

## BrokerCheck Report

# SCOTT ARTHUR KEMPS

CRD# 1849069

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Broker Qualifications	2 - 7
Registration and Employment History	9 - 11
Disclosure Events	12



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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 <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.

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](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).

**SCOTT A. KEMPS**

CRD# 1849069

**Currently employed by and registered with the following Firm(s):**

- B GREAT POINT CAPITAL LLC**  
6767 N. Wickham Road  
Suite 400  
Melbourne, FL 32940  
CRD# 114203  
Registered with this firm since: 08/14/2014
- IA BLUESKYE INVESTMENT ADVISERS, LLC**  
618 E. SOUTH ST  
SUITE 500  
ORLANDO, FL 32801  
CRD# 161097  
Registered with this firm since: 10/24/2014

**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
- 10 U.S. states and territories

**This broker has passed:**

- 5 Principal/Supervisory Exams
- 6 General Industry/Product Exams
- 2 State Securities Law Exams

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

- B MEYERS ASSOCIATES, L.P.**  
CRD# 34171  
MELBOURNE, FL  
08/2011 - 07/2014
- B INTERNATIONAL ASSETS ADVISORY, LLC**  
CRD# 10645  
ORLANDO, FL  
10/2011 - 01/2014
- IA ARISTON WEALTH MANAGEMENT, L.P.**  
CRD# 158220  
NEW YORK, NY  
04/2012 - 07/2013

**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	8



## 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 10 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **BLUESKYE INVESTMENT ADVISERS, LLC**

Main Office Address: **618 E. SOUTH ST  
SUITE 500  
ORLANDO, FL 32801**

Firm CRD#: **161097**

	U.S. State/ Territory	Category	Status	Date
<b>IA</b>	Florida	Investment Adviser Representative	Approved	10/24/2014

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

### Employment 2 of 2

Firm Name: **GREAT POINT CAPITAL LLC**

Main Office Address: **200 WEST JACKSON BLVD.  
SUITE 1000  
CHICAGO, IL 60606**

Firm CRD#: **114203**

	SRO	Category	Status	Date
<b>B</b>	FINRA	Financial and Operations Principal	Approved	08/14/2014
<b>B</b>	FINRA	General Securities Representative	Approved	08/14/2014
<b>B</b>	FINRA	Investment Banking Representative	Approved	08/14/2014
<b>B</b>	FINRA	Investment Co./Variable Contracts Prin	Approved	08/14/2014
<b>B</b>	FINRA	Registered Options Principal	Approved	08/14/2014



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	02/18/2016
B FINRA	Investment Banking Principal	Approved	10/01/2018
B FINRA	Operations Professional	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	12/05/2017
B Florida	Agent	Approved	09/03/2014
B Minnesota	Agent	Approved	09/18/2019
B New York	Agent	Approved	12/05/2017
B Ohio	Agent	Approved	03/05/2020
B Pennsylvania	Agent	Approved	05/24/2023
B South Carolina	Agent	Approved	10/21/2019
B Tennessee	Agent	Approved	03/23/2021
B Virginia	Agent	Approved	02/12/2015
B West Virginia	Agent	Approved	06/15/2023

### Branch Office Locations

#### GREAT POINT CAPITAL LLC

6767 N. Wickham Road  
Suite 400  
Melbourne, FL 32940

#### GREAT POINT CAPITAL LLC

200 WEST JACKSON BLVD.  
SUITE 1000  
CHICAGO, IL 60606

## Broker Qualifications



### Employment 2 of 2, continued

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## 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 5 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Investment Company Products/Variable Contracts Principal Examination	Series 26	01/02/2023
<b>B</b> NFA Branch Manager Examination	Series 30	07/20/2012
<b>B</b> Financial and Operations Principal Examination	Series 27	10/19/1993
<b>B</b> General Securities Principal Examination	Series 24	08/25/1989
<b>B</b> Registered Options Principal Examination	Series 4	08/23/1989

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	08/15/2009
<b>B</b> Retail Off-Exchange FOREX Examination	Series 34	08/14/2009
<b>B</b> General Securities Representative Examination	Series 7	06/18/1988

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	06/25/2003
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/12/1989



