

BrokerCheck Report

GERALD JOHN COCUZZO

CRD# 4047511

Report #87577-89972, data current as of Wednesday, May 4, 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.

GERALD J. COCUZZO

CRD# 4047511

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):

NEWBRIDGE SECURITIES CORPORATION

CRD# 104065
BOCA RATON, FL
12/2014 - 05/2016

IAA FINANCIAL LLC

CRD# 6578
Boca Raton, FL
09/2009 - 01/2015

GUNNALLEN FINANCIAL, INC

CRD# 17609
BOCA RATON, FL
11/2008 - 10/2009

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
Criminal	1
Customer Dispute	7
Judgment/Lien	1

Broker Qualifications



Registrations

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

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

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

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	03/21/2000

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	06/01/2000

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
12/2014 - 05/2016	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL
09/2009 - 01/2015	IAA FINANCIAL LLC	6578	Boca Raton, FL
11/2008 - 10/2009	GUNNALLEN FINANCIAL, INC	17609	BOCA RATON, FL
01/2008 - 12/2008	AMERICA'S CHOICE EQUITIES LLC	135272	HAUPPAUGE, NY
12/2004 - 02/2008	J.P. TURNER & COMPANY, L.L.C.	43177	MEDFORD, NY
01/2004 - 12/2004	LH ROSS & COMPANY, INC.	37920	BOCA RATON, FL
05/2003 - 01/2004	CONTINENTAL BROKER-DEALER CORP.	14048	CARLE PLACE, NY
04/2002 - 06/2003	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL
03/2000 - 05/2002	SEABOARD SECURITIES, INC.	755	FLORHAM PARK, NJ

Employment History

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

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

Employment Dates	Employer Name	Employer Location
12/2014 - Present	NEWBRIDGE SECURITIES	BOCA RATON, FL
09/2009 - 12/2014	CBG FINANCIAL GROUP, INC.	BOCA RATON, FL
11/2008 - 09/2009	GUNNALLEN FINANCIAL	BOCA RATON, FL
01/2008 - 11/2008	AMERICAS CHOICE EQUITIES	HAUPPAUGE, NY
12/2004 - 01/2008	JP TURNER AND CO	PATCHOGUE, 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.

CHAMP ITALIA COCUZZO - PRESIDENT - USED TO PAY BILLS.



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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
Criminal	0	1	0



Customer Dispute	0	7	N/A
Judgment/Lien	1	N/A	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Organization Name (if charge(s) were brought against an organization over which broker exercised control):	N/A
Court Details:	CRIMINAL COURT OF THE CITY OF NEW YORK KINGS COUNTY/DOCKET NO. 99K074498
Charge Date:	10/07/1999
Charge Details:	CHARGED WITH SECTIONS 220.16, 220.03, 221.05 AND 240.20 OF NY PENAL LAW
Felony?	Yes
Current Status:	Final
Status Date:	11/16/1999
Disposition Details:	PLEA BARGAINED TO SECTION 240.20 (DISORDERLY CONDUCT) AND SENTENCED TO A CONDITIONAL DISCHARGE AND A \$45.00 FINE
Broker Statement	POLICE ALLEGED THAT I HAD POSSESSION OF A CONTROLLED SUBSTANCE WHICH SUBSEQUENTLY TURNED OUT TO BE FALSE AND ALL CHARGES WERE DROPPED EXCEPT THE DISORDERLY CONDUCT CHARGE (A VIOLATION)





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:	GUNNALLEN FINANCIAL, INC.- IAA FINANCIAL, LLC
Allegations:	CLIENT ALLEGES UNSUITABILITY
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT SEEKS AN AWARD OF \$50,000.00- \$100,000.00 EXCLUSIVE OF INTEREST AND EXPENSES.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-02002
Date Notice/Process Served:	07/02/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/19/2014
Monetary Compensation Amount:	\$18,000.00
Individual Contribution Amount:	\$18,000.00
Broker Statement	MR. COCUZZO DENIES ALL ALLEGATIONS FROM THE CLAIMANT.

Disclosure 2 of 2

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

Allegations: CLIENT ALLEGES FAILURE TO FOLLOW INSTRUCTIONS BY NEGLECTING TO EXECUTE A STOP LOSS ORDER.

Product Type: Equity - OTC

Alleged Damages: \$8,790.35

Customer Complaint Information

Date Complaint Received: 09/27/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/05/2007

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR ARBITRATION CASE NO 07-00508

Date Notice/Process Served: 03/05/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/16/2007

Monetary Compensation Amount: \$4,950.00

Individual Contribution Amount: \$4,950.00



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 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	IAA FINANCIAL F/K/A CBG FINANCIAL GROUP, LLC
Allegations:	CLAIMANT ALLEGES UNSUITABLE INVESTMENTS
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	\$600,000.00
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 #:	14-00497
Filing date of arbitration/CFTC reparation or civil litigation:	02/12/2014

Customer Complaint Information

Date Complaint Received:	03/12/2014
Complaint Pending?	No
Status:	Withdrawn
Status Date:	01/21/2015
Settlement Amount:	
Individual Contribution Amount:	

**Broker Statement**

REP RECEIVED AN EMAIL FROM THE CLAIMANT'S ATTORNEY STATING, CLAIMANT DISMISSES THIS ACTION, WITHOUT PREJUDICE.

