



IAPD Report

FRANCIS PATRICK GEMINO

CRD# 219616

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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

FRANCIS PATRICK GEMINO (CRD# 219616)

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 **04/21/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HENLEY & COMPANY LLC	CRD# 131453	09/22/2004
IA	HENLEY & COMPANY WEALTH MANAGEMENT LLC	CRD# 144884	01/14/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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
IA	HENLEY & COMPANY WEALTH MANAGEMENT LLC	144884	UNIONDALE, NY	03/11/2013 - 12/31/2019
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL	01/04/1999 - 12/31/2004
B	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL	11/26/1986 - 01/04/1999

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	1



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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HENLEY & COMPANY WEALTH MANAGEMENT LLC**
Main Address: 506 RXR PLAZA
UNIONDALE, NY 11556
Firm ID#: 144884

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	01/14/2020
IA New York	Investment Adviser Representative	Approved	04/08/2021

Branch Office Locations

HENLEY & COMPANY WEALTH MANAGEMENT LLC
506 RXR PLAZA
UNIONDALE, NY 11556

Employment 2 of 2

Firm Name: **HENLEY & COMPANY LLC**
Main Address: 506 RXR PLAZA
UNIONDALE, NY 11556
Firm ID#: 131453

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	09/22/2004
B FINRA	General Securities Representative	Approved	09/22/2004
B FINRA	Registered Options Principal	Approved	09/22/2004
B FINRA	Municipal Securities Principal	Approved	01/30/2006
B FINRA	Municipal Securities Representative	Approved	01/30/2006



Qualifications

Regulator	Registration	Status	Date
B FINRA	Investment Banking Representative	Approved	11/17/2009
B FINRA	Operations Professional	Approved	11/04/2011
B FINRA	Investment Banking Principal	Approved	10/01/2018
B Arizona	Agent	Approved	12/09/2009
B California	Agent	Approved	01/03/2005
B Colorado	Agent	Approved	01/03/2005
B Connecticut	Agent	Approved	09/21/2010
B District of Columbia	Agent	Approved	01/27/2005
B Florida	Agent	Approved	01/05/2005
B Georgia	Agent	Approved	02/01/2005
B Indiana	Agent	Approved	01/14/2008
B Nevada	Agent	Approved	02/11/2005
B New Jersey	Agent	Approved	01/04/2005
B New York	Agent	Approved	10/02/2004
B North Carolina	Agent	Approved	02/04/2005
B Ohio	Agent	Approved	04/14/2010
B Pennsylvania	Agent	Approved	01/03/2005
B South Carolina	Agent	Approved	02/01/2005
B Virginia	Agent	Approved	01/03/2005



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	01/04/2005
B Wyoming	Agent	Approved	01/03/2005

Branch Office Locations

HENLEY & COMPANY LLC
506 RXR PLAZA
UNIONDALE, NY 11556






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 3 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.


Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	01/27/2006
 Registered Options Principal Examination (S4)	Series 4	07/19/1990
 General Securities Principal Examination (S24)	Series 24	12/04/1987

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Interest Rate Options Examination (S5)	Series 5	10/12/1981
 Registered Representative Examination (S1)	Series 1	08/09/1973

State Securities Law Exams


Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/17/2010



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/22/1980

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
IA	03/11/2013 - 12/31/2019	HENLEY & COMPANY WEALTH MANAGEMENT LLC	CRD# 144884	UNIONDALE, NY
B	01/04/1999 - 12/31/2004	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	11/26/1986 - 01/04/1999	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	01/24/1985 - 04/07/1986	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	04/01/1980 - 01/28/1985	OPPENHEIMER & CO., INC.	CRD# 630	
B	01/31/1980 - 10/10/1980	PAINE, WEBBER, JACKSON & CURTIS INC.	CRD# 8174	
B	01/02/1980 - 01/31/1980	PAINE, WEBBER, JACKSON & CURTIS INCORPORATED	CRD# 640	
B	05/05/1978 - 01/31/1980	BLYTH EASTMAN DILLON & CO. INCORPORATED	CRD# 6361	
B	08/07/1975 - 04/03/1977	BUTCHER & SINGER INC.	CRD# 6517	
B	08/14/1973 - 09/21/1975	EDWARDS & HANLY	CRD# 6554	

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
09/2007 - Present	HENLEY & COMPANY WEALTH MANAGEMENT LLC	MANAGING DIRECTOR	Y	UNIONDALE, NY, United States
06/2004 - Present	HENLEY & COMPANY LLC	MANAGING MEMBER-CHAIRMAN	Y	UNIONDALE, NY, United States
06/2004 - Present	HENLEY & COMPANY WEALTH MANAGEMENT LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	UNIONDALE, NY, United States



Registration & Employment History



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.

No information reported.



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	1

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: MASSACHUSETTS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/17/1990

Docket/Case Number: 89-260

Employing firm when activity occurred which led to the regulatory action: ROBERT THOMAS SECURITIES, INC.

Product Type: No Product

Other Product Type(s):

Allegations: GEMINO FAILED TO REASONABLY SUPERVISE BY ALLOWING AN UNREGISTERED INDIVIDUAL TO TRADE.

Current Status: Final

Resolution: Order

Resolution Date: 01/17/1990

Sanctions Ordered: Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: GEMINO ORDERED TO COMPLY WITH M.G.L. C. 110A AND PAY \$1,000.00.



Reporting Source:	Individual
Regulatory Action Initiated By:	COMMONWEALTH OF MASSACHUSETTS
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	09/01/1989
Docket/Case Number:	89-2620
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	NOT PROVIDED
Allegations:	VIOLATION OF M.G.L. C110A (THE "ACT") IN THAT MR. GEMINO FAILED TO REASONABLY SUPERVISE HIS AGENTS' UNREGISTERED OFFERING AND SELLING OF SECURITIES IN THE STATE OF MASSACHUSETTS.
Current Status:	Final
Resolution:	Consent
Resolution Date:	01/19/1990
Sanctions Ordered:	Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	RESPONDENTS' OFFER OF SETTLEMENT WAS ACCEPTED BY THE COMMONWEALTH. MR. GEMINO WILL COMPLY WITH THE PROVISIONS OF THE MASSACHUSETTS SECURITIES ACT, M.G.L. C.110A, AND HE WILL PAY A FINE OF \$1,000 TO THE DIVISION.
Broker Statement	NOT PROVIDED



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 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HENLEY & COMPANY LLC

Allegations: Customer alleges Firm failed to provide reasonable, adequate and meaningful supervision over Firm's branch office, allowing its registered representative, to carry out a Ponzi scheme to defraud and misappropriate approximately \$1,000,000.00.

Product Type: Other: Non-broker dealer affiliate product

Alleged Damages: \$1,000,000.00

Arbitration Information

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

Docket/Case #: 21-03034

Date Notice/Process Served: 12/16/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/19/2023

Monetary Compensation Amount: \$450,000.00

Individual Contribution Amount: \$0.00

Broker Statement Customers filed FINRA arbitration alleging failure to supervise. Respondents settled without any admission of fault. Henley & Company LLC paid \$274,500.00 of the settlement, and a third party paid \$175,500 of the settlement.



End of Report

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