS OF \$30,000.

**Product Type:** Equity - OTC

**Alleged Damages:** \$30,000.00



**Customer Complaint Information**

**Date Complaint Received:** 06/04/1976

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 12/01/1976

**Settlement Amount:**

**Individual Contribution Amount:**

**Civil Litigation Information**

**Court Details:** US DISTRICT; SOUTHERN DIST OF FL; 76-956-CIV-PF

**Date Notice/Process Served:** 06/04/1976

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/01/1976

**Monetary Compensation Amount:** \$20,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** PAYMENT OF LEGAL FEES & \$20,000 TO [CUSTOMER]  
NOT PROVIDED

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** FIRST EQUITY CORP. OF FL

**Allegations:** UNSUITABLE INVESTMENTS AND LOSS OF APPROXIMATELY \$30,000.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$30,000.00

**Customer Complaint Information**

**Date Complaint Received:** 06/04/1976

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/01/1976

**Settlement Amount:** \$20,000.00

**Individual Contribution Amount:** \$20,000.00

**Civil Litigation Information**

**Court Details:** US DISTRICT; SOUTHERN DIST OF FL; 76-956-CIV-PF

**Date Notice/Process Served:** 06/04/1976



<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	12/01/1976
<b>Monetary Compensation Amount:</b>	\$20,000.00
<b>Individual Contribution Amount:</b>	\$20,000.00
<b>Broker Statement</b>	PAYMENT OF LEGAL FEES AND \$20,000 TO [CUSTOMER].



## End of Report

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