Disclosure 2 of 5**Reporting Source:**

Broker

Employing firm when activities occurred which led to the complaint:

CBG FINANCIAL GROUP

Allegations:

CUSTOMER ALLEGED REGISTERED REPRESENTATIVE CHARGED COMMISSIONS THAT WAS NOT DESERVING CONSIDERING THE PERFORMANCE OF THE ACCOUNT.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$15,000.00

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:**

08/26/2011

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

03/20/2013

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

A REVIEW OF THE CHARGES REVEALED THE CLIENT WAS CHARGED COMMISSIONS BELOW THE FIRM'S COMMISSION GUIDELINES. IN ADDITION, THE \$15,000 ALLEGED AMOUNT WAS FOR OVER A TWELVE MONTH PERIOD. THE COMPLAINT LACKS MERIT AND UNWARRANTED.

Disclosure 3 of 5**Reporting Source:**

Broker



Employing firm when activities occurred which led to the complaint: LH ROSS AND CO., INC.

Allegations: FAILURE TO FOLLOW INSTRUCTIONS.
CUSTOMER ALLEGES STOP LOSS ORDERS NOT ENTERED.

Product Type: Equity - OTC

Alleged Damages: \$45,650.00

Customer Complaint Information

Date Complaint Received: 09/21/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/31/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement FOLLOWING THE COMPLAINT AFTER SPEAKING WITH [CUSTOMER], HE WAS CONCERNED ABOUT MARKET PERFORMANCE NOT NECESSARILY ANY WRONGDOING ON MY PART.

Disclosure 4 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SEABOARD SECURITIES, INCL

Allegations: CUSTOMER IS DISSATISFIED WITH STOCK PERFORMANCE AND CLAIMS TO HAVE BEEN MISLED ALTHOUGH ACCOUNT WAS MOVED TO ANOTHER FIRM AND STOCK WAS RETAINED.

Product Type: Equity - OTC

Alleged Damages: \$183,680.00

Customer Complaint Information

Date Complaint Received: 07/26/2002

Complaint Pending? No



Status: Denied

Status Date: 09/10/2002

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

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

Allegations: CLIENT WAS DISSATISFIED WITH THE PERFORMANCE OF HIS HOLDING DURING A VOLATILE MARKET AND FAILED TO PROVE HIS ALLEGED ALLEGATIONS

Product Type: Other

Other Product Type(s): COMMON STOCK

Alleged Damages: \$183,680.00

Customer Complaint Information

Date Complaint Received: 07/26/2002

Complaint Pending? No

Status: Denied

Status Date: 09/10/2002

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SEABOARD SECURITIES, INC.

Allegations: CUSTOMER COMPLAINED OF LOSSES AS THE RESULT OF THE WINSTAR COMMUNICATIONS BANKRUPTCY.



Product Type: Equity - OTC

Alleged Damages: \$80,000.00

Customer Complaint Information

Date Complaint Received: 06/27/2001

Complaint Pending? No

Status: Denied

Status Date: 07/30/2001

Settlement Amount:

**Individual Contribution
Amount:**

Reporting Source: Broker

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

Allegations: THE CLIENTS MAINTAINED A POSITION IN A COMPANY (WINTER COMMUNICATIONS) THAT FILED FOR BANKRUPTCY DURING ALL OF THE CORPORATE SCANDALS.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$80,000.00

Customer Complaint Information

Date Complaint Received: 06/27/2001

Complaint Pending? No

Status: Denied

Status Date: 07/30/2001

Settlement Amount:

**Individual Contribution
Amount:**

**Judgment/Lien**

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

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	DEPARTMENT OF THE TREASURY- INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$226,387.62
Judgment/Lien Type:	Tax
Date Filed with Court:	08/26/2014
Date Individual Learned:	09/08/2014
Type of Court:	Federal Court
Name of Court:	COUNTY COURTHOUSE-PALM BEACH COUNTY
Location of Court:	WEST PALM BEACH, FLORIDA 33402
Docket/Case #:	116802214
Judgment/Lien Outstanding?	Yes
Broker Statement	2011- \$92,239.01 --- 2012- \$114,373.86 --2013- \$19,774.75 REGISTERED REP IS CURRENTLY WORKING WITH HIS ATTORNEY TO RESOLVE.(REP HAS ENTERED INTO AN INSTALLMENT AGREEMENT WITH THE IRS FOR \$500.00 A MONTH).

End of Report



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