



IAPD Report

MICHELLE PERRES

CRD# 4350152

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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

MICHELLE PERRES (CRD# 4350152)

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 **11/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	09/02/2014
IA	AEGIS CAPITAL CORP.	CRD# 15007	02/02/2017

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **23** 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	GLOBAL ARENA CAPITAL CORP	16871	MELVILLE, NY	10/04/2012 - 09/02/2014
B	B.B. GRAHAM & COMPANY, INC.	41533	MELVILLE, NY	05/31/2012 - 10/08/2012
B	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	130390	MELVILLE, NY	01/11/2011 - 05/31/2012

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	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 **23** 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 Representative	Approved	09/02/2014
B	FINRA	Municipal Securities Principal	Approved	09/02/2014
B	FINRA	Municipal Securities Representative	Approved	09/02/2014
B	FINRA	General Securities Principal	Approved	12/19/2017
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/02/2014
B	Nasdaq Stock Market	General Securities Representative	Approved	09/02/2014
B	Arizona	Agent	Approved	09/02/2014
B	California	Agent	Approved	09/02/2014
IA	California	Investment Adviser Representative	Approved	02/02/2017
B	Colorado	Agent	Approved	10/15/2014
B	Connecticut	Agent	Approved	09/04/2014
B	Florida	Agent	Approved	09/02/2014
IA	Florida	Investment Adviser Representative	Approved	06/30/2021



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	08/11/2025
B Illinois	Agent	Approved	08/19/2016
B Indiana	Agent	Approved	06/21/2019
B Louisiana	Agent	Approved	09/02/2014
B Massachusetts	Agent	Approved	06/18/2015
B Minnesota	Agent	Approved	09/02/2014
B New Jersey	Agent	Approved	09/02/2014
B New York	Agent	Approved	09/02/2014
IA New York	Investment Adviser Representative	Approved	03/21/2022
B North Carolina	Agent	Approved	02/02/2023
B North Dakota	Agent	Approved	09/02/2014
B Ohio	Agent	Approved	09/02/2014
B Pennsylvania	Agent	Approved	09/02/2014
B South Carolina	Agent	Approved	09/02/2014
B Tennessee	Agent	Approved	01/05/2021
B Texas	Agent	Approved	09/02/2014
IA Texas	Investment Adviser Representative	Restricted Approval	06/29/2021
B Virginia	Agent	Approved	12/21/2022



Qualifications

Regulator	Registration	Status	Date
B West Virginia	Agent	Approved	12/20/2022
B Wisconsin	Agent	Approved	06/03/2021

Branch Office Locations

AEGIS CAPITAL CORP.
1305 WALT WHITMAN RD
SUITE 120
MELVILLE, NY 11747





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 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/19/2017
 Municipal Securities Principal Examination (S53)	Series 53	08/12/2010

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/19/2001

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	10/14/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/20/2001

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	10/04/2012 - 09/02/2014	GLOBAL ARENA CAPITAL CORP	CRD# 16871	MELVILLE, NY
B	05/31/2012 - 10/08/2012	B.B. GRAHAM & COMPANY, INC.	CRD# 41533	MELVILLE, NY
B	01/11/2011 - 05/31/2012	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	CRD# 130390	MELVILLE, NY
B	05/06/2009 - 01/12/2011	GLOBAL ARENA CAPITAL CORP	CRD# 16871	NEW YORK, NY
IA	05/15/2007 - 06/01/2009	CLARK DODGE & CO. INC.	CRD# 23288	GARDEN CITY, NY
B	05/15/2007 - 06/01/2009	CLARK DODGE & CO., INC.	CRD# 23288	GARDEN CITY, NY
B	01/12/2006 - 05/11/2007	WORLD EQUITY GROUP, INC.	CRD# 29087	GARDEN CITY, NY
B	12/16/2004 - 01/06/2006	ANDREW GARRETT INC.	CRD# 29931	NEW YORK, NY
B	06/04/2004 - 08/11/2004	LH ROSS & COMPANY, INC.	CRD# 37920	BOCA RATON, FL
B	02/13/2004 - 06/24/2004	S.W. BACH & COMPANY	CRD# 43522	PORT WASHINGTON, N
B	02/04/2004 - 02/13/2004	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	02/20/2001 - 01/30/2004	CONTINENTAL BROKER-DEALER CORP.	CRD# 14048	CARLE PLACE, 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
09/2014 - Present	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	MELVILLE, NY, United States



