



IAPD Report

WILLS SCHNEIDER HENRIQUEZ

CRD# 1872198

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

WILLS SCHNEIDER HENRIQUEZ (CRD# 1872198)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/10/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EZANA CAPITAL ADVISERS, LLC	CRD# 299451	07/06/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	NETWORK 1 FINANCIAL SECURITIES INC.	13577	BROOKLYN, NY	04/22/2013 - 05/02/2018
B	NEWPORT COAST SECURITIES, INC.	16944	BROOKLYN, NY	03/28/2011 - 12/31/2012
B	LEGEND SECURITIES, INC.	44952	NEW YORK, NY	12/11/2009 - 02/15/2011

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	4



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EZANA CAPITAL ADVISERS, LLC**
Main Address: BROOKLYN, NY
Firm ID#: 299451

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	07/06/2021

Branch Office Locations

EZANA CAPITAL ADVISERS, LLC
BROOKLYN, NY



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering 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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	05/02/2018
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General Securities Representative Examination (S7)	Series 7	11/15/1993
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State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	03/29/2022
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/01/1993
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/22/2013 - 05/02/2018	NETWORK 1 FINANCIAL SECURITIES INC.	CRD# 13577	BROOKLYN, NY
B	03/28/2011 - 12/31/2012	NEWPORT COAST SECURITIES, INC.	CRD# 16944	BROOKLYN, NY
B	12/11/2009 - 02/15/2011	LEGEND SECURITIES, INC.	CRD# 44952	NEW YORK, NY
B	07/12/2006 - 12/23/2009	EMERALD INVESTMENTS, INC.	CRD# 139511	NEW YORK, NY
B	04/19/2006 - 07/12/2006	SUCCESS TRADE SECURITIES, INC.	CRD# 46027	WASHINGTON, DC
B	12/08/2005 - 04/03/2006	LEMPERT BROTHERS INTERNATIONAL USA, INC.	CRD# 128241	NEW YORK, NY
B	03/01/2005 - 10/28/2005	ANDREW GARRETT INC.	CRD# 29931	NEW YORK, NY
B	12/18/2000 - 11/10/2003	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	09/28/1999 - 10/25/2000	FORDHAM FINANCIAL MANAGEMENT, INC.	CRD# 20996	NEW YORK, NY
B	10/28/1997 - 09/27/1999	CARNEGIE INVESTOR SERVICES INC.	CRD# 8295	NEW YORK, NY
B	04/10/1996 - 12/18/1997	MEYERS POLLOCK ROBBINS, INC.	CRD# 13436	NEW YORK, NY
B	11/28/1995 - 04/12/1996	BILTMORE SECURITIES, INC	CRD# 25023	FT. LAUDERDALE, FL
B	11/17/1995 - 12/06/1995	WINDSOR REYNOLDS SECURITIES, INC.	CRD# 6456	HONOLULU, HI
B	02/22/1995 - 08/30/1995	RICKEL & ASSOCIATES, INC.	CRD# 7839	NEW YORK, NY
B	10/31/1994 - 02/09/1995	MAIDSTONE FINANCIAL, INC.	CRD# 31804	NEW YORK, NY
B	06/17/1994 - 09/13/1994	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	06/28/1994 - 08/30/1994	WESTFIELD FINANCIAL CORPORATION	CRD# 8143	NEW YORK, NY
B	11/17/1993 - 03/22/1994	STRATTON OAKMONT INC.	CRD# 18692	LAKE SUCCESS, NY

EMPLOYMENT HISTORY

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

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2018 - Present	POLK AVE CAPITAL, INC	Small Business Services/Property Management	N	BROOKLYN, NY, United States
04/2013 - 05/2018	NETWORK 1 FINANCIAL SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	RED BANK, NJ, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

Polk Avenue Capital, Inc., 155 Water St., Ste. 32, Brooklyn, NY 11201. Start date: 5/23/2014. Owner. No duties. This is a corporation for tax purposes only. Not investment-related. No time devoted to the OBA during normal trading hours. Minimal time devoted during non-trading hours.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	4

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 06/21/2018

Docket/Case Number: [2017052703601](#)

Employing firm when activity occurred which led to the regulatory action: Network 1 Financial Securities Inc.

Product Type: Other: unspecified securities

Allegations: Without admitting or denying the findings, Henriquez consented to the sanctions and to the entry of findings that he effected discretionary transactions in customers' accounts without the customers providing him written authorization to utilize discretion and he did not obtain written authorization from his member firm to service the accounts on a discretionary basis. The findings stated that Henriquez mismarked order tickets as unsolicited when, in fact, the trades were solicited, thereby causing the firm to maintain inaccurate books and records.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:

06/21/2018

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

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	45 days
Start Date:	07/02/2018
End Date:	08/15/2018

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	Deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Network 1 Financial Securities, Inc.
Allegations:	Fees, Breach of Fiduciary Duty
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$204,600.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	19-01039
Filing date of arbitration/CFTC reparation or civil litigation:	04/16/2019

Customer Complaint Information

Date Complaint Received:	05/09/2019
Complaint Pending?	No
Status:	Settled
Status Date:	06/15/2020
Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	EMERALD INVESTMENTS, INC.
Allegations:	UNSUITABLE INVESTMENTS; FALSE AND MISLEADING STATEMENTS; FRAUD; NEGLIGENT MISREPRESENTATION; BREACH OF FIDUCIARY DUTY; BREACH OF THE COVENANTS OF GOOD FAITH AND FAIR DEALING; BREACH OF CONDUCT; VIOLATIONS OF SECTION 20 OF THE 1934 ACT



Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #10-01289](#)

Date Notice/Process Served: 03/16/2010

Arbitration Pending? No

Disposition: Award

Disposition Date: 06/28/2013

Disposition Detail: HENRIQUEZ IS LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$30,115.85 PLUS INTEREST IN THE SUM OF \$4,291.53 FOR A TOTAL AWARD IN THE AMOUNT OF \$34,407.38. HENRIQUEZ IS LIABLE FOR AND SHALL PAY TO CLAIMANT INTEREST AT THE RATE OF 3% PER ANNUM ON THE AWARD OF \$34,407.38 FROM JULY 1, 2013 UNTIL THE AWARD IS PAID IN FULL.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EMERALD INVESTMENTS, INC.

