

**FINANCIAL INDUSTRY REGULATORY AUTHORITY**

**ARBITRATION PROCEEDING**

MOUAYAD SHAMMAMI,

Claimant,

v.

FINRA CASE NO.:08-01510

BROAD STREET SECURITIES, INC.  
PERSHING, LLC., and THE BANK OF  
NEW YORK MELLON, a foreign corporation,

Defendants.

\_\_\_\_\_/   
GREGORY J. ROHL (P39185)  
DONALD D. SULLIVAN (P57627)  
Attorneys for Plaintiff  
27780 Novi Rd., Ste. 270  
Novi, MI 48377  
(248) 380-9404  
\_\_\_\_\_/

**AFFIDAVIT OF ALFRED ALLOS**

AFFIANT, avers and attests that the following statements are truthful and accurate to the best of my knowledge and recollection, as follows:

1. I am over the age of eighteen (18) years of age and make this affidavit of sound mind and body.
2. I personally know the claimant, Mouyad “Mike” Shammami.
3. I was a stock broker responsible for the stock and equities account held by the claimant, Mouyad “Mike” Shammami from some time around 2002 to the 2006.
4. I worked for Broad Street Securities which is the brokerage that held his account.
5. There were hundreds of transactions made on the account of Mouyad “Mike” Shammami that were made by me, and the majority of trades were made with his authority using Day Trading Buying Power. A few trades were made by me, but I

would discuss with him all the activity because many trades were made within a day or two and I would tell him about all activity regardless of gains or losses.

6. I understand that Mr. Shammami claims to lack sophistication as an investor and a formal education, but he does have significant commercial holdings and net worth so I took him to be a very savvy businessman and a stock market investor.
7. The reason that I suggested to pay Mr. Shammami the sum of fourteen thousand (\$14,000.00) was to compensate him for his potential profits which he would have realized if I have purchased and sold the Lear Corporation stock as he requested which I failed to execute unfortunately.
8. Absolutely, my supervisor, Ms. Mary Mada, was fully aware of the losses on Mr. Shammami's account and tried to assist in justifying those losses by preparing amendments to investor objective forms which I was asked to have Mr. Shammami sign to protect Broad Street Securities.
9. Mary Mada was fully informed by me and fully aware of the activity in Mr. Shammami's account and that trades were being made with Day Trading Power to buy and sell equities on the same day.

FURTHER AFFIANT SAYETH NOT.

  
\_\_\_\_\_  
ALFRED ALLOS      May 23/09

State of \_\_\_\_\_ ss.}

BEFORE ME, personally appeared, Alfred Allos, who provided proof of identification in the form of a valid passport (Country: \_\_\_\_\_ No.: \_\_\_\_\_) and having

*Driver license No: Michigan*

*A-420-045-601-623*

been duly sworn to the truth under penalty of perjury executed the foregoing document on this  
\_\_\_\_\_ day of \_\_\_\_\_ 2009.

SEAL