



IAPD Report

HENRY J LIU

CRD# 2428803

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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

HENRY J LIU (CRD# 2428803)

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 **11/03/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	03/10/2011
IA	AEGIS CAPITAL CORP.	CRD# 15007	03/11/2011

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and 2 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	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY	06/07/2004 - 12/16/2010
IA	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY	06/07/2004 - 12/16/2010
IA	QUICK & REILLY, INC.	11217	NEW YORK, NY	11/25/2002 - 06/17/2004

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	7
Termination	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 2 jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**
Main Address: 1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105
Firm ID#: 15007

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/10/2011
B Nasdaq Stock Market	General Securities Representative	Approved	09/09/2011
IA California	Investment Adviser Representative	Approved	03/11/2011
B New York	Agent	Approved	03/15/2011
IA New York	Investment Adviser Representative	Approved	07/26/2021

Branch Office Locations

AEGIS CAPITAL CORP.
1305 WALT WHITMAN RD
SUITE 120
MELVILLE, NY 11747




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
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	04/20/1999

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	05/22/1995
 General Securities Representative Examination (S7)	Series 7	03/15/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/13/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/26/1994

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	06/07/2004 - 12/16/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
IA	06/07/2004 - 12/16/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
IA	11/25/2002 - 06/17/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	08/07/2000 - 06/17/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	05/19/1998 - 08/07/2000	FLEET ENTERPRISES, INC.	CRD# 17434	NEW YORK, NY
B	05/11/1995 - 03/12/1998	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	10/14/1994 - 04/25/1995	STRATTON OAKMONT INC.	CRD# 18692	LAKE SUCCESS, NY
B	03/16/1994 - 06/23/1994	BARABAN SECURITIES, INC.	CRD# 7659	LOS ANGELES, CA

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
03/2011 - 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.

1) HOMELAND 88 LLC. 46 MCGOVERN DR. MELVILLE, NY 11747 - SOLE OWNER, REAL ESTATE MANAGEMENT START DATE: MAY 2013, 10-15 HOURS PER WEEK DURING NON SECURITIES 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
Customer Dispute	7
Termination	1

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 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AEGIS CAPITAL CORP.
Allegations:	Claimant alleges unsuitable investment recommendation and breach of fiduciary duty
Product Type:	Other: Alternative Investment
Alleged Damages:	\$50,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant alleges \$50k-100k
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Finra, Denver CO
Docket/Case #:	22-02040
Filing date of arbitration/CFTC reparation or civil litigation:	09/07/2022

**Customer Complaint Information**

Date Complaint Received: 09/08/2022
Complaint Pending? No
Status: Settled
Status Date: 10/10/2022
Settlement Amount: \$20,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 7

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.
Allegations: CLIENT ALLEGES RR FORGED HIS SIGNATURE ON A "C" SHARE FORM. ACTIVITY DATES 07/18/07-03/17/08.
Product Type: Mutual Fund
Alleged Damages: \$284.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/06/2009
Complaint Pending? No
Status: Denied
Status Date: 07/02/2009
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Broker Statement

CLIENT'S INVESTMENT ACCOUNT WAS OPENED JULY 2007. SHE KNEW WHAT WE DISCUSSED AND AGREED TO INVEST INTO BALANCED MUTUAL FUND. SHE CHANGED HER MIND WHEN SHE SAW THE FUNDS WENT DOWN AFTER A WEEK. I HELPED HER TO CANCEL THE TRADE AND TOOK THE FULL RESPONSIBILITY. SHE DECIDE TO INVEST \$10,000 INTO FRANKLIN STRATEGIC INCOME FUNDS NINE MONTHS LATER. SHE SIGNED C SHARE ACKNOWLEDGEMENT AT THAT TIME. CLIENT DID NOT SAY ANYTHING IN THE FIRST FEW MONTH WHEN THE FUNDS GONE UP ALMOST THREE PERCENT IN FIRST THREE MONTH. SIX MONTH LATER SHE CAME AND REQUESTED TO CANCEL THE TRADE WHEN THE FUNDS DOWN TEN PERCENT. SHE SAID THAT SHE DID NOT NEED TO SEE ME IF SHE MADE MONEY. SHE AGREED TO LEAVE THE FUND FOR LONG TERM AFTER LONG DISCUSSION. I ONLY PROMISED TO REVIEW AND RE-BALANCE HER PORTFOLIO PERIODICALLY IN ORDER TO RECOVER THE LOSS FAST.



