

BrokerCheck Report

PEYTON NELSON JACKSON

CRD# 1988387

Report #77576-76811, data current as of Monday, May 2, 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.



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.

Thank you for using FINRA BrokerCheck.

PEYTON N. JACKSON

CRD# 1988387

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:

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

Registration History

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

ALEXANDER CAPITAL, L.P.
 CRD# 40077
 NEW YORK, NY
 12/2012 - 04/2015

LEGEND SECURITIES, INC.
 CRD# 44952
 NEW YORK, NY
 03/2011 - 12/2012

DAWSON JAMES SECURITIES, INC.
 CRD# 130645
 BALTIMORE, MD
 01/2010 - 04/2011

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
Investigation	1
Customer Dispute	11

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 1 principal/supervisory exam, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	07/11/1991

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	10/21/1989

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	10/02/1989
Uniform Investment Adviser Law Examination	Series 65	04/08/1998

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
12/2012 - 04/2015	ALEXANDER CAPITAL, L.P.	40077	NEW YORK, NY
03/2011 - 12/2012	LEGEND SECURITIES, INC.	44952	NEW YORK, NY
01/2010 - 04/2011	DAWSON JAMES SECURITIES, INC.	130645	BALTIMORE, MD
05/2002 - 02/2010	MCKIM CAPITAL, INC.	103814	ALEXANDRIA, VA
08/2000 - 12/2001	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
05/1994 - 09/2000	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
06/1992 - 05/1994	TAMARON INVESTMENTS, INC.	14929	ENGLEWOOD, CO
10/1989 - 06/1992	J. W. GANT & ASSOCIATES, INC.	7963	

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
03/2011 - Present	LEGEND SECURITIES, INC	NEW YORK, NY
01/2010 - 03/2011	DAWSON JAMES	BALTIMORE, MD
03/2002 - 12/2009	MCKIM CAPITAL	ALEXANDRIA, VA

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.

No information reported.



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.
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.
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	6	5	N/A



Investigation	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 - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ALEXANDER CAPITAL, LEGEND SECURITIES, DAWSON JAMES SECURITIES, MCKIM CAPITAL
Allegations:	MR. JACKSON MADE CONCENTRATED SPECULATIVE INVESTMENT RECOMMENDATIONS TO CLAIMANTS RESULTING IN A BREACH OF FIDUCIARY DUTY.
Product Type:	Other: NO SPECIFIC PRODUCT WAS MENTIONED
Alleged Damages:	\$1,500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-00240
Date Notice/Process Served:	03/09/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/10/2015



Monetary Compensation Amount: \$3,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LEGEND SECURITIES, INC.; ALEXANDER CAPITAL, LP; DAWSON JAMES SECURITIES, INC; MCKIM CAPITAL, INC.

Allegations: CUSTOMER, THROUGH LEGAL COUNSEL ALLEGE: BREACH OF FIDUCIARY DUTY AND BREACH OF CONTRACT AND NEGLIGENCE.

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

Alleged Damages: \$1,500,000.00

Alleged Damages Amount Explanation (if amount not exact): STATEMENT OF CLAIM STATES: "APPROXIMATELY \$1,500,000.00"

Arbitration Information

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

Docket/Case #: 15-00240

Date Notice/Process Served: 02/19/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/10/2015

Monetary Compensation Amount: \$3,500.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: UNSUITABLE ADVICE.

Product Type: Options

Other Product Type(s): EQUITY - OTC; EQUITY LISTED

Alleged Damages: \$160,000.00

Customer Complaint Information

Date Complaint Received: 01/11/2002

Complaint Pending? No

Status: Settled

Status Date: 02/22/2002

Settlement Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: UNSUITABLE ADVICE

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$160,000.00

Customer Complaint Information

Date Complaint Received: 01/11/2002

Complaint Pending? No

Status: Settled

Status Date: 02/22/2002

Settlement Amount: \$150,000.00



Individual Contribution Amount: \$0.00

Disclosure 3 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: UNSUITABLE ADVICE REGARDING WEB METHODS.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 01/07/2002

Complaint Pending? No

Status: Settled

Status Date: 02/15/2002

Settlement Amount: \$42,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: UNSUITABLE ADVICE REGARDING WEB METHODS.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 01/07/2002



Complaint Pending?	No
Status:	Settled
Status Date:	02/15/2002
Settlement Amount:	\$42,500.00
Individual Contribution Amount:	\$0.00

Disclosure 4 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	CLAIMANT ALLEGED EXCESSIVE, UNAUTHORIZED AND INAPPROPRIATE TRADING; CHURNING; MISMANAGEMENT OF ACCOUNT; OMISSION OF MATERIAL FACTS IN REGARDS TO MARGIN TRADING; BREACH OF CONTRACT; BREACH OF FIDUCIARY DUTY AND FRAUD.
Product Type:	No Product
Alleged Damages:	\$170,000.00

