

BrokerCheck Report

JESUS MANUEL BRAVO

CRD# 2838164

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



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



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.

JESUS M. BRAVO

CRD# 2838164

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

- B** **DMK ADVISOR GROUP, INC.**
 17961 HUNTING BOW CIRCLE
 SUITE 102
 LUTZ, FL 33558
 CRD# 41067
 Registered with this firm since: 12/02/2020

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
- 7 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 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
 Plainview, NY
 02/2020 - 10/2020
- B** **JOSEPH STONE CAPITAL L.L.C.**
 CRD# 159744
 PLAINVIEW, NY
 08/2014 - 03/2020
- B** **SALOMON WHITNEY LLC**
 CRD# 145012
 FARMINGDALE, NY
 09/2013 - 08/2014

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes****The following types of disclosures have been reported:**

Type	Count
Regulatory Event	2
Investigation	1
Customer Dispute	1
Financial	1
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 individual is currently registered with 1 SRO and is licensed in 7 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **DMK ADVISOR GROUP, INC.**

Main Office Address: **17961 HUNTING BOW CIRCLE
SUITE 102
LUTZ, FL 33558**

Firm CRD#: **41067**

SRO	Category	Status	Date
B FINRA	General Securities Principal	APPROVED	12/02/2020
B FINRA	General Securities Representative	APPROVED	12/02/2020

U.S. State/ Territory	Category	Status	Date
B Connecticut	Agent	APPROVED	01/19/2021
B Iowa	Agent	APPROVED	01/08/2021
B Minnesota	Agent	APPROVED	01/05/2021
B New York	Agent	APPROVED	12/18/2020
B Ohio	Agent	APPROVED	01/05/2021
B Pennsylvania	Agent	APPROVED	01/13/2021
B Puerto Rico	Agent	APPROVED	01/14/2021

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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	03/25/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/04/1997

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	03/18/1997

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/.

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 02/2020 - 10/2020	CBC SECURITIES, INC.	46153	Plainview, NY
B 08/2014 - 03/2020	JOSEPH STONE CAPITAL L.L.C.	159744	PLAINVIEW, NY
B 09/2013 - 08/2014	SALOMON WHITNEY LLC	145012	FARMINGDALE, NY
B 06/2011 - 06/2012	EKN FINANCIAL SERVICES INC.	113525	MELVILLE, NY
B 03/2011 - 06/2011	BROOKSTONE SECURITIES, INC.	13366	MELVILLE, NY
B 01/2010 - 03/2011	FIRST MIDWEST SECURITIES, INC.	21786	MELVILLE, NY
B 07/2009 - 12/2009	POINTE CAPITAL, INC.	112097	MELVILLE, NY
B 10/2008 - 07/2009	AURA FINANCIAL SERVICES, INC.	42822	MELLVILLE, NY
B 03/2006 - 10/2008	PRESTIGE FINANCIAL CENTER, INC.	30407	NEW YORK, NY
B 02/2003 - 02/2006	SKY CAPITAL LLC	114657	NEW YORK, NY
B 02/1999 - 02/2003	THE THORNWATER COMPANY, L.P.	36195	NEW YORK, NY
B 03/1998 - 12/1998	KLEIN, MAUS & SHIRE INC.	20527	NEW YORK, NY
B 12/1997 - 03/1998	BARINGTON CAPITAL GROUP, L.P.	29383	NEW YORK, NY
B 03/1997 - 12/1997	WHALE SECURITIES CO., L.P.	13516	NEW YORK, 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	Employer Name	Position	Investment Related	Employer Location
11/2020 - Present	DMK Advisor Group, Inc.	Registered Representative	Y	LAKEWOOD, CO, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
05/2013 - Present	KNOWLEDGE OF SPIRIT RADIO UPRN 107.7 FM NEW ORLEANS	RADIO HOST	N	MIDDLE VILLAGE, NY, United States
11/2010 - Present	NYC PSYCHIC	PSYCHIC READER	N	MIDDLE VILLAGE, NY, United States
02/2020 - 10/2020	CBC Securities	Registered Rep	Y	Needham, MA, United States
08/2014 - 02/2020	JOSEPH STONE CAPITAL, LLC	REGISTERED REPRESENTATIVE	Y	MINEOLA, NY, United States
08/2013 - 08/2014	SALOMON WHITNEY LLC	REGISTERED REPRESENTATIVE	Y	FARMINGDALE, 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.

1) NYC PSYCHIC, NY- OWNER/PSYCHIC.