Allegations: CLAIMANT BELIEVES HER ACCOUNT WAS NOT MANAGED WITH HER BEST INTEREST IN MIND. 75% OF HER PORTFOLIO WAS INVESTED TROUBBLED STOCKS SUCH AS FANNIE MAE AND AIG, SPECULATING WITH NO EXIT PLAN OR STOP LOSSES. RESPONDENT SAYS CLAIMANT WAS INFORMED ABOUT THE INVESTMENT RISKS AND HAS HAD A HISTORY OF BUYING AGRESSIVE STOCKS AND THAT ALL TRANSACTIONS HE HAS MADE WAS WITH HER KNOWLEDGE. ON 8-13-10, THE CLAIMANT ASKED FOR PERMISSION FROM THE PANEL TO AMEND HER STATEMENT OF CLAIM AND ADD HER BROKER AS THE RESPONDENT.

Product Type: Equity-OTC

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): 100,000 PLUS REIMBURSMENT OF ALL FILING AND HEARING FEES AS WELL AS COSTS RELATING TO EXPERT WITNESS FEES, TRANSCRIPTS AND ANALYSIS.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [10-01289](#)

Date Notice/Process Served: 08/13/2010

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/28/2013

Monetary Compensation \$34,407.38



Amount:
Individual Contribution Amount: \$34,407.38

Broker Statement ON JUNE 29, 2013, WILLS S. HENRIQUEZ FILED A NOTICE OF PETITION TO VACATE AWARD WITH THE SUPREME COURT OF NEW YORK, COUNTY OF KINGS.

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: SUCCESS TRADE SECURITIES

Allegations: MR. HENRIQUEZ OPENED THIS ACCOUNT AT LEMPert BROTHER INTL. USA AT THE END OF MARCH 2006. ON APRIL 3RD, HE LEFT THE EMPLOY OF LEMPert AND MOVED TO SUCCESS. HE LIED TO THE CLIENT AND TOLD HER THAT HE JUST MOVED OFFICES WITHIN LEMPert AND PERSUADED HER TO SIGN DOCUMENTS MOVING THE ACCOUNT TO SUCCESS. AFTER SHE DISCOVERED THAT SHE MOVED HER ACCOUNT BASED ON MISLEADING INFORMATION "BORDERING ON THE CRIMINAL" SHE REQUESTED THAT HER ACCOUNT BE CLOSED AND THE MONEY SENT TO HER. NO ONE AT SUCCESS DEALT WITH HER SO SHE WROTE TO LEMPert REQUESTING THIS ACTION AND THEN TO THE CLEARING FIRM.

Product Type: Equity - OTC
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/09/2006
Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:
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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SUCCESS TRADE SECURITIES

Allegations: MR. HENRIQUEZ OPENED THIS ACCOUNT AT LEMPert BROHTER INTL. USA AT THE END OF MARCH 2006. ON APRIL 3RD, HE LEFT THE EMPLOY OF LEMPert AND MOVED TO SUCCESS. HE LIED TO CLIENT AND TOLD HER THAT HE JUST MOVED OFFICES WITHIN LEMPert AND PERSUADED HER TO SIGN DOCUMENTS MOVING THE ACCOUNT TO SUCCESS. AFTER SHE DISCOVERED THAT SHE MOVED HER ACCOUNT BASED ON MISLEADING INFORMATION "BORDERING ON THE CRIMINAL" SHE REQUESTED THAT HER ACCOUNT BE CLOSED AND THE MONEY SENT TO HER. NO ONE AT SUCCESS DEALT WITH HER SO SHE WROTE TO LEMPert REQUESTING THIS ACTION AND THEN TO THE CLEARING FIRM.

Product Type: Equity-OTC
Alleged Damages: \$0.00



Customer Complaint Information

Date Complaint Received: 05/09/2006
Complaint Pending? No
Status: Closed/No Action
Status Date: 12/27/2006
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 20060053997
Date Notice/Process Served: 12/27/2006
Arbitration Pending? No
Disposition: Dismissed
Disposition Date: 12/27/2006
Monetary Compensation Amount: \$0.00
Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FORDHAM FINANCIAL
Allegations: CLIENT EXPERIENCED MARKET CORRECTION
Product Type: Equity-OTC
Alleged Damages: \$64,000.00

Customer Complaint Information

Date Complaint Received: 05/06/2002
Complaint Pending? No
Status: Settled
Status Date: 06/06/2002
Settlement Amount: \$21,999.00
Individual Contribution Amount: \$12,000.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA - PHILADELPHIA

Docket/Case #: 01-01719-NY

Date Notice/Process Served: 05/02/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/06/2002

Monetary Compensation Amount: \$21,999.00

Individual Contribution Amount: \$12,000.00



End of Report

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