

**BrokerCheck Report**

**RONALD EDWARD BLAYLOCK**

CRD# 1447520

Report #12913-11779, data current as of Monday, January 19, 2015.

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Events	6

## 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 <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](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.**

**RONALD E. BLAYLOCK**

CRD# 1447520

**Currently employed by and registered with the following Firm(s):****BLAYLOCK BEAL VAN, LLC**

600 LEXINGTON AVENUE  
3RD FLOOR  
NEW YORK, NY 10022  
CRD# 145317

Registered with this firm since: 12/21/2007

**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

**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):****BLAYLOCK & COMPANY, INC.**

CRD# 35669  
NEW YORK, NY  
01/1994 - 05/2008

**UTENDAHL CAPITAL PARTNERS, L.P.**

CRD# 30115  
NEW YORK, NY  
07/1992 - 12/1993

**BROADCORT CAPITAL CORP.**

CRD# 13456  
NEW YORK, NY  
06/1992 - 07/1992

**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	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: **BLAYLOCK BEAL VAN, LLC**

Main Office Address: **600 LEXINGTON AVENUE  
3RD FLOOR  
NEW YORK, NY 10022**

Firm CRD#: **145317**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	12/21/2007
FINRA	General Securities Representative	APPROVED	12/21/2007

U.S. State/ Territory	Category	Status	Date
New York	Agent	APPROVED	01/09/2008

### 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, 1 general industry/product exam, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	01/19/1993

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	01/18/1986

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	07/23/1986

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/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
01/1994 - 05/2008	BLAYLOCK & COMPANY, INC.	35669	NEW YORK, NY
07/1992 - 12/1993	UTENDAHL CAPITAL PARTNERS, L.P.	30115	NEW YORK, NY
06/1992 - 07/1992	BROADCORT CAPITAL CORP.	13456	NEW YORK, NY
06/1986 - 05/1992	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
08/1987 - 10/1987	PAINWEBBER REAL ESTATE SECURITIES INC.	19736	
01/1986 - 03/1986	CITICORP SECURITIES MARKETS, INC.	7474	

### 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
08/2007 - Present	BLAYLOCK ROBERT VAN, LLC	NEW YORK, NY
03/2005 - Present	BLAYLOCK & COMPANY, INC.	NEW YORK, NY
12/1993 - Present	BLAYLOCK & CO., INC.	NEW YORK, NY
12/1993 - 03/2005	BLAYLOCK & PARTNERS, L.P.	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:GENNX 360 LLC,INVESTMENT RELATED, MANAGING MEMBER, MAY 2007, 300 PARK AVENUE, NYC, ADVISE THE COMPANY ON PRIVATE, TRANSACTIONS, 15HRS/MTH, 3HRS/DAY DURING TRADING HOURS; 2: RADIO ONE, INC., NON INVESTMENT-RELATED,5900 PRINCESS GARDEN PKWY, 8TH FL., LENHAM, MD 20706, COMMUNICATIONS, DIRECTOR,2001,4 HRS/MTH, 1 HR/DAY DURING TRADING HOURS, BOARD MEMBER; 3:

## Registration and Employment History



### Other Business Activities, continued

W.R. BERKLEY, INC., NON INVESTMENT-RELATED, 475 STEAMBOAT RD., GREENWICH, CT 06830, INSURANCE, DIRECTOR, 1999, 3HRS/MTH, 2 HRS/DAY DURING TRADING HOURS, BOARD MEMBER; 4: CARMAX 12800 TUCKAHOE CREEK PARKWAY, RICHMOND, VA 23238 NON INVESTMENT RELATED /AUTO SALES, BOARD MEMBER/DIRECTOR 3HRS/ MONTH 2HR/DAY DURING TRADING ; 5: CARNEGIE HALL 881 SEVENTH AVENUE NEW YORK, NY 10019 NON INVESTMENT/PERFORMING ARTS, BOARD MEMBER 2HRS/MONTH 2HRS DURING TRADING HOURS; 6 NEW YORK UNIVERSITY/STERN SCHOOL OF BUSINESS 25 W 4TH STREET NEW YORK, NY 10012 NON INVESTMENT RELATED/EDUCATION BOARD MEMBER 2HRS/MONTH 2HRS/DAY DURING TRADING HRS; 7 YOUTH INC 825 THIRD AVENUE NEW YORK, NY 10022 NON INVESTMENT RELATED/CHILDREN'S NON-PROFIT BOARD MEMBER 2HRS/MONTH, 1 HR/DAY DURING TRADING HOURS; 8 INNER CITY SCHOLARSHIP FUND 101 FIRST AVENUE SUITE 1400 NEW YORK 10022-4134 NON INVESTMENT RELATED / EDUCATION SCHOLARSHIP BOARD MEMBER 2HRS/MONTH 1HR/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:**
  - 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
Regulatory Event	0	1	0