NON INVESTMENT RELATED

WORKS 2 HOURS PER WEEK

NO TIME SPENT DURING MARKET HOURS.

START DATE: 11/4/2010.

COMPENSATION IS PAID ON A CASH BASIS.

WEB ADDRESS: WWW.MEDIUMJESSEBRAVO.COM

2.) NAME: MANTICORE MEDIA LLC

ADDRESS: 99 WALL STREET, SUITE 194, NEW YORK, NY 10005

NATURE: THIS COMPANY ASSISTS SMALL BUSINESS BECOME NOTICED ON THE INTERNET.

POSITION: OWNER

NON INVESTMENT RELATED

SEARCH ENGINE OPTIMIZER

0 HOURS DURING TRADING HOURS

8 HOURS/WEEK OUTSIDE OF TRADING HOURS

START DATE: 01/12/2018

WEBSITE: WWW.MANTICOREMEDIA.NET

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
Regulatory Event	1	1	0
Customer Dispute	0	1	N/A
Investigation	1	N/A	N/A
Financial	0	1	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/12/2012
Docket/Case Number:	2011027760602
Employing firm when activity occurred which led to the regulatory action:	FIRST MIDWEST SECURITIES, INC.; BROOKSTONE SECURITIES, INC.
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULES 2420, 3110: BRAVO, WHILE REGISTERED WITH TWO FINRA MEMBER FIRMS, DIRECTED THE PAYMENT OF SECURITIES COMPENSATION TO AN UNREGISTERED INDIVIDUAL. BRAVO HAD PREVIOUSLY WORKED WITH THE UNREGISTERED INDIVIDUAL AT OTHER MEMBER FIRMS. BRAVO CLAIMS THAT THE UNREGISTERED INDIVIDUAL PROVIDED HIM WITH STOCK RECOMMENDATIONS, BASED ON HIS STOCK RESEARCH. IN EXCHANGE FOR THE PURPORTED STOCK RESEARCH, WHICH BRAVO CLAIMS HE USED FOR HIS FIRM CUSTOMERS, BRAVO PAID THE UNREGISTERED INDIVIDUAL APPROXIMATELY 40% OF HIS BROKERAGE COMMISSIONS. IN TOTAL, BRAVO PAID THE UNREGISTERED INDIVIDUAL APPROXIMATELY \$255,298. BRAVO DID NOT DISCLOSE HIS



COMMISSION PAYMENT ARRANGEMENT WITH THE UNREGISTERED INDIVIDUAL TO ANYONE AT HIS FIRMS. BRAVO SUBMITTED A FALSE AND MISLEADING COMPLIANCE QUESTIONNAIRE TO ONE OF HIS FIRMS, DENYING THAT ANY OTHER BUSINESSES WERE HOUSED AT HIS BRANCH OFFICE LOCATION. AT THE TIME THAT BRAVO ANSWERED "NO" TO THAT QUESTION, BRAVO KNEW THAT THE BUSINESS OPERATED BY THE UNREGISTERED INDIVIDUAL WAS HOUSED AT HIS BRANCH OFFICE. BY SIGNING AND SUBMITTING THE COMPLIANCE QUESTIONNAIRE WITH THE INCORRECT INFORMATION, BRAVO CAUSED THE BOOKS AND RECORDS OF THE FIRM TO CONTAIN FALSE AND MISLEADING INFORMATION REGARDING THE COMPOSITION OF HIS BRANCH OFFICE. BY MEANS OF HIS ACTIONS, BRAVO ALSO EFFECTIVELY CONCEALED FROM THE FIRM THAT THE INDIVIDUAL, WHOM IT HAD PREVIOUSLY REJECTED FOR REGISTRATIONS, WAS NEVERTHELESS WORKING OUT OF THE SAME OFFICE SPACE AS BRAVO.

Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/25/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: ONE YEAR

Start Date: 07/16/2012

End Date: 07/15/2013

Monetary Sanction 1 of 1

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

Total Amount: \$20,000.00

Portion Levied against individual: \$20,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, BRAVO



CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$20,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR ONE YEAR. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE ONE YEAR SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION WILL BE IN EFFECT FROM JULY 16, 2012 THROUGH JULY 15, 2013.

Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/12/2012
Docket/Case Number:	2011027760602
Employing firm when activity occurred which led to the regulatory action:	FIRST MIDWEST SECURITIES, INC; BROOKSTONE SECURITIES, INC.
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULES 2420, 3110: BRAVO, WHILE REGISTERED WITH TWO FINRA MEMBER FIRMS, DIRECTED THE PAYMENT OF SECURITIES COMPENSATION TO AN UNREGISTERED INDIVIDUAL. BRAVO HAD PREVIOUSLY WORKED WITH THE UNREGISTERED INDIVIDUAL AT OTHER MEMBER FIRMS. BRAVO CLAIMS THAT THE UNREGISTERED INDIVIDUAL PROVIDED HIM WITH STOCK RECOMMENDATIONS, BASED ON HIS STOCK RESEARCH. IN EXCHANGE FOR THE PURPORTED STOCK RESEARCH, WHICH BRAVO CLAIMS HE USED FOR HIS FIRM CUSTOMERS, BRAVO PAID THE UNREGISTERED INDIVIDUAL APPROXIMATELY 40% OF HIS BROKERAGE COMMISSIONS. IN TOTAL, BRAVO PAID THE UNREGISTERED INDIVIDUAL APPROXIMATELY \$255,298. BRAVO DID NOT DISCLOSE HIS COMMISSION PAYMENT ARRANGEMENT WITH THE UNREGISTERED INDIVIDUAL TO ANYONE AT HIS FIRMS. BRAVO SUBMITTED A FALSE AND MISLEADING COMPLIANCE QUESTIONNAIRE TO ONE OF HIS FIRMS, DENYING THAT ANY OTHER BUSINESSES WERE HOUSED AT HIS BRANCH OFFICE LOCATION. AT THE TIME THAT BRAVO ANSWERED "NO" TO THAT QUESTION, BRAVO KNEW THAT THE BUSINESS OPERATED BY THE UNREGISTERED INDIVIDUAL WAS HOUSED AT HIS BRANCH OFFICE. BY



SIGNING AND SUBMITTING THE COMPLIANCE QUESTIONNAIRE WITH THE INCORRECT INFORMATION, BRAVO CAUSED THE BOOKS AND RECORDS OF THE FIRM TO CONTAIN FALSE AND MISLEADING INFORMATION REGARDING THE COMPOSITION OF HIS BRANCH OFFICE. BY MEANS OF HIS ACTIONS, BRAVO ALSO EFFECTIVELY CONCEALED FROM THE FIRM THAT THE INDIVIDUAL, WHOM IT HAD PREVIOUSLY REJECTED FOR REGISTRATIONS, WAS NEVERTHELESS WORKING OUT OF THE SAME OFFICE SPACE AS BRAVO.

Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/25/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	ONE YEAR
Start Date:	07/16/2012
End Date:	07/15/2013
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$20,000.00
Portion Levied against individual:	\$20,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	09/03/2013



Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, BRAVO CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$20,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR ONE YEAR. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE ONE YEAR SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION WILL BE IN EFFECT FROM JULY 16, 2012 THROUGH JULY 15, 2013.



Regulatory - Pending

This type of disclosure event involves a pending formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory agency such as the Securities and Exchange Commission, foreign financial regulatory body) for alleged violations of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW YORK
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/04/2013
Docket/Case Number:	AOD# 13-387
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	FIRST MIDWEST SECURITIES, INC.; BROOKSTONE SECURITIES, INC.
Product Type:	No Product
Allegations:	AGENT PAID PERCENTAGE OF HIS COMMISSIONS TO AN UNREGISTERED REPRESENTATIVE AND FAILED TO DISCLOSE THE ARRANGEMENT TO FIRST MIDWEST AND LATER BROOKSTONE. THIS CAUSED THE BOOKS AND RECORDS OF THOSE FIRMS TO BE FALSE AND MISLEADING.
Current Status:	Pending
Limitation Details:	PENDING DUE TO INSTALLMENT PAYMENT PLAN IN EFFECT.
Resolution:	ASSURANCE OF DISCONTINUANCE (AOD)
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:	12/04/2013
Sanctions Ordered:	Monetary Penalty other than Fines

Monetary Sanction 1 of 1

Monetary Related Sanction:	Monetary Penalty other than Fines
-----------------------------------	-----------------------------------



Total Amount: \$3,000.00

Portion Levied against individual: \$3,000.00

Payment Plan: 500 PAID; 1250 DUE 6/04/2014; 1250 DUE 12/04/2014

Is Payment Plan Current: Yes

Date Paid by individual: 12/02/2013

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement TERMS OF THE AOD SHALL INCLUDE THE REPORTING OF COMPLAINTS, ARBITRATIONS, REGULATORY ACTIONS, CONVICTIONS, FINES, PROCEEDINGS. AOD SHALL BE IN EFFECT FOR ONE YEAR BUT MAY BE EXTENDED DUE TO ACTIONS, COMPLAINTS OR PROCEEDINGS OR BY A VIOLATION OF ITS TERMS.