## Broker Qualifications



### **Industry Exams this Broker has Passed, continued**

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/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2011 - 07/2014	MEYERS ASSOCIATES, L.P.	34171	MELBOURNE, FL
B 10/2011 - 01/2014	INTERNATIONAL ASSETS ADVISORY, LLC	10645	ORLANDO, FL
IA 04/2012 - 07/2013	ARISTON WEALTH MANAGEMENT, L.P.	158220	NEW YORK, NY
IA 10/2011 - 04/2012	ARISTON WEALTH MANAGEMENT, LP	158220	SATELLITE BEACH, FL
IA 07/2010 - 08/2011	ANDERSON & STRUDWICK, INCORPORATED	48	INDIALANTIC, FL
B 07/2010 - 08/2011	ANDERSON & STRUDWICK, INCORPORATED	48	INDIALANTIC, FL
IA 02/2010 - 07/2010	JESUP & LAMONT SECURITIES CORP.	39056	INDIALANTIC, FL
B 11/2008 - 07/2010	JESUP & LAMONT SECURITIES CORP	39056	INDIALANTIC, FL
IA 12/2008 - 01/2009	JESUP & LAMONT SECURITIES CORP.	39056	INDIALANTIC, FL
IA 03/2005 - 12/2008	EMPIRE INVESTMENT ADVISORS. INC	108006	SATELLITE BEACH, FL
B 07/2001 - 12/2008	EMPIRE FINANCIAL GROUP, INC.	28759	SATELLITE BEACH, FL
B 10/2008 - 10/2008	JESUP & LAMONT SECURITIES CORP	39056	NEW YORK, NY
B 03/1996 - 07/2001	CENTENNIAL CAPITAL MANAGEMENT, INC.	38988	ATLANTA, GA
B 02/1994 - 03/1996	SUMMIT BROKERAGE SERVICES, INC.	34643	BOCA RATON, FL
B 07/1990 - 05/1994	SECURITIES SERVICE NETWORK, INC.	13318	KNOXVILLE, TN
B 06/1988 - 07/1990	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	5774	

### 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	Employer Name	Position	Investment Related	Employer Location
08/2014 - Present	GREAT POINT CAPITAL LLC	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, United States
05/2013 - Present	MEDTECH DISCOVERY GROUP, LLC	MANAGER	N	MELBOURNE, FL, United States
07/2014 - 07/2014	BLUESKYE INVESTMENT ADVISERS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	MELBOURNE, FL, United States
04/2012 - 07/2014	ARISTON WEALTH MANAGEMENT	ADVISOR REPRESENTATIVE	Y	NEW YORK, NY, United States
08/2011 - 07/2014	MEYERS ASSOCIATES LP	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States

### 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.

I AM THE PRESIDENT OF SPECTRUM CAPITAL MANAGEMENT, INC., BUSINESS INCLUDES INSURANCE, SOFTWARE DEVELOPMENT, BUSINESS CONSULTING REGARDING CAPITAL FORMATION AND STRATEGIC INTRODUCTIONS. I SPEND APPROXIMATELY 20 HOURS A WEEK DURING NORMAL BUSINESS HOURS AND I AM COMPENSATED VIA COMMISSION OR FEES. SPECTRUM WAS FORMED IN 1988; SPECTRUM CAPITAL ADVISORS, LLC, A NFA REGISTERED COMMODITY TRADING ADVISOR. , PRESIDENT, 20 HOURS PER WEEK COMPENSATION IN THE FORM OF MANAGEMENT AND INCENTIVE FEES; I AM LICENSED AS A REAL ESTATE SALES AGENT IN THE STATE OF FLORIDA AND CURRENTLY MY LICENSE IS INACTIVE. MEDTECH DISCOVERY GROUP, LLC - DIRECTOR, PRINCIPAL SHARE HOLDER; COMPANY FORMED TO PROVIDE FINANCING TO PRESERVE ASSETS AND REORGANIZE ASSETS OF CSMG/LIVE TISSUE CONNECT, INC. 10 HOURS PER WEEK. NO CURRENT SALARY.

MEDTECH DISCOVERY GROUP LLC. DIP CREDIT FACILITY, 200 S HARBOR CITY BLVD., SUITE 202 MELBOURNE FL 32901, PROVIDED FINANCING AND OPERATIONS TO A COMPANY TO REORGANIZE UNDER CHAPTER 11 BANKRUPTCY., MANAGING MEMBER, 4 HOURS A MONTH.

BIOFUSE MEDICAL TECHNOLOGIES, INC. NON-INVESTMENT RELATED. 200 S HARBOR CITY BLVD., SUITE 202 MELBOURNE FL 32901. MEDICAL DEVICE DEVELOPMENT DIRECTOR PRINCIPAL SHAREHOLDER START DATE 4/2014 APOX 24 PER MONTH.

