

BrokerCheck Report

BOBBY O AJIBOYE

CRD# 3169782

Report #67866-41031, data current as of Sunday, July 06, 2014.

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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.

BOBBY O. AJIBOYE

CRD# 3169782

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
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

DEAN WITTER REYNOLDS INC.
 CRD# 7556
 PURCHASE, NY
 03/1999 - 03/2001

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	03/12/1999
Futures Managed Funds Examination	Series 31	03/31/1999

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	04/01/1999
Uniform Investment Adviser Law Examination	Series 65	03/29/1999

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
03/1999 - 03/2001	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, 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
12/1998 - Present	DEAN WITTER REYNOLDS INC.	WOODLAND HILLS, CA

Disclosure Events



What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:

- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	1	0



Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/17/2003
Docket/Case Number:	HPD# 04-8
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	
Allegations:	**10/17/2003**CHARGES ISSUED BY THE NYSE DIVISION OF ENFORCEMENT AND PENDING.CHARGE I: ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE SIGNED OR CAUSED TO BE SIGNED, THE NAME OF A CUSTOMER ON ONE OR MORE LETTER(S) OF AUTHORIZATION AUTHORIZING THE TRANSFER OF FUNDS AND/OR SECURITIES BETWEEN CUSTOMER ACCOUNTS.CHARGE II: ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE SUBMITTED ONE OR MORE LETTER(S) OF AUTHORIZATION TO HIS MEMBER ORGANIZATION EMPLOYER PURPORTEDLY BEARING A CUSTOMERS SIGNATURE, WHICH HE KNEW OR SHOULD HAVE KNOWN WAS NOT THE CUSTOMERS SIGNATURE.CHARGE III: ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE CAUSED SECURITIES TO BE TRANSFERRED FROM A CUSTOMERS ACCOUNT BASED ON LETTERS OF AUTHORIZATION NOT SIGNED BY THE CUSTOMER, TO THE ACCOUNT OF ANOTHER CUSTOMER, WHICH



SECURITIES WERE SOLD AND THE PROCEEDS OF THE SALES GIVEN TO HIM. CHARGE IV: CAUSED A VIOLATION OF EXCHANGE RULE 440 AND SECURITIES EXCHANGE ACT REGULATIONS 240.17A-3 AND 240.17A-4 BY SUBMITTING OR CAUSING TO BE SUBMITTED ONE OR MORE INACCURATE DOCUMENTS TO HIS MEMBER ORGANIZATION EMPLOYER IN CONNECTION WITH A CUSTOMER ACCOUNT. CHARGE V: VIOLATED EXCHANGE RULE 346(B) IN THAT HE ENGAGED IN OUTSIDE EMPLOYMENT AND RECEIVED COMPENSATION WITHOUT MAKING A WRITTEN REQUEST AND RECEIVING THE PRIOR CONSENT OF HIS MEMBER ORGANIZATION EMPLOYER. CHARGE VI: VIOLATED EXCHANGE RULE 408(A) IN THAT HE EXERCISED DISCRETIONARY POWER IN THE ACCOUNT OF A CUSTOMER WITHOUT FIRST OBTAINING THE WRITTEN AUTHORIZATION OF THE CUSTOMER.

Current Status: Final

Resolution: Decision

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: 02/20/2004

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered:

Sanction Details: **01/23/2004** HEARING PANEL DECISION 04-8 ISSUED BY NYSE HEARING PANEL. ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE SIGNED OR CAUSED TO BE SIGNED, THE NAME OF A CUSTOMER ON ONE OR MORE LETTER(S) OF AUTHORIZATION AUTHORIZING THE TRANSFER OF FUNDS AND/OR SECURITIES BETWEEN CUSTOMER ACCOUNTS; SUBMITTED ONE OR MORE LETTER(S) OF AUTHORIZATION TO HIS MEMBER ORGANIZATION EMPLOYER PURPORTEDLY BEARING A CUSTOMER'S SIGNATURE, WHICH HE KNEW OR SHOULD HAVE KNOWN WAS NOT THE CUSTOMER'S SIGNATURE; AND CAUSED SECURITIES TO BE TRANSFERRED FROM A CUSTOMER'S ACCOUNT BASED ON LETTERS OF AUTHORIZATION NOT SIGNED BY THE CUSTOMER, TO THE ACCOUNT OF ANOTHER CUSTOMER, WHICH SECURITIES WERE SOLD AND THE PROCEEDS OF THE SALES GIVEN TO HIM. CAUSED A VIOLATION OF EXCHANGE RULE 440 AND SECURITIES EXCHANGE ACT REGULATIONS 240.17A-3 AND 240.17A-4 BY SUBMITTING OR CAUSING TO BE SUBMITTED



ONE OR MORE INACCURATE DOCUMENTS TO HIS MEMBER ORGANIZATION EMPLOYER IN CONNECTION WITH A CUSTOMER ACCOUNT. VIOLATED EXCHANGE RULE 346(B) IN THAT HE ENGAGED IN OUTSIDE EMPLOYMENT AND RECEIVED COMPENSATION WITHOUT MAKING A WRITTEN REQUEST AND RECEIVING THE PRIOR CONSENT OF HIS MEMBER ORGANIZATION EMPLOYER. VIOLATED EXCHANGE RULE 408(A) IN THAT HE EXERCISED DISCRETIONARY POWER IN THE ACCOUNT OF A CUSTOMER WITHOUT FIRST OBTAINING THE WRITTEN AUTHORIZATION OF THE CUSTOMER. CENSURE AND PERMANENT BAR.

****02/20/2004**** THE DECISION IS NOW FINAL AND EFFECTIVE IMMEDIATELY. CONTACT: EVELYN PENA 212-656-5211

Regulator Statement

End of Report



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