

BrokerCheck Report

JAMES WILLIAM FLOWER

CRD# 2817701

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Events	7

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



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

JAMES W. FLOWER

CRD# 2817701

Currently employed by and registered with the following Firm(s):**SPARTAN CAPITAL SECURITIES, LLC**595 STEWART AVENUE, 8TH FLOOR
GARDEN CITY, NY 11530
CRD# 146251

Registered with this firm since: 06/13/2019

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 registered with:**

- 1 Self-Regulatory Organization
- 18 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****SW FINANCIAL**CRD# 145012
Melville, NY
12/2015 - 06/2019**LIDLAW & COMPANY (UK) LTD.**CRD# 119037
MELVILLE, NY
05/2014 - 12/2015**GLOBAL ARENA CAPITAL CORP**CRD# 16871
MELVILLE, NY
11/2010 - 05/2014**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
Investigation	1
Customer Dispute	4
Financial	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 individual is currently registered with 1 SRO and is licensed in 18 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SPARTAN CAPITAL SECURITIES, LLC**

Main Office Address: **45 BROADWAY
19TH FLOOR
NEW YORK, NY 10006**

Firm CRD#: **146251**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	06/13/2019

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Arizona	Agent	APPROVED	06/13/2019	Rhode Island	Agent	APPROVED	06/13/2019
California	Agent	APPROVED	07/24/2019	South Carolina	Agent	APPROVED	06/13/2019
Georgia	Agent	APPROVED	06/13/2019	Washington	Agent	APPROVED	06/13/2019
Idaho	Agent	APPROVED	06/17/2019	Wisconsin	Agent	APPROVED	06/13/2019
Illinois	Agent	APPROVED	06/13/2019	Wyoming	Agent	APPROVED	06/13/2019
Indiana	Agent	APPROVED	08/07/2019				
Louisiana	Agent	APPROVED	06/13/2019				
Maryland	Agent	APPROVED	06/13/2019				
Minnesota	Agent	APPROVED	06/13/2019				
New Mexico	Agent	APPROVED	06/13/2019				
New York	Agent	APPROVED	07/02/2019				
North Carolina	Agent	APPROVED	07/03/2019				
Oklahoma	Agent	APPROVED	06/14/2019				

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

SPARTAN CAPITAL SECURITIES, LLC
595 STEWART AVENUE, 8TH FLOOR
GARDEN CITY, NY 11530



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	09/05/1997

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	12/20/1996

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
12/2015 - 06/2019	SW FINANCIAL	145012	Melville, NY
05/2014 - 12/2015	LAIDLAW & COMPANY (UK) LTD.	119037	MELVILLE, NY
11/2010 - 05/2014	GLOBAL ARENA CAPITAL CORP	16871	MELVILLE, NY
10/2009 - 11/2010	PRESTIGE FINANCIAL CENTER, INC.	30407	MELVILLE, NY
08/2009 - 11/2009	BROOKSTONE SECURITIES, INC.	13366	GARDEN CITY, NY
04/2008 - 09/2009	PRESTIGE FINANCIAL CENTER, INC.	30407	GARDEN CITY, NY
04/2008 - 05/2008	OBSIDIAN FINANCIAL GROUP, LLC	104255	WOODBURY, NY
04/2006 - 04/2008	WESTROCK ADVISORS, INC.	114338	WOODBURY, NY
08/2004 - 05/2006	J.P. TURNER & COMPANY, L.L.C.	43177	GARDEN CITY, NY
08/2004 - 08/2004	WESTROCK ADVISORS, INC.	114338	NEW YORK, NY
01/2004 - 07/2004	GRANITE ASSOCIATES, INC	46682	DELRAY BEACH, FL
04/2003 - 01/2004	CONTINENTAL BROKER-DEALER CORP.	14048	CARLE PLACE, NY
01/2001 - 05/2003	HARRISON SECURITIES, INC.	14103	PORT WASHINGTON, NY
09/1998 - 12/2000	WHITEHALL WELLINGTON INVESTMENTS, INC.	38022	PORT WASHINGTON, NY
01/1998 - 09/1998	TASIN & COMPANY, INC.	30709	HAUPPAUGE, NY
12/1997 - 01/1998	DUKE & CO., INC.	8035	NEW YORK, NY
09/1997 - 11/1997	GAINES, BERLAND INC.	14623	BETHPAGE, NY

Employment History



Registration and Employment History

Employment History, continued

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
06/2019 - Present	Spartan Capital Securities, LLC	Garden City, NY
11/2015 - 06/2019	Salomon Whitney Financial	Farmingdale, NY
10/2017 - 03/2019	Elite Coin and Bullion	Melville, NY
05/2014 - 11/2015	LIDLAW AND COMPANY (UK) LTD	NEW YORK, NY
11/2010 - 05/2014	GLOBAL ARENA CAPITAL	NEW YORK, NY
10/2009 - 11/2010	PRESTIGE FINANCIAL	NEW YORK, 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.

