

BrokerCheck Report

MAROOF MIYANA

CRD# 4513966

Report #19531-31630, 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.



MAROOF MIYANA

CRD# 4513966

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

LEGEND SECURITIES, INC.

440 E. Sample Rd., Suite 201A
Pompano Beach, FL 33064
CRD# 44952

Registered with this firm since: 12/23/2014

LEGEND SECURITIES, INC.

45 BROADWAY
32ND FLOOR
NEW YORK, NY 10006
CRD# 44952

Registered with this firm since: 12/23/2014

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:

- 3 Self-Regulatory Organizations
- 25 U.S. states and territories

This broker has passed:

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

Registration History

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

IAA FINANCIAL LLC

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

GUNNALLEN FINANCIAL, INC

CRD# 17609
BOCA RATON, FL
01/2004 - 10/2009

CONTINENTAL BROKER-DEALER CORP.

CRD# 14048
CARLE PLACE, NY
06/2002 - 01/2004

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
Customer Dispute	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 3 SROs and is licensed in 25 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LEGEND SECURITIES, INC.**
 Main Office Address: **45 BROADWAY, 32ND FLOOR**
NEW YORK, NY 10006
 Firm CRD#: **44952**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	12/23/2014
FINRA	General Securities Representative	APPROVED	12/23/2014
NYSE Arca, Inc.	General Securities Principal	APPROVED	12/23/2014
NYSE Arca, Inc.	General Securities Representative	APPROVED	12/23/2014
Nasdaq Stock Market	General Securities Principal	APPROVED	12/23/2014
Nasdaq Stock Market	General Securities Representative	APPROVED	12/23/2014

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Alabama	Agent	APPROVED	01/05/2015	Kansas	Agent	APPROVED	06/19/2015
Arkansas	Agent	APPROVED	01/05/2015	Maryland	Agent	APPROVED	06/17/2015
California	Agent	APPROVED	01/05/2015	Massachusetts	Agent	APPROVED	04/13/2015
Connecticut	Agent	APPROVED	01/23/2015	Michigan	Agent	APPROVED	01/26/2015
Florida	Agent	APPROVED	12/23/2014	Mississippi	Agent	APPROVED	01/05/2015
Georgia	Agent	APPROVED	01/05/2015	Missouri	Agent	APPROVED	01/05/2015
Illinois	Agent	APPROVED	01/26/2015	New Jersey	Agent	APPROVED	01/14/2015
Indiana	Agent	APPROVED	07/15/2015	New York	Agent	APPROVED	12/23/2014
Iowa	Agent	APPROVED	06/15/2015	North Carolina	Agent	APPROVED	01/05/2015

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
Ohio	Agent	APPROVED	02/05/2015
Pennsylvania	Agent	APPROVED	01/05/2015
South Carolina	Agent	APPROVED	01/05/2015
Texas	Agent	APPROVED	01/05/2015
Vermont	Agent	APPROVED	01/23/2015
Virginia	Agent	APPROVED	06/17/2015
Washington	Agent	APPROVED	06/04/2015

Branch Office Locations

LEGEND SECURITIES, INC.
440 E. Sample Rd., Suite 201A
Pompano Beach, FL 33064



Broker Qualifications

Industry Exams this Broker has Passed

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

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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	06/18/2004

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	06/11/2002

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	06/17/2002

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
09/2009 - 01/2015	IAA FINANCIAL LLC	6578	Boca Raton, FL
01/2004 - 10/2009	GUNNALLEN FINANCIAL, INC	17609	BOCA RATON, FL
06/2002 - 01/2004	CONTINENTAL BROKER-DEALER CORP.	14048	CARLE PLACE, 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
12/2014 - Present	LEGEND SECURITIES, INC.	NEW YORK, NY
09/2009 - 12/2014	IAA FINANCIAL, LLC	BOCA RATON, FL
01/2004 - 09/2009	GUNNALLEN FINANCIAL	BOCA RATON, FL

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.

SUBWAY SALES ASSOCIATE. GROCERY STORE LOCATED IN BOCA RATON, FL., THIS IS NOT INVESTMENT RELATED, 20 HRS PER WEEK NOT DURING TRADING 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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	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.

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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	IAA FINANCIAL, LLC
Allegations:	CUSTOMER ALLEGES UNSUITABLE INVESTMENTS
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$400,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-03451
Date Notice/Process Served:	11/24/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/14/2016
Monetary Compensation Amount:	\$72,000.00



**Individual Contribution
Amount:** \$72,000.00

End of Report



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