Registration & Employment History



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	3

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:	AEGIS CAPITAL CORP.
Allegations:	Time frame: 2018 - 2020. Claimant alleges unsuitable investments, breach of contract.
Product Type:	Other: Structured Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged damages are estimated at \$100,000 to \$500,000.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA; Hartford, CT
Docket/Case #:	23-00176
Date Notice/Process Served:	01/23/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/11/2024
Monetary Compensation Amount:	\$150,000.00



Individual Contribution Amount: \$0.00

Broker Statement Claimant was never my client. Claimant was the Executor of the Estate of a client who passed away in Nov. 2019. When Claimant became the Executor of the Estate account in early April 2020, Claimant promptly transferred out the Estate account to another brokerage. Claimant has managed the account ever since April 2020. All allegations are baseless. I have never had any dealings with the Claimant and deny any and all allegations against me and my company. The dispute was settled to avoid the cost of further litigation.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AEGIS CAPITAL CORP.

Allegations: Time Frame: March 2018- present. Claimant alleges unsuitable investment.

Product Type: Other: Structured Product

Alleged Damages: \$50,000.00

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

Docket/Case #: 21-00855

Filing date of arbitration/CFTC reparation or civil litigation: 03/31/2021

Customer Complaint Information

Date Complaint Received: 04/01/2021

Complaint Pending? No

Status: Withdrawn

Status Date: 04/08/2021

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LIBERTY PARTNERS FINANCIAL SERVICES, LLC

Allegations: UNAUTHORIZED SALE OF 1 SECURITY TO PURCHASE ANOTHER.



Product Type:	Equity-OTC
Alleged Damages:	\$140,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT WANTS SHARES BACK THAT THEY SAY WERE SOLD WITHOUT AUTHORIZATION. APPROXIMATE LOSS TO FULFILL THEIR REQUEST WOULD BE APPROX. \$140,000.00
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:	QUESTIONS # 7-11 DO NOT APPLY. PLEASE REFER TO # 12-16
Docket/Case #:	QUESTIONS # 7-11 DO NOT APPLY. PLEASE REFER TO # 12-16
Filing date of arbitration/CFTC reparation or civil litigation:	01/28/2012

Customer Complaint Information

Date Complaint Received:	02/15/2012
Complaint Pending?	No
Status:	Settled
Status Date:	03/06/2012
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$3,996.20

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-00375
Date Notice/Process Served:	01/28/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/06/2012
Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	\$3,996.20

