

**BrokerCheck Report**

**DONALD ROBERT POLLARD**

CRD# 2181631

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## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

**Thank you for using FINRA BrokerCheck.**

**DONALD R. POLLARD**

CRD# 2181631

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

- B BMI CAPITAL INTERNATIONAL LLC**  
126 EAST 56 ST  
NEW YORK, NY 10022  
CRD# 154670  
Registered with this firm since: 08/16/2017
- B LAKERIDGE CAPITAL INC.**  
55 UNIVERSITY AVENUE, MEZZANINE  
LEVEL, SUITE M002  
ONTARIO, CANADA M5J 2H7  
CRD# 25005  
Registered with this firm since: 11/09/2017
- B EASTGATE SECURITIES, LLC**  
320 MAIN ST  
SUITE 102  
PORT JEFFERSON, NY 11777  
CRD# 146671  
Registered with this firm since: 03/07/2019
- B DALMORE GROUP LLC**  
525 GREEN PLACE  
WOODMERE, United States 11598  
CRD# 136352  
Registered with this firm since: 02/19/2020

This broker is currently registered with FINRA or a national securities exchange at more than four brokerage firms. Please see the Registration History section of the report for a list of these brokerage firms.

**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
- 4 U.S. states and territories

**This broker has passed:**

- 3 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):**

- B CBC SECURITIES, INC.**  
CRD# 46153  
NEEDHAM, MA  
01/2019 - 11/2020
- B CAPITAL FINANCIAL SERVICES, INC.**  
CRD# 8408  
MINOT, ND  
07/2019 - 10/2020
- B RICHARD JAMES & ASSOCIATES, INC.**  
CRD# 169131  
Syosett, NY  
10/2017 - 12/2018

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

### Employment 1 of 6

Firm Name: **BMI CAPITAL INTERNATIONAL LLC**

Main Office Address: **126 EAST 56 ST  
3ND FLOOR  
NEW YORK, NY 10022**

Firm CRD#: **154670**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Principal	APPROVED	08/16/2017
<b>B</b> FINRA	General Securities Representative	APPROVED	08/16/2017
<b>B</b> FINRA	General Securities Sales Supervisor	APPROVED	08/16/2017
<b>B</b> FINRA	Registered Options Principal	APPROVED	08/16/2017
<b>B</b> FINRA	Compliance Officer	APPROVED	10/01/2018

### Branch Office Locations

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

### Employment 2 of 6

Firm Name: **CURTIS POINT CAPITAL**

Main Office Address: **277 LINDEN ST  
WELLESLEY, MA 02482**

Firm CRD#: **307399**

SRO	Category	Status	Date
<b>B</b> FINRA	Compliance Officer	APPROVED	08/24/2020



## Broker Qualifications

### Employment 2 of 6, continued

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Principal	APPROVED	08/24/2020
<b>B</b> FINRA	General Securities Representative	APPROVED	08/24/2020
<b>B</b> FINRA	General Securities Sales Supervisor	APPROVED	08/24/2020
<b>B</b> FINRA	Registered Options Principal	APPROVED	08/24/2020

### Branch Office Locations

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

### Employment 3 of 6

Firm Name: **DALMORE GROUP LLC**  
 Main Office Address: **525 GREEN PLACE**  
**WOODMERE, NY 11598**  
 Firm CRD#: **136352**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Principal	APPROVED	02/19/2020
<b>B</b> FINRA	General Securities Representative	APPROVED	02/19/2020

### Branch Office Locations

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

### Employment 4 of 6

Firm Name: **EASTGATE SECURITIES, LLC**  
 Main Office Address: **320 MAIN ST**  
**SUITE 102**  
**PORT JEFFERSON, NY 11777**  
 Firm CRD#: **146671**



## Broker Qualifications

### Employment 4 of 6, continued

SRO	Category	Status	Date
<b>B</b> FINRA	Compliance Officer	APPROVED	03/07/2019
<b>B</b> FINRA	General Securities Principal	APPROVED	03/07/2019
<b>B</b> FINRA	General Securities Representative	APPROVED	03/07/2019
<b>B</b> FINRA	General Securities Sales Supervisor	APPROVED	03/07/2019
<b>B</b> FINRA	Registered Options Principal	APPROVED	03/07/2019
U.S. State/ Territory	Category	Status	Date
<b>B</b> New York	Agent	APPROVED	03/07/2019

