

**BrokerCheck Report**

**LAWRENCE JOHN FAWCETT JR**

CRD# 5851474

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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:

- o 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
- o 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 <https://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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

**Thank you for using FINRA BrokerCheck.**

**LAWRENCE J. FAWCETT JR**

CRD# 5851474

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):**

**WESTPARK CAPITAL, INC.**

CRD# 39914  
LOS ANGELES, CA  
06/2015 - 03/2018

**SALOMON WHITNEY FINANCIAL**

CRD# 145012  
FARMINGDALE, NY  
09/2013 - 06/2015

**ROCKWELL GLOBAL CAPITAL LLC**

CRD# 142485  
MELVILLE, NY  
06/2013 - 09/2013

### 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
Regulatory Event	1
Customer Dispute	3
Termination	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	04/06/2012

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	04/27/2012

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/](http://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
06/2015 - 03/2018	WESTPARK CAPITAL, INC.	39914	LOS ANGELES, CA
09/2013 - 06/2015	SALOMON WHITNEY FINANCIAL	145012	FARMINGDALE, NY
06/2013 - 09/2013	ROCKWELL GLOBAL CAPITAL LLC	142485	MELVILLE, NY
04/2013 - 06/2013	JOHN THOMAS FINANCIAL	40982	NEW YORK, NY
08/2012 - 04/2013	ROCKWELL GLOBAL CAPITAL LLC	142485	NEW YORK, NY
04/2012 - 08/2012	EKN FINANCIAL SERVICES INC.	113525	MELVILLE, NY

### 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
06/2015 - Present	WESTPARK CAPITAL	NEW YORK, NY
09/2013 - 06/2015	SALOMON WHITNEY LLC	FARMINGDALE, NY
06/2013 - 09/2013	ROCKWELL GLOBAL CAPITAL, LLC	MELVILLE, NY
04/2013 - 06/2013	JOHN THOMAS FINANCIAL	NEW YORK, NY
08/2012 - 04/2013	ROCKWELL GLOBAL CAPITAL, LLC.	MELVILLE, NY
07/2011 - 08/2012	EKN FINANCIAL SERVICES, INC	MELVILLE, NY
09/2010 - 04/2011	FIRST MIDWEST SECURITIES	MELVILLE, NY
02/2007 - 07/2010	CITYWIDE MOBILE RESPONSE	BRONX, NY
07/2005 - 07/2010	ST JOSEPH'S COLLEGE	BROOKLYN, NY

## Registration and Employment History



### 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.

BULLHAMMER INC. A SUBCHAPTER S CORPORATION FOR TAX PURPOSES ONLY. LESS THEN ONE HOUR PER WEEK.

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## 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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
Regulatory Event	0	1	0





Customer Dispute	1	2	N/A
Termination	N/A	1	N/A



## 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.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 12/18/2017

**Docket/Case Number:** [2015043939101](#)

**Employing firm when activity occurred which led to the regulatory action:** SW Financial

**Product Type:** Mutual Fund

**Allegations:** Without admitting or denying the findings, Fawcett consented to the sanctions and to the entry of findings that he recommended unsuitable mutual fund transactions to a customer. The findings stated that the customer transferred mutual funds he held at another firm to his IRA account at Fawcett's member firm. All of the mutual funds were comprised of Class A shares from the same fund family. Three days later, based on Fawcett's recommendations, the customer sold the mutual funds and used the proceeds totaling approximately \$865,000, to purchase Class A shares of 14 different mutual funds from 12 different fund families. Fawcett's recommendation to switch to the new mutual funds was unsuitable because the new mutual funds' investment objectives were not consistent with the customer's



investment objective of capital preservation, Class A shares, which are generally appropriate for investors with long-term investment horizons, were not consistent with the customer's shorter investment horizon, and by purchasing mutual funds from 12 different mutual fund families, the customer did not receive available breakpoint discounts.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 12/18/2017

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Disgorgement  
Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?** No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

#### **Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All capacities
<b>Duration:</b>	15 business days
<b>Start Date:</b>	01/16/2018
<b>End Date:</b>	02/05/2018

**Monetary Sanction 1 of 2****Monetary Related Sanction:** Disgorgement**Total Amount:** \$22,714.30**Portion Levied against individual:** \$22,714.30**Payment Plan:** plus interest**Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Monetary Sanction 2 of 2****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$2,500.00**Portion Levied against individual:** \$2,500.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 12/18/2017**Docket/Case Number:** [2015043939101](#)



<b>Employing firm when activity occurred which led to the regulatory action:</b>	SW Financial
<b>Product Type:</b>	Mutual Fund
<b>Allegations:</b>	Without admitting or denying the findings, Fawcett consented to the sanctions and to the entry of findings that he recommended unsuitable mutual fund transactions to a customer. The findings stated that the customer transferred mutual funds he held at another firm to his IRA account at Fawcett's member firm. All of the mutual funds were comprised of Class A shares from the same fund family. Three days later, based on Fawcett's recommendations, the customer sold the mutual funds and used the proceeds totaling approximately \$865,000, to purchase Class A shares of 14 different mutual funds from 12 different fund families. Fawcett's recommendation to switch to the new mutual funds was unsuitable because the new mutual funds' investment objectives were not consistent with the customer's investment objective of capital preservation, Class A shares, which are generally appropriate for investors with long-term investment horizons, were not consistent with the customer's shorter investment horizon, and by purchasing mutual funds from 12 different mutual fund families, the customer not receive available breakpoint discounts.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	12/18/2017
<b>Sanctions Ordered:</b>	Disgorgement Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	all capacities
<b>Duration:</b>	15 business days
<b>Start Date:</b>	01/16/2018
<b>End Date:</b>	02/05/2018



### Monetary Sanction 1 of 2

**Monetary Related Sanction:** Disgorgement  
**Total Amount:** \$22,714.30  
**Portion Levied against individual:** \$22,714.30

#### Payment Plan:

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

#### Amount Waived:

### Monetary Sanction 2 of 2

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$2,500.00  
**Portion Levied against individual:** \$2,500.00

#### Payment Plan:

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

#### Amount Waived:

#### Broker Statement

For sake of clarity, all of the transactions in question were pre-authorized by the client. I am consenting to the entry of these findings, without admitting them, only to avoid the cost and uncertainty of litigation.



## Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	Salomon Whitney, LLC
<b>Allegations:</b>	Unauthorized trading, unsuitable investments, and unsuitable investment strategy.
<b>Product Type:</b>	Other: unspecified stocks
<b>Alleged Damages:</b>	\$214,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #15-00570](#)

<b>Date Notice/Process Served:</b>	03/03/2015
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award
<b>Disposition Date:</b>	08/15/2016
<b>Disposition Detail:</b>	The parties entered into an agreement to present to the Panel a Stipulated Award. Upon motion of both parties for an entry of an award, the written stipulation thereto, and after considering the pleadings, the testimony and evidence presented at the hearing, the Panel grants the motion and enters this award granting the following relief: Fawcett is liable for and shall pay to claimant the sum of \$30,000.00.

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<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	SALOMON WHITNEY LLC
<b>Allegations:</b>	UNAUTHORIZED TRADING, UNAUTHORIZED USE OF MARGIN
<b>Product Type:</b>	Equity-OTC Equity Listed (Common & Preferred Stock)





**Alleged Damages:** \$214,000.00

**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:** 11/19/2014

**Complaint Pending?** No

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

**Status Date:** 06/15/2015

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** [15-00570](#)

**Date Notice/Process Served:** 06/15/2015

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 08/15/2016

**Monetary Compensation Amount:** \$30,000.00

**Individual Contribution Amount:** \$30,000.00

### Broker Statement

This matter was settled at a mediation solely to avoid the inherent risks and legal costs associated with FINRA Arbitration. As concerns the merits of the claims, the trading was all authorized and suitable given the customer's significant wealth and repeated desire for "speculative" trading. The customer claimed he was "kept in the dark" about the trading in his account, but discovery revealed he logged into his online account 97 times, and had spoken to me 80 times, all within the approximate two-month lifespan of the account. Unfortunately, there were



significant, albeit legitimate, trading losses. Notwithstanding, given the potential damages, and the unavoidable cost of defending the claim, the decision was made to hedge the risk by settling the matter.



## 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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	ROCKWELL GLOBAL CAPITAL, LLC.
<b>Allegations:</b>	UNAUTHORIZED TRADING
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$7,912.23
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No
<b>Arbitration/Reparation forum or court name and location:</b>	
<b>Docket/Case #:</b>	
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	02/01/2013

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/09/2013
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	01/31/2013
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



### Firm Statement

CLIENT VERBALLY COMPLAINED ABOUT UNAUTHORIZED TRADING. ROCKWELL HAS RECORDS OF PHONE CALLS AND ONLINE REVIEW FROM CUSTOMER. HE COMPLAINT WAS DENIED. CLIENT SENT COMPLAINT TO FINRA VIA WEBSITE ON FEBRUARY 1, 2013. ROCKWELL WAS NOT INFORMED OF THE COMPLAINT UNTIL APRIL 9, 2013.

### Reporting Source:

Broker

### Employing firm when activities occurred which led to the complaint:

ROCKWELL GLOBAL CAPITAL, LLC.

### Allegations:

UNAUTHORIZED TRADING

### Product Type:

Equity-OTC

### Alleged Damages:

\$7,912.23

### 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:

04/09/2013

#### Complaint Pending?

No

#### Status:

Denied

#### Status Date:

01/31/2013

#### Settlement Amount:

#### Individual Contribution Amount:

### Broker Statement

CLIENT VERBALLY COMPLAINED ABOUT UNAUTHORIZED TRADING. ROCKWELL HAS RECORDS OF PHONE CALLS AND ONLINE REVIEW FROM CUSTOMER. HIS COMPLAINT WAS DENIED. CLIENT SENT COMPLAINT TO FINRA VIA WEBSITE ON FEBRUARY 1, 2013. ROCKWELL WAS NOT INFORMED OF THE COMPLAINT UNTIL APRIL 9, 2013



## 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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	SALOMON WHITNEY
<b>Allegations:</b>	UNAUTHORIZED TRADING
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$20,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/09/2015
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	04/07/2017
<b>Settlement Amount:</b>	

### Individual Contribution Amount:

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	17-00781
<b>Date Notice/Process Served:</b>	04/07/2017
<b>Arbitration Pending?</b>	Yes



**Firm Statement** The broker affirms that the customer verbally authorized the trade in question, and the broker further denies all allegations of impropriety.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** Salomon Whitney

**Allegations:** unauthorized trading

**Product Type:** Equity-OTC

**Alleged Damages:** \$20,000.00

**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:** 09/09/2015

**Complaint Pending?** No

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

**Status Date:** 04/07/2017

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** 17-00781

**Date Notice/Process Served:** 04/17/2017

**Arbitration Pending?** Yes

**Broker Statement** The broker affirms that The client authorized the trade in question, just as he had on all previous trades. I have the corresponding phone records to match this.



## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employer Name:</b>	WestPark Capital Inc.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	03/02/2018
<b>Allegations:</b>	Conducted business from a non-disclosed location and made false representations to the firm.
<b>Product Type:</b>	No Product

## End of Report



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