## Registration and Employment History



### Other Business Activities, continued

Advisor for the RIA BlueSky Advisors, LLC. The address of BlueSky Advisors, LLC is 618 E South St. Suite 500, Orlando, FL 32801. The duties Scott will conduct for this RIA is asset management and he plans to spend 20 hours per month doing this.

General Partner/Manager for the Vigilant Fund I, LP. The address of Vigilant Fund I, LP is 6767 N Wickham Rd., Suite 400, Melbourne, FL 32940. The duties Scott will conduct for this Hedge Fund are all phases of trading and operation of hedge fund, and he plans to spend 15 hours per month doing this.

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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:**
  - 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
Regulatory Event	0	1	0
Customer Dispute	1	7	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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FLORIDA OFFICE OF FINANCIAL REGULATION
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	10/24/2014
<b>Docket/Case Number:</b>	55383-SR
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ARISTON WEALTH MANAGEMENT L.P.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	CONDUCTED INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order



**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:** 10/24/2014

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

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 10/24/2014

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

**Amount Waived:**

**Regulator Statement** ON 10/24/2014, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF SCOTT ARTHUR KEMPS. MR. KEMPS ADMITS TO AND CONSENTS TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT SCOTT ARTHUR KEMPS ENGAGED IN INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION IN THE STATE OF FLORIDA PURSUANT TO SECTION 517.12(4), F. S. MR. KEMPS AGREED TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$5,000. THE OFFICE AGREED TO APPROVE SCOTT ARTHUR KEMPS' APPLICATION AS AN ASSOCIATED PERSON (RA) WITH BLUESKYE INVESTMENT ADVISERS, LLC EFFECTIVE 10/24/2014.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** FLORIDA OFFICE OF FINANCIAL REGULATION





**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
**Date Initiated:** 10/24/2014  
**Docket/Case Number:** 55383-SR  
**Employing firm when activity occurred which led to the regulatory action:** ARISTON WEALTH MANAGEMENT, LP  
**Product Type:** No Product  
**Allegations:** ONDUCTED INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION  
**Current Status:** Final  
**Resolution:** Order  
**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:** 10/24/2014  
**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
**Monetary Sanction 1 of 1**  
**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$5,000.00  
**Portion Levied against individual:** \$5,000.00  
**Payment Plan:**  
**Is Payment Plan Current:**  
**Date Paid by individual:** 10/24/2014  
**Was any portion of penalty waived?** No  
**Amount Waived:**  
**Broker Statement** ON 10/24/2014, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL



ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF SCOTT ARTHUR KEMPS. MR. KEMPS ADMITS TO AND CONSENTS TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT SCOTT ARTHUR KEMPS ENGAGED IN INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION IN THE STATE OF FLORIDA PURSUANT TO SECTION 517.12(4), F. S. MR. KEMPS AGREED TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$5,000. THE OFFICE AGREED TO APPROVE SCOTT ARTHUR KEMPS' APPLICATION AS AN ASSOCIATED PERSON (RA) WITH BLUESKYE INVESTMENT ADVISERS, LLC EFFECTIVE 10/24/2014.



## 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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	GREAT POINT CAPITAL LLC
<b>Allegations:</b>	Unsuitable investment recommendations
<b>Product Type:</b>	Other: Private offering
<b>Alleged Damages:</b>	\$100,000.00

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	21-02557
<b>Date Notice/Process Served:</b>	10/08/2021
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	04/14/2022
<b>Monetary Compensation Amount:</b>	\$206,300.00
<b>Individual Contribution Amount:</b>	\$0.00

### Disclosure 2 of 5

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	GREAT POINT CAPITAL LLC
<b>Allegations:</b>	Alleged omissions and misrepresentations for the investment in an early stage cancer drug private offering.
<b>Product Type:</b>	Other: Private Offering



**Alleged Damages:** \$136,250.00

### Arbitration Information

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

**Docket/Case #:** 21-02712

**Date Notice/Process Served:** 12/28/2021

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/03/2023

**Monetary Compensation Amount:** \$18,500.00

**Individual Contribution Amount:** \$0.00

### Disclosure 3 of 5

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** Great Point Capital, LLC

**Allegations:** Claim alleges lack of due diligence, negligence, breach of fiduciary duty, lack of suitability, statutory fraud and breach of contract re sale of GPB Funds. Broker dealer named, registered rep not named but said to make unsuitable recommendations as part of claim.