Reporting Source: Broker

Regulatory Action Initiated By: NEW YORK

Sanction(s) Sought: Other: N/A

Date Initiated: 12/04/2013

Docket/Case Number: AOD# 13-387

Employing firm when activity occurred which led to the regulatory action: FIRST MIDWEST SECURITIES, INC.; BROOKSTONE SECURITIES, INC.

Product Type: No Product

Allegations: AGENT PAID PERCENTAGE OF HIS COMMISSIONS TO AN UNREGISTERED REPRESENTATIVE AND FAILED TO DISCLOSE THE ARRANGEMENT TO FIRST MIDWEST AND LATER BROOKSTONE. THIS CAUSED THE BOOKS AND RECORDS OF THOSE FIRMS TO BE FALSE AND MISLEADING.

Current Status: Pending

Limitation Details: PENDING DUE TO INSTALLMENT PAYMENT PLAN IN EFFECT.

Resolution: ASSURANCE OF DISCONTINUANCE (AOD)



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:	12/04/2013
Sanctions Ordered:	Monetary Penalty other than Fines
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$3,000.00
Portion Levied against individual:	\$3,000.00
Payment Plan:	500 PAID; 1250 DUE 6/04/2014; 1250 DUE 12/04/2014
Is Payment Plan Current:	Yes
Date Paid by individual:	12/02/2013
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	TERMS OF THE AOD SHALL INCLUDE THE REPORTING OF COMPLAINTS, ARBITRATIONS, REGULATORY ACTIONS, CONVICTIONS, FINES, PROCEEDINGS. AOD SHALL BE IN EFFECT FOR ONE YEAR BUT MAY BE EXTENDED DUE TO ACTIONS, COMPLAINTS OR PROCEEDINGS OR BY A VIOLATION OF ITS TERMS.



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source: Regulator

Initiated By: FINRA

Notice Date: 06/14/2021

Details: FINRA Case #20200668874. On June 14, 2021, FINRA made a preliminary determination to recommend that disciplinary action be brought against Jesus Bravo alleging violation of Securities Exchange Act of 1934 Section 10(b) and Rule 10b-5 and FINRA Rules 2020 and 2010 by churning customers' accounts; violation of FINRA Rules 2111 and 2010 by excessively trading customers' accounts; and violation of FINRA Rules 3260 and 2010 by engaging in unauthorized trading by unauthorized use of options in customers' accounts.

Is Investigation pending? Yes

Reporting Source: Broker

Initiated By: Financial Industry Regulatory Authority (FINRA)

Notice Date: 06/15/2021

Details: FINRA Case #20200668874. On June 14, 2021, FINRA made a preliminary determination to recommend that disciplinary action be brought against Jesus Bravo alleging violation of Securities Exchange Act of 1934 Section 10(b) and Rule 10b-5 and FINRA Rules 2020 and 2010 by churning customers' accounts; violation of FINRA Rules 2111 and 2010 by excessively trading customers' accounts; and violation of FINRA Rules 3260 and 2010 by engaging in unauthorized trading by unauthorized use of options in customers' accounts.

Is Investigation pending? Yes



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	THE THORNWATER CO LP
Allegations:	EXCESSIVE TRADING AND SUITABILITY
Product Type:	Equity - OTC
Alleged Damages:	\$8,800.00

Customer Complaint Information

Date Complaint Received:	04/14/2000
Complaint Pending?	No
Status:	Settled
Status Date:	06/28/2000
Settlement Amount:	\$8,800.00
Individual Contribution Amount:	\$2,000.00

**Financial - Final**

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

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	09/29/2016
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	UNITED STATES BANKRUPTCY COURT, EASTERN DISTRICT
Location of Court:	CENTRAL ISLIP, NEW YORK
Docket/Case #:	8-16-74520
Action Pending?	No
Disposition:	Discharged
Disposition Date:	01/11/2017



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:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$14,377.46
Judgment/Lien Type:	Tax
Date Filed with Court:	07/01/2019
Date Individual Learned:	07/08/2019
Type of Court:	COUNTY CLERKS OFFICE
Name of Court:	COUNTY CLERK, NASSAU COUNTY
Location of Court:	NASSAU COUNTY, NY
Docket/Case #:	CP71C
Judgment/Lien Outstanding?	Yes
Broker Statement	Due to a divorce we are working with the I.R.S Learned about tax lien last week. early july 2019

End of Report



This page is intentionally left blank.