JAMES FLOWER INC.; OWNER; 2 RAWLINGS DRIVE, MELLVILLE, NY 11747; NON INVESTMENT RELATED; used for tax purposes; STARTED 01-19-2012; 2 HOURS PER MONTH 0 DURING BUSINESS HOURS



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	0	4	N/A
Investigation	1	N/A	N/A
Financial	0	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: 06/12/2017

Docket/Case Number: [2014040644001](#)

Employing firm when activity occurred which led to the regulatory action: Global Arena Capital Corp.

Product Type: Other: exchange-traded note

Allegations: Without admitting or denying the findings, Flower consented to the sanctions and to the entry of findings that he recommended that 13 of his customers invest in a highly volatile exchange-traded note without having a reasonable basis for recommending the transactions. The findings stated that at the time Flower was recommending the exchange-traded note, Flower incorrectly believed that it traded inverse to the S&P 500 index. This erroneous perception led him to recommend that customers purchase and hold the exchange-traded note as a hedge to an anticipated overall market decline. Based on Flower's recommendations, 13 customers suffered losses in excess of \$249,000 after holding their shares for periods ranging from two weeks to over one year. Flower lacked a sufficient



understanding of the mechanics of the exchange-traded note to form a reasonable basis upon which to recommend the purchase of it to his customers.

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:

06/12/2017

Sanctions Ordered:

Suspension
Undertaking

Other: Within 60 days of the date of the Notice of Acceptance of the AWC, Flower will undertake to attend and satisfactorily complete 10 hours of continuing education concerning complex products, which includes exchange-traded notes, by a provider not unacceptable to FINRA. Within 30 days of following completion of such training, Flower will submit written proof that the continuing education program has been satisfactorily completed. In light of Flower's financial status, no monetary sanction is being assessed.

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

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: Three months
Start Date: 07/03/2017
End Date: 10/02/2017

Reporting Source: Broker
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Suspension
Date Initiated: 06/12/2017
Docket/Case Number: [2014040644001](#)
Employing firm when activity occurred which led to the regulatory action: Global Arena Capital Corp.
Product Type: Other: Exchange traded note



Allegations:	Without admitting or denying the findings, Flower consented to the sanctions and to the entry of findings that he recommended that 13 of his customers invest in a highly volatile exchange-traded note without having a reasonable basis for recommending the transactions. The findings stated that at the time Flower was recommending the exchange-traded note, Flower incorrectly believed that it traded inverse to the S&P 500 index. This erroneous perception led him to recommend that customers purchase and hold the exchange-traded note as a hedge to an anticipated overall market decline. Based on Flower's recommendations, 13 customers suffered losses in excess of \$249,000 after holding their shares for periods ranging from two weeks to over one year. Flower lacked a sufficient understanding of the mechanics of the exchange-traded note to form a reasonable basis upon which to recommend the purchase of it to his customers.
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:	06/16/2017
Sanctions Ordered:	Suspension Other: Within 60 days of the date of the Notice of Acceptance of the AWC, Flower will undertake to attend and satisfactorily complete 10 hours of continuing education concerning complex products, which includes exchange-traded notes, by a provider not unacceptable to FINRA. Within 30 days of following completion of such training, Flower will submit written proof that the continuing education program has been satisfactorily completed. In light of Flower's financial status, no monetary sanction is being assessed.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	Three (3) Months
Start Date:	07/03/2017
End Date:	10/02/2017



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: 10/15/2019

Details: FINRA Case #20170527011: On October 15, 2019, FINRA made a preliminary determination to recommend that disciplinary action be brought against James Flower alleging violations of FINRA Rules 2111 and 2010 [Excessive and Unsuitable Recommendations]; Violations of FINRA Rule 2010 [Unauthorized Trading]; and Violations of FINRA Rules 4511 and 2010 [Mismarking Customer Trades].

FINRA Case #20170527011: Supplement proposed alleged violations - On January 15, 2020, FINRA made a further preliminary determination to recommend that disciplinary action be brought against James Flower alleging willful violations of Section 10(b) of the Exchange Act and Securities Exchange Act Rule 10b-5 and violations of FINRA Rules 2020 and 2010.

