

BrokerCheck Report

ANTHONY MASTROIANNI JR

CRD# 2151249

Report #69843-92261, data current as of Tuesday, August 30, 2016.

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About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

ANTHONY MASTROIANNI JR

CRD# 2151249

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

MEYERS ASSOCIATES, L.P.

CRD# 34171
NEW YORK, NY
11/2013 - 08/2016

ALEXANDER CAPITAL, L.P.

CRD# 40077
NEW YORK, NY
05/2012 - 11/2013

J.P. TURNER & COMPANY, L.L.C.

CRD# 43177
RED BANK, NJ
04/2009 - 05/2012

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	6
Judgment/Lien	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	02/25/2004

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	05/12/2004

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
11/2013 - 08/2016	MEYERS ASSOCIATES, L.P.	34171	NEW YORK, NY
05/2012 - 11/2013	ALEXANDER CAPITAL, L.P.	40077	NEW YORK, NY
04/2009 - 05/2012	J.P. TURNER & COMPANY, L.L.C.	43177	RED BANK, NJ
05/2008 - 05/2009	NATIONAL SECURITIES CORPORATION	7569	STATEN ISLAND, NY
02/2004 - 05/2008	JOSEPH STEVENS & COMPANY, INC.	35459	OLD BRIDGE, NJ

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
11/2013 - Present	MEYERS ASSOCIATES LP	NEW YORK, NY
05/2012 - 11/2013	ALEXANDER CAPITAL, L.P	NEW YORK, NY
04/2009 - 05/2012	J.P. TURNER & COMPANY, LLC	STATEN ISLAND, NY
04/2008 - 04/2009	NATIONAL SECURITIES CORPROATION	OLD BRIDGE, NJ
01/2004 - 04/2008	JOSEPH STEVENS & CO.	STATEN ISLAND, NY

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

MASTROIANNI CORPORATION, FORMED AUGUST 7, 2012, A HOLDING COMPANY, MR. MASTROIANNI IS PRESIDENT. DEVOTES 2 HOURS PER MONTH OUTSIDE OF MARKET HOURS. CORPORATION THAT PAY BILLS.



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	2	4	N/A



Judgment/Lien	1	N/A	N/A
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Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Closed-No Action/Withdrawn/Dismissed/Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	UNAUTHORIZED TRADES
Product Type:	Equity-OTC
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO ALLEGED COMPENSATORY DAMAGES BUT BELIEVED TO BE MORE THAN \$5000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/21/2012
Complaint Pending?	No



Status: Denied

Status Date: 08/03/2012

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: J.P TURNER & COMPANY LLC

Allegations: UNATHORIZED TRADES

Product Type: Equity-OTC

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): NO ALLEGED COMPENSATORY DAMAGES BUT BELIEVED TO BE MORE THAN \$5000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/21/2012

Complaint Pending? No

Status: Denied

Status Date: 08/03/2012

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC

Allegations: TRADES EXECUTED DURING THE MONTH OF AUGUST 2011 WERE UNAUTHORIZED.

Product Type: Equity-OTC

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO COMPENSATORY DAMAGE AMOUNT ALLEGED BUT BELIEVED TO BE MORE THAN \$5000.00.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/24/2011

Complaint Pending? No

Status: Denied

Status Date: 10/27/2011

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORPORATION

Allegations: UNAUTHORIZED TRADING

Product Type: Equity-OTC

Alleged Damages: \$5,000.00

Is this an oral complaint? No



Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 01/15/2009

Complaint Pending? No

Status: Denied

Status Date: 01/30/2009

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement RR DENIES ALL ALLEGATIONS AND FIRM DENIES ALL CLAIM. FIRM MADE DETERMINATION IN GOOD FAITH THAT ALLEGED COMPENSATORY DAMAGE AMOUNT IS \$5000 OR MORE. COMPLAINT NO LONGER REPORTABLE AS OF 01/17/2011 AND SHOULD BE ARCHIVED.

Disclosure 4 of 4

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** JOSEPH STEVENS & CO. INC.