### Branch Office Locations

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

### Employment 5 of 6

Firm Name: **LAKERIDGE CAPITAL INC.**  
 Main Office Address: **55 UNIVERSITY AVENUE, MEZZANINE LEVEL, SUITE M002  
 TORONTO  
 ONTARIO, CANADA M5J 2H7**  
 Firm CRD#: **25005**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Principal	APPROVED	11/09/2017
<b>B</b> FINRA	General Securities Representative	APPROVED	11/09/2017
<b>B</b> FINRA	General Securities Sales Supervisor	APPROVED	11/09/2017
<b>B</b> FINRA	Registered Options Principal	APPROVED	11/09/2017



## Broker Qualifications

### Employment 5 of 6, continued

U.S. State/ Territory	Category	Status	Date
<b>B</b> New York	Agent	APPROVED	11/15/2018

### Branch Office Locations

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

### Employment 6 of 6

Firm Name: **WRIGHT INVESTORS' SERVICE DISTRIBUTORS, INC.**

Main Office Address: **2 CORPORATE DRIVE  
SUITE 770  
SHELTON, CT 06484**

Firm CRD#: **13645**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	APPROVED	04/27/2017
<b>B</b> FINRA	General Securities Sales Supervisor	APPROVED	04/27/2017
<b>B</b> FINRA	Registered Options Principal	APPROVED	04/27/2017

U.S. State/ Territory	Category	Status	Date
<b>B</b> Connecticut	Agent	APPROVED	05/24/2017
<b>B</b> Illinois	Agent	APPROVED	09/05/2018
<b>B</b> New York	Agent	APPROVED	09/15/2017
<b>B</b> Texas	Agent	APPROVED	11/16/2018

### Branch Office Locations

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



## 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 3 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	02/09/2004
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	08/07/1997
<b>B</b> Registered Options Principal Examination	Series 4	12/10/1996

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/27/1992

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	08/30/1993

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 01/2019 - 11/2020	CBC SECURITIES, INC.	46153	NEEDHAM, MA
B 07/2019 - 10/2020	CAPITAL FINANCIAL SERVICES, INC.	8408	MINOT, ND
B 10/2017 - 12/2018	RICHARD JAMES & ASSOCIATES, INC.	169131	Syosett, NY
B 07/2016 - 11/2017	SW FINANCIAL	145012	Melville, NY
B 05/2017 - 09/2017	CAPITAL FINANCIAL SERVICES, INC.	8408	MINOT, ND
B 10/2015 - 07/2016	NEWPORT COAST SECURITIES, INC.	16944	NEW YORK, NY
B 04/2015 - 09/2015	PHX FINANCIAL, INC.	144403	Happauge, NY
B 03/2015 - 04/2015	LEGEND SECURITIES, INC.	44952	Melville, NY
B 03/2015 - 03/2015	TRYCO SECURITIES, INC.	104025	Melville, NY
B 03/2014 - 03/2015	BROOKVILLE CAPITAL PARTNERS	102380	Melville, NY
B 12/2010 - 09/2012	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 12/2010 - 09/2012	NEW ENGLAND SECURITIES	615	NEW YORK, NY
B 01/2010 - 03/2010	GLOBAL ARENA CAPITAL CORP	16871	DEER PARK, NY
B 08/2009 - 01/2010	DEVELOPMENT CORPORATION FOR ISRAEL	11148	NEW YORK, NY
B 12/2005 - 05/2009	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B 05/2005 - 12/2005	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
B 06/2004 - 05/2005	E*TRADE PROFESSIONAL TRADING, LLC	39293	NEW YORK, NY
B 09/2003 - 06/2004	E*TRADE SECURITIES LLC	29106	JERSEY CITY, NJ
B 12/2002 - 10/2003	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
B 04/1995 - 07/2001	QUICK & REILLY, INC.	11217	NEW YORK, NY
B 08/1993 - 04/1995	WATERHOUSE SECURITIES, INC.	7870	OMAHA, NE



## Registration and Employment History

### Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 02/1993 - 06/1993	KENSINGTON WELLS INCORPORATED	30570	
<b>B</b> 12/1992 - 01/1993	J. GREGORY & COMPANY, INC.	14892	

