



## IAPD Report

# CONFERENCE GODWIN GBAJE

CRD# 2294268

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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

### CONFERENCE GODWIN GBAJE (CRD# 2294268)

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 **12/02/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	02/18/2022
<b>IA</b>	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	03/04/2022

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **20** 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>B</b>	AEGIS CAPITAL CORP.	15007	NEW YORK, NY	03/23/2010 - 03/17/2022
<b>B</b>	GUNNALLEN FINANCIAL, INC	17609	NEW YORK, NY	03/20/2007 - 03/29/2010
<b>B</b>	MAXIM GROUP LLC	120708	NEW YORK, NY	10/23/2002 - 04/13/2007

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
Customer Dispute	3
Judgment/Lien	2



## 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 **20** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **A.G.P / ALLIANCE GLOBAL PARTNERS**  
Main Address: 88 POST ROAD WEST  
2ND FLOOR  
WESTPORT, CT 06880  
Firm ID#: 8361

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	02/18/2022
<b>B</b>	FINRA	General Securities Representative	Approved	02/18/2022
<b>B</b>	FINRA	Investment Banking Representative	Approved	02/18/2022
<b>B</b>	Nasdaq Stock Market	General Securities Principal	Approved	02/18/2022
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	02/18/2022
<b>B</b>	California	Agent	Approved	02/18/2022
<b>B</b>	Colorado	Agent	Approved	04/19/2022
<b>B</b>	District of Columbia	Agent	Approved	02/18/2022
<b>B</b>	Florida	Agent	Approved	02/18/2022
<b>B</b>	Georgia	Agent	Approved	03/03/2022
<b>B</b>	Illinois	Agent	Approved	06/07/2022
<b>B</b>	Louisiana	Agent	Approved	03/25/2022
<b>B</b>	Maryland	Agent	Approved	02/22/2022



## Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	03/16/2022
B	Mississippi	Agent	Approved	02/18/2022
B	New Jersey	Agent	Approved	02/18/2022
B	New York	Agent	Approved	02/18/2022
IA	New York	Investment Adviser Representative	Approved	03/04/2022
B	North Carolina	Agent	Approved	03/21/2022
B	Ohio	Agent	Approved	03/25/2022
B	Pennsylvania	Agent	Approved	02/18/2022
B	Rhode Island	Agent	Approved	02/18/2022
B	South Carolina	Agent	Approved	03/30/2022
B	Texas	Agent	Approved	02/18/2022
B	Virginia	Agent	Approved	03/18/2022
B	Wisconsin	Agent	Approved	03/18/2022

## Branch Office Locations

### A.G.P / ALLIANCE GLOBAL PARTNERS

40 Wall Street  
New York, NY 10005



## 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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	09/12/1997

#### General Industry/Product Exams

	Exam	Category	Date
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	12/01/2020
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/23/1993

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/01/2020
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/09/1993



### 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>B</b>	03/23/2010 - 03/17/2022	AEGIS CAPITAL CORP.	CRD# 15007	NEW YORK, NY
<b>B</b>	03/20/2007 - 03/29/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	NEW YORK, NY
<b>B</b>	10/23/2002 - 04/13/2007	MAXIM GROUP LLC	CRD# 120708	NEW YORK, NY
<b>B</b>	12/18/2000 - 10/23/2002	INVESTEC ERNST & COMPANY	CRD# 266	NEW YORK, NY
<b>B</b>	10/08/1996 - 12/18/2000	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY
<b>B</b>	01/15/1996 - 10/03/1996	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
<b>B</b>	03/02/1995 - 01/22/1996	LEW LIEBERBAUM & CO., INC.	CRD# 17341	GARDEN CITY, NY
<b>B</b>	03/30/1994 - 09/23/1994	A. R. BARON & CO., INC.	CRD# 29285	NEW YORK, NY
<b>B</b>	09/08/1993 - 01/06/1994	EMANUEL AND COMPANY	CRD# 7309	NEW YORK, 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
03/2010 - Present	AEGIS CAPITAL CORP.	REGISTERED REP	Y	NEW YORK, NY, 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.

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
Customer Dispute	3
Judgment/Lien	2

### 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 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GUNN ALLEN FINANCIAL INC.

**Allegations:** CLAIMANT ALLEGES UNSUITABILITY, FAILURE TO DISCLOSE RISKS, CHURNING AND EXCESSIVE COMMISSIONS. CLAIMANT WAS IN COMPLETE CONTROL OF HIS ACCOUNT AT ALL TIMES. CLAIMANT DIRECTED, AUTHORIZED, AND FUNDED EVERY TRANSACTION THAT WAS EXECUTED IN HIS ACCOUNT. THE CLAIMS WILL BE DEFENDED VIGOROUSLY.