**Product Type:** Other: Private placements

**Alleged Damages:** \$600,000.00

**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 Arbitration

**Docket/Case #:** 21-00675



**Filing date of arbitration/CFTC reparation or civil litigation:** 03/11/2021

### Customer Complaint Information

**Date Complaint Received:** 03/12/2021  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 08/09/2022  
**Settlement Amount:** \$400,000.00  
**Individual Contribution Amount:** \$0.00

#### Disclosure 4 of 5

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** Great Point Capital, LLC  
**Allegations:** Client is claiming that three DPP investments recommended to her between 2015 and 2020 were unsuitable.  
**Product Type:** Direct Investment-DPP & LP Interests  
**Alleged Damages:** \$300,000.00  
**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 Arbitration  
**Docket/Case #:** 20-04219  
**Filing date of arbitration/CFTC reparation or civil litigation:** 12/30/2020

### Customer Complaint Information



**Date Complaint Received:** 02/22/2021  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 09/12/2022  
**Settlement Amount:** \$110,000.00  
**Individual Contribution Amount:** \$0.00

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#### Disclosure 5 of 5

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** SECURITIES SERVICE NETWORK, INC.  
**Allegations:** UNSUITABILITY.  
**Product Type:** Options  
**Alleged Damages:**

#### Customer Complaint Information

**Date Complaint Received:** 02/22/1999  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 06/10/1999  
**Settlement Amount:** \$200,000.00  
**Individual Contribution Amount:** \$157,500.00

**Firm Statement** SETTLEMENT OF NASD CASE NUMBER 97-05629 IS BEING REPORTED AT THIS TIME AT THE REQUEST OF OUR MOST RECENT NASD AUDIT. AUDITORS DETERMINED THAT THIS MATTER REQUIRED A U-5 UPDATE THAT THE FIRM FAILED TO FILE PROMPTLY.

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**Reporting Source:** Broker



**Employing firm when activities occurred which led to the complaint:** SECURITIES SERVICE NETWORK

**Allegations:** UNSUITABILITY

**Product Type:** Options

**Alleged Damages:** \$300,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 02/22/1999

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/10/1999

**Settlement Amount:** \$200,000.00

**Individual Contribution Amount:** \$5,000.00

### **Broker Statement**

AMENDED FOR ID # 978216-IN RESPONSE TO OCCURRENCE ID # 978216. PRIMARY RESPONDENT WAS REPRESENTATIVE RICHARD PARKER. KEMPS WAS INCLUDED AS REGISTERED PRINCIPAL. SETTLEMENT CONTRIBUTION FROM KEMPS WAS \$5,000. AND WAS NOT INTENDED TO BE NOR SHOULD BE CONSIDERED AS ADMISSION OF FAULT. SETTLEMENT CONTRIBUTION WAS INTENDED TO LIMIT THE LITIGATION COSTS OF KEMPS' DEFENSE. RESPONDENT BELIEVES SUIT TO BE WITHOUT MERIT.



## 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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	Great Point Capital, LLC.
<b>Allegations:</b>	The customer alleges that Mr. Kemp misrepresented the potential upside of the purchase of the stock Oncolix and continuing optimism of the stock's potential performance, and therefor causing the Customer to purchase more of the stock, holding the security for too long and lost money.
<b>Product Type:</b>	Penny Stock
<b>Alleged Damages:</b>	\$136,250.00
<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>	05/24/2021
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	06/24/2021
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
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**Employing firm when activities occurred which led to the complaint:** EMPIRE FINANCIAL GROUP

**Allegations:** UNSUITABLE INVESTMENTS

**Product Type:** Annuity-Fixed  
Direct Investment-DPP & LP Interests  
Oil & Gas

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** NO AMOUNT ALLEGED.

**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:** 06/26/2013

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 07/07/2014

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** RESPONDED TO INQUIRY 6/2013. NO RESPONSE RECEIVED. COMPLAINT WITHOUT MERIT.



## 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>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	GREAT POINT CAPITAL LLC
<b>Allegations:</b>	unsuitable, speculative, illiquid - 2014-2015
<b>Product Type:</b>	Direct Investment-DPP & LP Interests
<b>Alleged Damages:</b>	\$400,000.00
<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>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	022-02946
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	12/28/2022

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/12/2023
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

## End of Report



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