Broker Statement	I DENY ANY UNAUTHORIZED TRADES. THE CFO OF LIBERTY PARTNERS OFFERED THE SETTLEMENT AS A BUSINESS DECISION IN ORDER TO MITIGATE THE COSTS OF ARBITRATION. [CUSTOMERS], A MANHATTAN "ANTIQUE" DEALER, WERE CLIENTS FOR YEARS. 08/18/11, AFTER SEVERAL CALLS ON EASTMAN KODAK (EK) IN PRIOR WEEKS, [THIRD PARTY] SAID BUY EK. HE SAID HE HAD TAKEN A LOT OF MONEY OUT OF A BUILDING HE WAS BUILDING & COULDN'T SEND IN ANY SO TO CHECK HIS
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WIFE'S ACCT FOR PROFITS IN "[THIRD PARTY'S] HOLDINGS." IN HIS WIFE'S ACCT SIRIUS (SIRI) BOUGHT IN 12/2010 WAS PROFITABLE ON 08/18/11. [THIRD PARTY] SAID SELL SIRI & BUY EK. I SAID FIRST I MUST SPEAK WITH [CUSTOMER]. I CALLED & SHE SAID: "DO THE TRADES HE WANTS: SELL SIRI & BUY EK." DUE TO THE SIZE OF THE TRADES, LIBERTY PARTNERS FIRST WANTED AN AUTHORIZATION LETTER, SIGNED & DATED BY MRS. [CUSTOMER] & APPROVED BY CORPORATE. I CALLED [CUSTOMER] & LEFT A VOICEMAIL EXPLAINING WHAT LIBERTY WANTED. I CALLED [THIRD PARTY] & EXPLAINED. HE WAS VERY ANGRY ABOUT THE DELAY. HE CALLED A COUPLE MORE TIMES. [CUSTOMER] STILL HADN'T CALLED ME SO I STILL COULDN'T RUN THE TRADES. I CALLED [CUSTOMER] AGAIN & THEN THE STORE. THEIR DAUGHTER CINDY ANSWERED & SAID HER MOM WAS COMING TO THE STORE. THE AUTHORIZATION LETTER WAS FAXED THERE. IT CAME BACK SIGNED & DATED BY MRS [CUSTOMER], FAXED TO CORPORATE, APPROVED, & THE TRADES DONE IN HER ACCT. I CALLED [CUSTOMER] TO CONFIRM THE TRADES. SHE SAID SHE WAS "REALLY HAPPY THAT THERE WAS SUCH A GOOD PROFIT," & THANKED ME. I TOLD [THIRD PARTY] ABOUT THE TRADES. THE SIGNED FAX SAYS THE TRADES WERE AUTHORIZED & UNSOLICITED. I SPOKE REGULARLY WITH [CUSTOMER] & [THIRD PARTY] & TOLD THEM WHEN EK STARTED TO GO DOWN. SEPT. 2011, [CUSTOMER] INVITED ME TO A CHARITY BENEFIT OF HER ART. I WENT & SAW [CUSTOMER] & FAMILY. ALL AUTUMN I SPOKE WITH [CUSTOMER] ABOUT THE DECLINE OF EK & KEPT NOTES. HER RESPONSES VARIED. SOMETIMES SHE SAID "IT'S [THIRD PARTY'S] STOCK, SHE COULDN'T MAKE DECISIONS FOR HIM," OR SHE "TRIED TO TALK TO [THIRD PARTY] BUT HE DIDN'T WANT TO TALK ABOUT IT," OR "[THIRD PARTY] GOT VERY ANGRY WHEN SHE TRIED TO TALK ABOUT IT." OTHER TIMES SHE SAID "LEAVE IT ALONE, I THINK THE STOCK PRICE WILL RECOVER." ALWAYS [CUSTOMER] MADE IT CLEAR SHE WANTED TO KEEP EK. I TRIED TO PERSUADE HER TO SELL THE EK. I TOLD [3RD PTY] TO ADVISE [CUST] TO SELL EK. HE YELLED NOT TO BOTHER HIM ABOUT IT. HE REPEATED HIS NEED TO PAY BACK THE MONEY HE OWED BY THE END OF THE YEAR OR HE WOULD BE IN "BIG TROUBLE." HE SAID IF THAT HAPPENED, THEN I "WOULD BE IN BIG TROUBLE." 11/28/2011, [3RD PTY] CALLED MY OFFICE SCREAMING & CURSING HOW [CUSTOMER] NEVER AUTHORIZED THE SIRI SALE OR EK BUY. A TOTAL LIE. I CALLED [CUSTOMER]. SHE SAID DON'T WORRY, THAT OF COURSE SHE KNEW ABOUT THE TRADES. THE NEXT FEW DAYS, [3RD PTY] KEPT CALLING, THREATENING TO RUIN MY BUSINESS. [CUST] AGAIN SAID NOT TO WORRY, THAT I HAD "NOT DONE ANYTHING WRONG." 01/28/12, I GOT A "STATEMENT OF CLAIM" FROM MRS. [CUSTOMER] FOR AN UNAUTHORIZED SALE OF SIRI & UNAUTHORIZED BUY OF EK. I CALLED [CUST] WHO SAID SHE "HAD TO DO WHAT SHE HAD TO DO TO PROTECT HERSELF BECAUSE SHE WAS AFRAID OF [3RD PTY]." SHE TOLD ME TO "DO WHATEVER I NEEDED TO DO FOR MYSELF." THE FAX STATES BOTH TRADES AUTHORIZED & UNSOLICITED. THE [CUST] RECEIVED CONFIRMATIONS & MONTHLY STATEMENTS. THEY NEVER QUESTIONED THE TRADES. "GOOGLE" [THIRD PARTY]. HE SPENT 40 MONTHS IN PRISON FOR CONSPIRACY & MAIL FRAUD. HE CLAIMED PAINTINGS STOLEN WHEN HE HAD A CLERK HIDE THEM. HE CLAIMED A WATER LEAK DAMAGED A PAINTING & BROKE VASES & LAMPS WHEN THEY WERE ALL ALREADY BROKEN. THE COURT FOUND HE INTENTIONALLY DAMAGED THE PAINTING & IT WAS A FAKE WINSLOW HOMER. HE SAID FAKES WERE ORIGINALS. THE PHONY INSURANCE CLAIMS EQUALED \$1.2 MILLION, THE SAME AMOUNT HE SPENT MAKING A MOVIE NO ONE WOULD PRODUCE. SEE ATTACHED LINK: [HTTP://LAW.JUSTIA.COM/CASES/FEDERAL/APPELLATE-COURTS/F3/41/811/564137/](http://LAW.JUSTIA.COM/CASES/FEDERAL/APPELLATE-COURTS/F3/41/811/564137/) I NEVER DID UNAUTHORIZED TRADES. IF I HAD KNOWN ABOUT [THIRD PARTY] CRIMINAL PAST, I WOULD NOT HAVE DONE BUSINESS WITH HIM OR [CUST]



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End of Report

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