I DID NOT DO ANYTHING WRONG IN THIS INVESTMENT.

Disclosure 3 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES MISREPRESENTATION RELATING TO A MUTUAL FUND INVESTMENT. ACTIVITY DATES 02/07/07-05/13/08.

Product Type: Mutual Fund

Alleged Damages: \$23,368.47

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/10/2009

Complaint Pending? No

Status: Denied

Status Date: 06/09/2009

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING RELATING TO A MUTUAL FUND INVESTMENT. ACTIVITY DATES 04/27/2007-04/27/2007.

Product Type: Mutual Fund(s)

Alleged Damages: \$11,356.55

Customer Complaint Information

Date Complaint Received: 01/23/2009

Complaint Pending? No

Status: Denied

Status Date: 03/26/2009

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

**Disclosure 5 of 7**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES MISREPRESENTATION RELATING TO A MUTUAL FUND INVESTMENT.

Product Type: Mutual Fund(s)

Alleged Damages: \$153,712.87

Customer Complaint Information

Date Complaint Received: 01/05/2009

Complaint Pending? No

Status: Denied

Status Date: 04/10/2009

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES MISREPRESENTATION RELATING TO A MUTUAL FUND INVESTMENT.

Product Type: Mutual Fund(s)

Alleged Damages: \$9,091.20

Customer Complaint Information

Date Complaint Received: 11/28/2008

Complaint Pending? No

Status: Denied

Status Date: 02/06/2009

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 7 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:



Allegations: CUSTOMER ALLEGED THAT HE "DID NOT ASK MR. LIU TO BUY" 1400 SHARES OF SPYG BUT "SOMEHOW HE BOUGHT THE FOR HIM". ALLEGED DAMAGES IN EXCESS OF \$5,000.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/11/1998

Complaint Pending? No

Status: Settled

Status Date: 05/26/1998

Settlement Amount: \$1,500.00

Individual Contribution Amount:

Firm Statement SOLELY TO AVOID THE TIME, EXPENSE AND UNCERTAINTY OF LITIGATION, AND WITHOUT ADMITTING ANY LIABILITY WHATSOEVER, THE FIRM SETTLED THIS MATTER FOR \$1,500. THE CUSTOMER SIGNED A GENERAL RELEASE. I VEHEMENTLY DENY THE ALLEGATIONS

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGED THAT WE "DID NOT ASK MR. LIU TO BUY" 1400 SHARES OF SPYG BUT" SOMEHOW HE BOUGHT THEM FOR HIM. ALLEGED DAMAGES IN EXCESS OF \$5000.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/11/1998

Complaint Pending? No

Status: Settled

Status Date: 05/26/1998

Settlement Amount: \$1,500.00

Individual Contribution Amount:

Broker Statement SOLEY TO AVOID THE TIME, EXPENSE AND UNCERTAINTY OF LITIGATION AND WITHOUT ADMITING ANY LIABILITY WHATSOEVER, THE FIRM SETTLED THIS MATTER FOR \$1,500 THE CUSTOMER SIGNED A GENERAL RELEASE. I BELIEVE THAT THE CUSTOMER DID NOT COMPLAINT ABOUT ME REALLY HAS COMPLAINT IN ABOUT DEAN WITTER. I WAS NOT REQUIRED TO PARTICIPATE IN THE SETTLEMENT OF \$1,500 FOR THE CUSTOMER.



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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: JPMCHASE BANK
Termination Type: Discharged
Termination Date: 11/19/2010
Allegations: DURING A BRANCH AUDIT, THE PRESENCE OF PRE-SIGNED ACCOUNT DOCUMENTS WAS UNCOVERED.
Product Type: No Product

Reporting Source: Individual
Firm Name: JPMCHASE BANK
Termination Type: Discharged
Termination Date: 11/19/2010
Allegations: DURING A BRANCH AUDIT, THE PRESENCE OF A PRE-SIGNED ACCOUNT DOCUMENTS WAS UNCOVERED
Product Type: No Product



End of Report

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