Is Investigation pending? Yes

Reporting Source: Broker

Initiated By: FINRA

Notice Date: 10/15/2019

Details: FINRA Case #20170527011: On October 15, 2019, FINRA Department of Enforcement made a preliminary determination to recommend a disciplinary proceeding be brought against James Flower alleging violations of FINRA Rules 4511, 2010 and 2010 requiring that customer orders, be properly marked, trade recommendations be suitable and not excessive, and trades be authorized by the customer before execution where discretion was not given to the registered representative. On January 15, 2020 FINRA made preliminary determination to recommend disciplinary action alleging violations of Section 10(b) of the Exchange Act and Securities Exchange Act Rule 10b-5 and Rule 2020.

Is Investigation pending? Yes



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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Laidlaw and Company (UK) Ltd.
Allegations:	The Client alleges churning and unsuitability from May 2014 to July 2015
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$90,000.00
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:	09/22/2015
Complaint Pending?	No
Status:	Settled
Status Date:	11/12/2015
Settlement Amount:	\$45,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	The claim will be defended vigorously.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRESTIGE FINANCIAL CENTER, INC



Allegations: MISREPRESENTED THE CHARACTERISICS AND RISKS ASSOCIATED WITH MULTIPLE PURCHASES OF A ETF, FAILED TO EXECUTE A STOP LOSS ORDER AND MISREPRESENTATION OF THE UTILIZATION OF MARGIN.

Product Type: Other: ETF

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): MISREPRESENTED THE CHARACTERISICS AND RISKS ASSOCIATED WITH MULTIPLE PURCHASES OF AN ETF, FAILED TO EXECUTE A STOP LOSS ORDER AND MISREPRESENTATION OF THE UTILIZATION OF MARGIN.

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: 04/15/2010

Complaint Pending? No

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

Status Date: 12/27/2010

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: [10-05029](#)

Date Notice/Process Served: 12/27/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/17/2011

Monetary Compensation Amount: \$67,500.00



Individual Contribution Amount:

\$67,500.00

Broker Statement

COMPLAINT SETTLED-- WITHOUT ADMITTING OR DENYING ANY WRONG DOING. I CONTRIBUTED WHAT WAS ADVISED, AFTER DOING AN ECONOMIC ANALYSIS OF THE COST FOR AN ARBITRATION HEARING



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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Global Arena Capital Corp., and Laidlaw and Company(UK) Ltd.
Allegations:	Client alleges over-concentration, unsuitability, excessive use of margin and churning from November 2014 to March 2015
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$250,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-02278
Date Notice/Process Served:	09/18/2015
Arbitration Pending?	No
Disposition:	Other: Stayed due to bankruptcy
Disposition Date:	08/01/2016
Broker Statement	The claim will be defended vigorously.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY L.L.C.
Allegations:	CLIENT ALLEGES BROKER FAILED TO PLACE STOP LOSS AS INSTRUCTED.



Product Type: Equity - OTC

Alleged Damages: \$21,000.00

Customer Complaint Information

Date Complaint Received: 04/27/2006

Complaint Pending? No

Status: Withdrawn

Status Date: 05/02/2006

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

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

Allegations: CLIENT ALLEGES BROKER FAILED TO PLACE STOP LOSS AS INSTRUCTED

Product Type: Equity - OTC

Alleged Damages: \$21,000.00

Customer Complaint Information

Date Complaint Received: 04/27/2006

Complaint Pending? No

Status: Withdrawn

Status Date: 05/02/2006

Settlement Amount:

Individual Contribution Amount:



Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Regulator
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	01/14/2016
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	UNITED STATES BANKRUPTCY COURT
Location of Court:	NEW YORK EASTERN - CENTRALISLIP
Docket/Case #:	16-70155
Action Pending?	No
Disposition:	Discharged
Disposition Date:	04/13/2016
Regulator Statement	PROCEEDINGS IN FINRA ARBITRATION CASE # 15-02278 AGAINST FLOWER, JAMES WILLIAM WERE STAYED BY BANKRUPTCY PROCEEDINGS IN THE U. S. BANKRUPTCY COURT, NEW YORK EASTERN - CENTRALISLIP, CASE # 16-70155.

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	01/14/2016
Organization Investment-Related?	
Type of Court:	Federal Court



Name of Court:	Bankruptcy court Eastern District of Long Island
Location of Court:	Central Islip , NY
Docket/Case #:	16-70155
Action Pending?	No
Disposition:	Discharged
Disposition Date:	02/10/2016

End of Report



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