

Edgar Filing: VFINANCE INC - Form 8-K

VFINANCE INC  
Form 8-K  
November 14, 2002

SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549  
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FORM 8-K  
CURRENT REPORT

PURSUANT TO SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934

November 14, 2002  
(Date of earliest event reported)

vFINANCE, INC.  
(Exact name of Registrant as specified in its charter)

Delaware  
(State of incorporation or  
organization)

1-11454-03  
(Commission File No.)

58-1974423  
(IRS Employer  
Identification No.)

3010 North Military Trail, Suite 300  
Boca Raton, Florida 33431  
(Address of principal executive offices)

(561) 981-1000  
(Registrant's telephone number, including area code)

Item 9. Regulation FD Disclosure

Simultaneously with the filing of the Company's Quarterly Report on Form 10-Q/A for the quarterly period ended September 30, 2002, the Company furnished the Securities and Exchange Commission with the written statements of the Chief Executive Officer and Chief Financial Officer of the Company required by Section 906 of the Sarbanes-Oxley Act of 2002. Such certifications are also being furnished herewith as Exhibits 99.1 and 99.2 pursuant to Regulation FD.

SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

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vFINANCE, INC.

By: \_\_\_/s/ Leonard J. Sokolow\_\_\_\_\_

Name: Leonard J. Sokolow

Title: Chief Executive Officer

Date: November 14, 2002

EXHIBIT INDEX

| Exhibit | Description   |
|---------|---|
| 99.1    | Certification of the Chief Executive Officer pursuant to Section 906 of the Sarbanes-Oxley Act of 2002. |
| 99.2    | Certification of the Chief Financial Officer pursuant to Section 906 of the Sarbanes-Oxley Act of 2002. |