Allegations: CLIENT ALLEGES EXCESSIVE COMMISSIONS AND POOR PERFORMANCE.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$287,000.00

Customer Complaint Information

Date Complaint Received: 05/21/2007

Complaint Pending? No

Status: Denied

Status Date: 04/10/2008

Settlement Amount: \$0.00



Individual Contribution Amount: \$0.00

Broker Statement

MR. MASTROIANNI DENIES THE CLIENTS ALLEGATIONS AND IS DEFENDING HIMSELF VIGOROUSLY. MR. MASTROIANNI AND FIRM'S COUNSEL MET CLIENT & HIS COUNSEL TO DISCUSS MERITS, NONE FOUND & MATTER DENIED.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: JP/TURNER/ALEXANDER CAPITAL

Allegations: CONVERSION OF CUSTOMER FUNDS-CHURNING-UNSUITABLE INVESTMENTS-BREACH OF FIDUCIARY DUTIES-BREACH OF CONTRACT

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

Alleged Damages: \$2,000,000.00

Arbitration Information

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

Docket/Case #: 16-01776

Date Notice/Process Served: 07/06/2016

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JP TURNER / ALEXANDER CAPITAL

Allegations: allegations are unsuitable investment, breach of fiduciary duty, breach of contract, churning and outstanding loans from customer

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

Alleged Damages: \$2,000,000.00



Alleged Damages Amount Explanation (if amount not exact): ONLY \$350,000 OF THE ALLEGED DAMAGE AMOUNT IS ALLEGED ACCOUNT LOSSES, THE BALANCE IS ALLEGED PUNITIVE DAMAGES

Arbitration Information

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

FINRA

Docket/Case #:

16-01776

Date Notice/Process Served:

07/06/2016

Arbitration Pending?

Yes

Broker Statement

I deny the allegations of churning, unsuitable investments and any breach of duty owed to the client. I intend to vigorously defend this action and expect that a hearing panel will find no liability for the claimed allegations

Disclosure 2 of 2

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

J.P. TURNER & COMPANY LLC

Allegations:

CHURNING AND MISHANDLING OF ACCOUNT

Product Type:

No Product

Alleged Damages:

\$60,000.00

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 #:

15-01447

Filing date of arbitration/CFTC reparation or civil litigation:

07/15/2015



Customer Complaint Information

Date Complaint Received: 07/15/2015

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Firm Statement

THE FIRM RECEIVED NOTIFICATION OF AN ARBITRATION ON 07/15/2015 AND RECEIVED GUIDANCE THAT A NEW DRP SHOULD BE FILED ON THE REPS U5. ADDITIONAL GUIDANCE SUGGESTS THAT AN ADDITIONAL DRP WAS FILED IN ERROR AND HAS BEEN UPDATED TO REFLECT THAT. THE FIRM RECEIVED NOTIFICATION THAT THEIR MOTION TO COMPEL ARBITRATION FOR THIS CASE WAS GRANTED. AS SUCH THIS MATTER IS STAYED PENDING THE FURTHER OUTCOME OF ANY ARBITRATION PROCEEDING. TO DATE, PLAINTIFF HAS NOT FILED A FINRA ARBITRATION. PER OUR CONVERSATION WITH FINRA ON 10/13/2014 THIS MATTER CAN BE CLOSED OUT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JP TURNER

Allegations: CHURNING AND MISHANDLING OF ACCOUNT

Product Type: Equity-OTC

Alleged Damages: \$60,000.00

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 #: 15-01447

Filing date of arbitration/CFTC reparation or civil litigation: 07/15/2015



Customer Complaint Information

Date Complaint Received: 07/24/2015

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement

MASTROIANNI INTENDS TO VIGOROUSLY DEFEND ANY AND ALL ALLEGATIONS THAT MAY BE FILED AGAINST HIM IN THEIR ENTIRETY.



Judgment/Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	FORD MOTOR CREDIT
Judgment/Lien Amount:	\$1,937.35
Judgment/Lien Type:	Civil
Date Filed with Court:	11/04/2014
Date Individual Learned:	11/04/2014
Type of Court:	SUPERIOR COURT
Name of Court:	SUPERIOR COURT OF NEW JERSEY
Location of Court:	SOMERSET COUNTY
Docket/Case #:	DC-004384-10
Judgment/Lien Outstanding?	Yes

End of Report



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