Customer Complaint Information

Date Complaint Received:	01/16/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/16/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD #01-00022
Date Notice/Process Served:	01/16/2001
Arbitration Pending?	No



Disposition: Settled

Disposition Date: 02/04/2002

Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$9,999.00

Firm Statement A.G. EDWARDS & SONS, INC. SETTLED THIS CASE IN THE AMOUNT OF \$90,001.00 AND MR. JACKSON, THROUGH HIS OWN ATTORNEY, SETTLED THIS CASE IN THE AMOUNT OF \$9,999.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: CLAIMANT ALLEGES EXCESSIVE, UNAUTHORIZED AND INAPPROPRIATE TRADING; CHURNING; MISMANAGEMENT OF ACCOUNT; OMISSION OF AMTERIAL FACTS IN REGARDS TO MARGIN TRADING; BREACH OF CONTRACT; BREACH OF FIDUCIARY DUTY AND FRAUD.

Product Type: No Product

Alleged Damages: \$170,000.00

Customer Complaint Information

Date Complaint Received: 01/16/2001

Complaint Pending? No

Status: Settled

Status Date: 01/16/2001

Settlement Amount: \$100,000.00

Individual Contribution Amount: \$9,999.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD # 01-00022

A.G. EDWARDS & SONS, INC. SETTLED THIS CASE IN THE AMOUNT OF \$90,001.00 AND MR. JACKSON, THROUGH HIS OWN ATTORNEY, SETTLED THIS CASE IN THE AMOUNT OF \$9,999 FOR A TOTAL SETTLEMENT OF



	\$100,000.00
Date Notice/Process Served:	01/16/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/04/2002
Monetary Compensation Amount:	\$100,000.00
Individual Contribution Amount:	\$9,999.00

Disclosure 5 of 5

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	TAMARON INVESTMENTS, INC.
Allegations:	UNAUTHORIZED TRADING; CHURNING; SUITABILITY
Product Type:	
Alleged Damages:	\$40,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #94-03154
Date Notice/Process Served:	10/24/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/01/1995
Disposition Detail:	PENDING Not Provided

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: TAMARON INVESTMENTS, INC.

Allegations: UNAUTHORIZED TRADING, CHURNING, SUITABILITY ALLEGED DAMAGES OF \$40,000

Product Type:

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 94-03154

Date Notice/Process Served: 10/24/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/1995

Monetary Compensation Amount: \$13,000.00

Individual Contribution Amount:

Broker Statement SETTLEMENT, \$13,000.00 SETTLED BEFORE IT WENT TO ARBITRATION NOT PROVIDED



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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Alexander Capital LP
Allegations:	2/2014-4/2015 -- allegations are unsuitability, negligent misrepresentation, fraud, breach of fiduciary duty, breach of contract.
Product Type:	Equity-OTC Other: private placements
Alleged Damages:	\$200,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant is seeking compensation no less than 200,000

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-00183
Date Notice/Process Served:	02/12/2016
Arbitration Pending?	Yes

Disclosure 2 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Alexander Capital, L.P., Legend Securities, Inc., and Dawson James Securities, Inc.
Allegations:	Statement of Claim Alleges: Unsuitability, fraud, negligence and/or gross negligence, breach of implied/express contract, breach of implied duty of good faith and fair dealing and industry rules, violation of the Securities Exchange Act of 1934



and Rule 10b-5.

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

Alleged Damages: \$100,000.00

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 #: 15-03493

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/28/2015

Customer Complaint Information

Date Complaint Received: 02/03/2016

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** ALEXANDER CAPITAL, LEGEND SECURITIES, DAWSON JAMES

Allegations: FAILED TO OFFER CLAIMANT SUITABLE INVESTMENT ADVICE.

Product Type: Other: NO SPECIFIC PRODUCT MENTIONED

Alleged Damages: \$100,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** CLAIMANT ALLEGES DAMAGES IN EXCESS OF \$100,000.

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 #: 15-03493

Filing date of arbitration/CFTC reparation or civil litigation: 12/28/2015

Customer Complaint Information

Date Complaint Received: 01/04/2016

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Alexander Capital, L.P., Legend Securities, Inc., and Dawson James Securities, Inc.

Allegations: Statement of Claim alleges: Unsuitability, Churning, Fraudulent Misrepresentations, Negligence and/or Gross Negligence, Breach of Implied/Express Contract, Breach of implied duty of good faith and fair dealings and industry rules, violations of Securities Exchange Act of 1934 and Rule 10b-5.

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

Alleged Damages: \$400,000.00

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 #: 15-03246

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/02/2015

Customer Complaint Information

Date Complaint Received: 01/14/2016

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** ALEXANDER CAPITAL, LEGEND SECURITIES, DAWSON JAMES.