### 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	Employer Name	Position	Investment Related	Employer Location
05/2020 - Present	Monolith Capital Group	Compliance	Y	Plainview, NY, United States
02/2020 - Present	Dalmore Group	Compliance	Y	Woodmere, NY, United States
07/2019 - Present	Capital Financial Services, Inc	Compliance	Y	Minot, ND, United States
03/2019 - Present	Eastgate Securities	CCO	Y	Garden City, NY, United States
01/2019 - Present	CBC Securities	CCO / CEO	Y	Newton, MA, United States
01/2019 - Present	Curtis Point Capital	CCO	Y	Wellesey, MA, United States
11/2017 - Present	LAKERIDGE CAPITAL INC.	CCO	Y	Toronto, Canada
08/2017 - Present	BMI Capital International Llc	CCO	Y	New York, NY, United States
04/2017 - Present	Wright Investors Service Distributors	CCO	Y	Greenwich, CT, United States
12/2018 - 12/2018	The Hutchison Group	Compliance Consultant	Y	Durham, NC, United States
10/2017 - 12/2018	Richard James and Associates	Broker	Y	Hicksville, NY, United States
05/2017 - 11/2017	SW Financial	Registered Representative	Y	Melville, NY, United States
05/2017 - 09/2017	Capital Financial Services, Inc	CCO	Y	Minot, ND, United States
07/2016 - 05/2017	Salomon Whitney	CCO	Y	Melville, NY, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2015 - 07/2016	NEWPORT COAST SECURITIES	COMPLIANCE	Y	NEW YORK, NY, United States
04/2015 - 09/2015	PHX FINANCIAL, INC.	BROKER	Y	NEW YORK, NY, United States
03/2015 - 04/2015	LEGEND SECURITIES, INC.	BROKER	Y	MILLER PLACE, NY, United States
03/2015 - 03/2015	TRYCO SECURITIES, INC.	BRANCH MANAGER	Y	MELVILLE, NY, United States
03/2014 - 03/2015	BROOKVILLE CAPITAL PARTNERS	BROKER	Y	UNIONDALE, NY, United States
08/2012 - 03/2014	GOLD COAST GOLD BUYER	OWNER	N	PORT JEFFERSON STATION, NY, United States
11/2010 - 08/2012	METLIFE SECURITIES INC.	SR. CONTROLS ANALYST	Y	CENTEREACH, 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.

Intersource/Everest Consulting Solutions LLC President, Compliance Consulting for financial firms. 40+ hours during market hours per week, approx 200 hours a month. I am registered at multiple broker dealers providing compliance consulting. I am also CEO of two firms Lakeridge Capital and Wright Investors' Service Distributors, with no decision making responsibilities. provide sec compliance consulting for mission critical services.



## 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
Criminal	0	1	0
Customer Dispute	1	0	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

<b>Reporting Source:</b>	Broker
<b>Formal Charges were brought in:</b>	SUFFOLK COUNTY
<b>Name of Court:</b>	SUFFOLK COUNTY
<b>Location of Court:</b>	SUFFOLK COUNTY, NEW YORK
<b>Docket/Case #:</b>	2014SU000346, 347, 348, 2014SU000349
<b>Charge Date:</b>	01/06/2014
<b>Charge(s) 1 of 4</b>	
<b>Formal Charge(s)/Description:</b>	FALSIFY BUSINESS RECORDS 1ST CLASS E FELONY
<b>No of Counts:</b>	2
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	Dismissed
<b>Charge(s) 2 of 4</b>	
<b>Formal Charge(s)/Description:</b>	CPSP - 4TH BY PAWNBROKER CLASS E FELONY
<b>No of Counts:</b>	1



<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	Dismissed
<b>Charge(s) 3 of 4</b>	
<b>Formal Charge(s)/Description:</b>	FALSE BUSINESS RECORDS,
<b>No of Counts:</b>	6
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	Dismissed
<b>Charge(s) 4 of 4</b>	
<b>Formal Charge(s)/Description:</b>	CRIMINAL FACILITATION 4TH DEGREE PL 115.00 01
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	GUILTY
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	03/04/2014
<b>Disposition Date:</b>	06/06/2014
<b>Sentence/Penalty:</b>	THREE YEARS PROBATION AND 280 HOURS COMMUNITY SERVICE Probation ended on 6/8/2015 (released early) Community Service completed. CERTIFICATES OF RELIEF FROM DISABILITIES issued on 6/8/2014, date of sentencing.
<b>Broker Statement</b>	This was an issue that arose from my partner who was conducting questionable activity. I was a partner in the business and was implicated, though all initial charges were dropped because I was unaware and proved that I was no involved. I was required to accept a plea because I was a partner of the business.



## 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>	Capital Financial Services, Inc
<b>Allegations:</b>	Clients allege negligence, breach of fiduciary duty, breach of contract.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	The firm has made a good faith determination that the damage amount is more than \$5,000.

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA Dispute Resolution
<b>Docket/Case #:</b>	20-02358
<b>Date Notice/Process Served:</b>	07/30/2020
<b>Arbitration Pending?</b>	Yes



## End of Report



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