**Product Type:** Options

**Alleged Damages:** \$300,000.00

#### Arbitration Information

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

**Docket/Case #:** 11-00504

**Date Notice/Process Served:** 02/21/2011

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/20/2015



**Monetary Compensation Amount:** \$11,000.00

**Individual Contribution Amount:** \$11,000.00

### Disclosure 2 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** GRUNTAL & CO., L.L.C.

**Allegations:** THE CLIENT ALLEGED UNSUITABLE RECOMMENDATIONS AND MISREPRESENTATION CONCERNING THE GROWTH OF MICRON TECHNOLOGIES & PAPER CLIP IMAGING STOCKS. THE CLIENT ALSO ALLEGED THAT MR. GBAJE URGED HIM TO PURCHASE CALL OPTIONS DESPITE HIS STRONG OBJECTIONS. THE CLIENT CLAIMED LOSSES OF APPROXIMATELY \$40,000.00

**Product Type:**

**Alleged Damages:** \$40,000.00

### Customer Complaint Information

**Date Complaint Received:** 02/23/1998

**Complaint Pending?** No

**Status:** Denied

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** GRUNTAL & CO., L.L.C. INVESTIGATED THE CLIENT'S ALLEGATIONS AND CONCLUDED THAT THEY WERE WITHOUT MERIT. THIS MATTER IS NOT REPORTABLE UNDER THE NASD GUIDELINES. PLEASE ARCHIVE THIS RECORD.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GRUNTAL & CO., L.L.C.

**Allegations:** CLIENT ALLEGES UNSUITABLE RECOMMENDATIONS & MISREPRESENTATION CONCERNING THE GROWTH OF NUCRON TECHNOLOGIES AND PAPER CHIP IMAGING STOCKS. CLIENT ALSO ALLEGES THAT I URGED HIM TO PURCHASE CALL OPTIONS DESPITE HIS STRONG OBJECTIONS. THE CLIENT CLAIMS LOSS OF \$40,000.

**Product Type:** Equity - OTC

**Alleged Damages:** \$40,000.00

### Customer Complaint Information

**Date Complaint Received:** 02/23/1998



**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/21/1998

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** GRUNTAL & CO LLC INVESTIGATED THE CLIENT'S ALLEGATIONS AND CONCLUDED THAT THEY WERE WITHOUT MERIT NOT PROVIDED

**Disclosure 3 of 3**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** GRUNTAL & CO., L.L.C.

**Allegations:** THE CLIENTS ALLEGED THAT MR. GBAJE DID NOT FULLY DISCLOSE THE NATURE OF OPTIONS TRADING. THEY FURTHER ALLEGED THE UNAUTHORIZED USE OF MARGIN. NO SPECIFIC DAMAGES OR CLAIMS WERE CITED.

**Product Type:****Alleged Damages:****Customer Complaint Information**

**Date Complaint Received:** 01/21/1997

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** GRUNTAL & CO., L.L.C., WITHOUT ADMITTING OR DENYING LIABILITY, CANCELLED THE TWO DISPUTED TRADES, TEN JOHNSON & JOHNSON OCTOBER 55 CALL CONTRACTS AND 100 SHARES OF ASHANTI OIL FIELDS, AT NO COST TO THE CUSTOMERS.  
Not Provided

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GRUNTAL & CO., L.L.C.

**Allegations:** THE CLIENTS ALLEGED THAT MR. GBAJE DID NOT FULLY DISCLOSE THE NATURE OF THE OPTIONS TRADING. THEY FURTHER ALLEGED THE UNAUTHORIZED USE OF MARGINS. NO SPECIFIC DAMAGES



OR CLAIMS WERE CITED.

**Product Type:** Equity - OTC

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:** 01/21/1997

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/07/1997

**Settlement Amount:**

**Individual Contribution Amount:** \$0.00

**Broker Statement** GRUNTEL & CO., L.L.C. WITHOUT ADMITTING OR DENYING LIABILITY CANCELLED THE TWO DISPUTED TRADES. TEN JOHNSON & JOHNSON OCTOBER 55 CALL CONTRACTS AND 100 SHARES OF ASHANTI FULL GOLD FIELDS, AT NO COST TO THE CUSTOMER. NOT PROVIDED



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$10,160.86
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	08/18/2022
<b>Date Individual Learned:</b>	10/10/2022
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Kings County, NY
<b>Location of Court:</b>	Kings County, NY
<b>Docket/Case #:</b>	2022000350422
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	There is an installment agreement in place to make monthly payments towards the outstanding balance of 10,160.86, not 30,086.69.

### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	INTERNAL REVENUE SERVICE
<b>Judgment/Lien Amount:</b>	\$76,217.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	08/16/2019
<b>Date Individual Learned:</b>	09/23/2019
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	County Clerk's Office
<b>Location of Court:</b>	KINGS COUNTY NEW YORK
<b>Docket/Case #:</b>	2019000279260
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	There is an installment agreement in place to make monthly payments towards the outstanding balance.



## End of Report

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