## 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 involves (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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	10/26/2004
<b>Docket/Case Number:</b>	<a href="#">CAF040065</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	BLAYLOCK & PARTNERS, L.P.
<b>Product Type:</b>	Other: FUNDS
<b>Allegations:</b>	SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND SEC RULE 17A-3 PROMULGATED THEREUNDER, NASD CONDUCT RULES 2110 AND 3010 - RESPONDENT BLAYLOCK SUBMITTED, OR CAUSED OTHERS TO SUBMIT ON HIS BEHALF, FALSE AND INACCURATE EMPLOYEE EXPENSE REPORTS TO HIS BROKERAGE FIRM. THESE ENTRIES CAUSED BROKERAGE FIRM TO PAY BLAYLOCK APPROXIMATELY \$15,277 TO WHICH HE WAS NOT ENTITLED. IN ADDITION, BLAYLOCK WAS IMPROPERLY REIMBURSED A TOTAL OF APPROXIMATELY \$22,621. BY REASON OF THE FOREGOING, BLAYLOCK WRONGFULLY DIVERTED AND MISUSED EMPLOYER FUNDS, AND CAUSED HIS FIRM TO VIOLATE SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND SEC RULE 17A-3



PROMULGATED THEREUNDER.

**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:**

05/13/2005

**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**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY CAPACITY
<b>Duration:</b>	20 BUSINESS DAYS
<b>Start Date:</b>	05/18/2005
<b>End Date:</b>	06/15/2005

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$125,000.00**Portion Levied against individual:** \$125,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 05/23/2008**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS THEREFORE, HE IS FINED \$125,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS. THE SUSPENSION WILL BEGIN MAY 18, 2005 AND CONCLUDE JUNE 15, 2005.

**Reporting Source:** Broker**Regulatory Action Initiated By:** THE NATIONAL ASSOCIATION OF SECURITIES DEALERS (NASD)**Sanction(s) Sought:** Monetary Penalty other than Fines  
Suspension**Date Initiated:** 10/26/2004**Docket/Case Number:** [CAF040065](#)**Employing firm when activity occurred which led to the regulatory action:** BLAYLOCK & PARTNERS, L.P.**Product Type:** Other: FUNDS**Allegations:** THE NASD ALLEGES VIOLATIONS OF CONDUCT RULES 2110 AND 3110, SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND SEC RULE 17A-3 IN CONNECTION WITH THE SUBMISSION OF EMPLOYEE EXPENSE REPORTS TOTALING \$22,621 IN RELATED EXPENSES DURING THE TIME PERIOD OF JANUARY 31, 1997 THROUGH AUGUST 10, 2001.



<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	05/13/2005
<b>Sanctions Ordered:</b>	Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ALL CAPACITIES
<b>Duration:</b>	20 DAYS
<b>Start Date:</b>	05/18/2005
<b>End Date:</b>	06/15/2005
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Monetary Penalty other than Fines
<b>Total Amount:</b>	\$125,000.00
<b>Portion Levied against individual:</b>	\$125,000.00
<b>Payment Plan:</b>	2995.00 WAS DUE ON THE 20TH OF EACH MONTH STARTING AUGUST OF 2005
<b>Is Payment Plan Current:</b>	No
<b>Date Paid by individual:</b>	11/20/2008
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	

## End of Report



**This page is intentionally left blank.**