

BrokerCheck Report

CHRISTINE JOELLE PETRAGLIA

CRD# 2000989

Report #18327-50555, data current as of Friday, March 28, 2014.

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About BrokerCheck®

BrokerCheck offers information on all current-and many former-FINRA-registered securities brokers, and all current and former FINRA-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.nasaa.org>.

- **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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

CHRISTINE J. PETRAGLIA

CRD# 2000989

Currently employed by and registered with the following FINRA Firm(s):**OBERON SECURITIES, LLC**1412 BROADWAY, 23RD FLOOR
NEW YORK, NY 10018
CRD# 132598

Registered with this firm since: 10/26/2010

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
- 1 U.S. state or territory

Is this broker currently suspended or inactive with any regulator? No**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 FINRA firm(s):****NILE CAPITAL, LLC**CRD# 122994
NEWTON, MA
08/2007 - 04/2009**CHICAGO INVESTMENT GROUP, LLC**CRD# 11853
CHICAGO, IL
04/2002 - 05/2003**JOHN NUVEEN & CO., INCORPORATED**CRD# 469
CHICAGO, IL
01/2000 - 06/2000**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
Termination	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 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **OBERON SECURITIES, LLC**
 Main Office Address: **1412 BROADWAY, 23RD FLOOR
 NEW YORK, NY 10018**
 Firm CRD#: **132598**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	10/26/2010
FINRA	Investment Banking Representative	APPROVED	10/26/2010

U.S. State/ Territory	Category	Status	Date
New York	Agent	APPROVED	10/29/2010

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 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	05/14/1991

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	09/05/2006

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 FINRA firms:

Registration Dates	Firm Name	CRD#	Branch Location
08/2007 - 04/2009	NILE CAPITAL, LLC	122994	NEWTON, MA
04/2002 - 05/2003	CHICAGO INVESTMENT GROUP, LLC	11853	CHICAGO, IL
01/2000 - 06/2000	JOHN NUVEEN & CO., INCORPORATED	469	CHICAGO, IL
11/1994 - 09/1999	OCC DISTRIBUTORS	18541	NEW YORK, NY
05/1991 - 04/1995	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY

Employment History

Below is the broker's employment history for up to the last 10 years.

Please note that the broker is required to provide this information only while registered with FINRA and the information is not updated 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
02/2010 - Present	OBERON SECURITIES	NEW YORK, NY
10/2008 - Present	CSIR GROUP, LLC	NEW YORK, NY
10/2006 - Present	SEVENTH CIRCLE CONSULTING, LLC	NEW YORK, NY
08/2006 - 03/2009	NILE CAPITAL, LLC.	NEW YORK, NY
02/2006 - 07/2006	MCC SECURITIES	NEW YORK, NY
12/2004 - 01/2006	LIGHTHOUSE FINANCIAL GROUP, LLC	NEW YORK, NY
08/2004 - 08/2004	BEAR WAGNER SPECIALISTS LLC	NEW YORK, NY
04/2003 - 08/2004	SKY INVESTOR RELATIONS	NEW YORK, NY

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) SEVENTH CIRCLE CONSULTING, LLC - CONSULTING WORK. ADDRESS: 435 EAST 65TH STREET, NEW YORK, NY 10021. TITLE: PRESIDENT. HOURS DEVOTED: 5%

Registration and Employment History



Other Business Activities, continued

FINANCIAL PUBLIC RELATIONS AND BUSINESS CONSULTING.

2) CSIR GROUP, LLC, PARTNER. ADDRESS: 1330 AV. OF THE AMERICAS, NEW YORK, NY 10019. FINANCIAL PUBLIC RELATIONS AND INVESTOR RELATIONS; WORKING WITH SMALL PRIVATE AND PUBLICLY TRADED COMPANIES TO ASSIST THEM IN CREATING MORE VISIBILITY. HOURS DEVOTED: 75%. THIS IS A SECURITIES RELATED OUTSIDE BUSINESS ACTIVITY. COMPENSATION: BASED ON RETAINER FEES PAID BY CLIENT.



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.
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.
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
Termination	N/A	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.

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	BEAR WAGNER SPECIALISTS LLC
Termination Type:	Discharged
Termination Date:	08/25/2004
Allegations:	SUBJECT'S FORM U-4 FILLED OUT WITH THE FIRM DID NOT MATCH THE EMPLOYMENT HISTORY IN WEBCRD; SPECIFICALLY, IT EXCLUDED MENTION OF SERIES 7 REGISTRATION AT CHICAGO INVESTMENT GROUP LLC FROM MARCH, 2002 TO MAY, 2003, WHICH COINCIDED FOR 6 MONTHS WITH SUBJECT'S EMPLOYMENT AT NYSE. THERE WERE TWO ADDITIONAL PAST EMPLOYMENT ENTRIES ON THE U-4 THAT WERE NOT APPARENT ON SUBJECT'S WEBCRD RECORD.
Product Type:	No Product
Other Product Types:	
Summary:	THE INDIVIDUAL ADMITTED THAT SHE "PARKED" HER LICENSE AT A BROKER-DEALER WHILE SHE WAS EMPLOYED AT THE NYSE. THE WEBCRD SYSTEM DID NOT DEPICT AN ACCURATE PICTURE OF HER EMPLOYMENT HISTORY AND WOULD NOT ALLOW CORRECTIONS TO ACCURATELY REFLECT SAME.

Reporting Source: Broker



Employer Name: BEAR WAGNER SPECIALISTS

Termination Type: Discharged

Termination Date: 08/25/2004

Allegations: BEAR WAGNER HAS MADE THE ALLEGATION THAT CHRISTINE PETRAGLIA HAD INCONSISTENCIES IN HER EMPLOYMENT HISTORY WITH THE FURTHER ALLEGATION THAT SHE "PARKED" HER LICENSE WITH A BROKER DEALER WHILE WORKING FOR THE NYSE.

Product Type: Other

Other Product Types:

End of Report



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