Allegations: FAILED TO OFFER CLAIMANTS SUITABLE INVESTMENT ADVICE

Product Type: Other: NO SPECIFIC PRODUCT MENTIONED

Alleged Damages: \$400,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** ALLEGE DAMAGES IN EXCESS OF \$400,000.

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 #: 15-03246



Filing date of arbitration/CFTC reparation or civil litigation: 12/02/2015

Customer Complaint Information

Date Complaint Received: 12/15/2015

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Alexander Capital, L.P., Legend Securities, Inc., and Dawson James Securities, Inc.

Allegations: Statement of Claim alleges: Unsuitability, Fraudulent Misrepresentations and material omissions regarding the risks of the investments, negligence and/or gross negligence, breach of implied/express contract, breach of implied duty of good faith and fair dealing and industry rules, violation of the Securities Exchange Act of 1934 and Rule 10b-5.

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

Alleged Damages: \$100,000.00

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 #: 15-03262

Filing date of arbitration/CFTC reparation or civil litigation: 12/02/2015

Customer Complaint Information



Date Complaint Received: 01/15/2016

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ALEXANDER CAPITAL, LEGEND SECURITIES, DAWSON JAMES

Allegations: FAILED TO OFFER CLAIMANT SUITABLE INVESTMENT ADVICE.

Product Type: Other: NO SPECIFIC PRODUCT MENTIONED

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT ALLEGES DAMAGES IN EXCESS OF \$100,000

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 #: 15-03262

Filing date of arbitration/CFTC reparation or civil litigation: 12/02/2015

Customer Complaint Information

Date Complaint Received: 12/15/2015

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:



Disclosure 5 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Alexander Capital, L.P., Legend Securities, Inc., and Dawson James Securities, Inc.
Allegations:	Statement of Claim Alleges: Unsuitability, fraud, negligence and/or gross negligence, breach of implied/express contract, breach of implied duty of good faith and fair dealing and industry rules, violation of the Securities Exchange Act of 1034 and Rule 10b-5.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$200,000.00
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 #:	15-03261
Filing date of arbitration/CFTC reparation or civil litigation:	12/02/2015

Customer Complaint Information

Date Complaint Received:	01/13/2016
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: ALEXANDER CAPITAL, LEGEND SECURITIES, DAWSON JAMES

Allegations: FAILED TO OFFER CLAIMANTS SUITABLE INVESTMENT ADVICE

Product Type: Other: NO SPECIFIC PRODUCT MENTIONED

Alleged Damages: \$200,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANTS ALLEGE DAMAGES IN EXCESS OF \$200,000.

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 #: 15-03261

Filing date of arbitration/CFTC reparation or civil litigation: 12/02/2015

Customer Complaint Information

Date Complaint Received: 12/15/2015

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 6 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Legend Securities, Inc. and Alexander Capital, LP

Allegations: Claimant alleges: Unsuitability, Negligent Misrepresentation, Fraud, Breach of Fiduciary Duty, and Breach of Contract.



Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$700,000.00
Alleged Damages Amount Explanation (if amount not exact): Claimants seek compensatory damages in excess of \$700,000.00

Arbitration Information

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

Docket/Case #: 15-02971

Date Notice/Process Served: 11/25/2015

Arbitration Pending? Yes



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source: Regulator

Initiated By: FINRA

Notice Date: 07/17/2015

Details: WELLS NOTICE EXAMINATION #20120320958: FINRA MADE A PRELIMINARY DETERMINATION TO RECOMMEND THAT DISCIPLINARY ACTION BE BROUGHT AGAINST PEYTON NELSON JACKSON ALLEGING POTENTIAL VIOLATIONS OF: NASD RULE 3030 (FOR VIOLATIONS COMMITTED BEFORE DECEMBER 15, 2010), FINRA RULE 3270 (FOR VIOLATIONS COMMITTED ON OR AFTER DECEMBER 15, 2010), AND FINRA RULE 2010 FOR FAILING TO DISCLOSE SEVERAL OUTSIDE BUSINESS ACTIVITIES TO HIS FINRA EMPLOYER FIRMS; NASD RULE 3050 AND FINRA RULE 2010 FOR FAILING TO DISCLOSE THE EXISTENCE OF A SECURITIES BROKERAGE ACCOUNT HELD AND CONTROLLED BY HIM AT ANOTHER FINRA MEMBER FIRM TO HIS FINRA EMPLOYER FIRMS; AND NASD RULE 3050 AND FINRA RULE 2010 FOR FAILING TO DISCLOSE HIS EMPLOYMENT AT A FINRA MEMBER FIRM IN CONNECTION WITH OPENING A SECURITIES BROKERAGE ACCOUNT AT ANOTHER FINRA MEMBER FIRM.

Is Investigation pending? Yes

End of Report



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