



## IAPD Report

# TONY ESSES

CRD# 4643285

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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

### TONY ESSES (CRD# 4643285)

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 **03/25/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	SNOWDEN ACCOUNT SERVICES LLC	CRD# 149794	06/21/2021
<b>IA</b>	SNOWDEN CAPITAL ADVISORS LLC	CRD# 157299	07/02/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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>IA</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	MIAMI, FL	03/03/2014 - 06/24/2021
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	MIAMI, FL	02/24/2014 - 06/24/2021
<b>IA</b>	BARCLAYS CAPITAL INC.	19714	MIAMI, FL	02/22/2011 - 03/14/2014

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	1
Judgment/Lien	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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **SNOWDEN ACCOUNT SERVICES LLC**  
Main Address: 540 MADISON AVE  
9TH FLOOR  
NEW YORK, NY 10022  
Firm ID#: 149794

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	06/21/2021
<b>B</b> California	Agent	Approved	06/21/2021
<b>B</b> Colorado	Agent	Approved	08/11/2021
<b>B</b> Connecticut	Agent	Approved	03/26/2026
<b>B</b> Florida	Agent	Approved	06/21/2021
<b>B</b> New Jersey	Agent	Approved	12/11/2024
<b>B</b> New York	Agent	Approved	06/21/2021
<b>B</b> South Dakota	Agent	Approved	12/11/2024

#### Branch Office Locations

One Alhambra Plaza  
Suite 1130  
Coral Gables, FL 33134

#### Employment 2 of 2

Firm Name: **SNOWDEN CAPITAL ADVISORS LLC**  
Main Address: 540 MADISON AVE.  
9TH FLOOR  
NEW YORK, NY 10022



## Qualifications

Firm ID#: 157299

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/02/2021

## Branch Office Locations

### SNOWDEN CAPITAL ADVISORS LLC

One Alhambra Plaza  
Suite 1130  
Coral Gables, FL 33134



## 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 1 state securities law exam.**

#### 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	10/01/2018
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General Securities Representative Examination (S7)	Series 7	06/09/2003
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/17/2011
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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
IA	03/03/2014 - 06/24/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	MIAMI, FL
B	02/24/2014 - 06/24/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	MIAMI, FL
IA	02/22/2011 - 03/14/2014	BARCLAYS CAPITAL INC.	CRD# 19714	MIAMI, FL
B	06/30/2010 - 03/14/2014	BARCLAYS CAPITAL INC.	CRD# 19714	MIAMI, FL
B	01/01/2005 - 06/29/2010	HSBC SECURITIES (USA) INC.	CRD# 19585	MIAMI, FL
B	06/11/2003 - 01/01/2005	HSBC BROKERAGE (USA) INC.	CRD# 6956	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
06/2021 - Present	Snowden Lane Partners	Managing Director	Y	Coral Gables, FL, United States
11/2016 - 06/2021	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	MIAMI, FL, United States
02/2014 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	MIAMI, FL, 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)NRT, LLC; INV RELATED, NORTH MIAMI, FL, START: 01/01/2004, 1 HOUR PER MONTH/0 DURING TRADING. NO DUTIES.
- 2) THE ESSES FAMILY TRUST; REAL ESTATE; INVESTOR; 06/01/2011
- 3) TDJ HOLDINGS LLC; INV RELATED; MIAMI BEACH, FL; RESIDENTIAL RENTAL PROPERTY; 100% OWNERSHIP; START 3/22/2011; 2 HOURS PER MONTH, 0 DURING TRADING; MANAGER.
- 4) ESSES REAL ESTATE HOLDINGS LLC, INV RELATED, MIAMI BEACH, FL, 100% OWNERSHIP, START 1/31/2018, 2 HOURS PER MONTH, ZERO DURING TRADING, MANAGE REAL ESTATE.



## 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	1
Judgment/Lien	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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Wells Fargo Clearing Services, LLC, Barclays Banks, PLC, Barclays Capital, Inc, HSBC Bank
<b>Allegations:</b>	Arbitration: Claimant alleges that due to the FA negligence, at least \$2,345,898.00 was fraudulently transferred from the Claimant's accounts to accounts in an unrelated outside third party's name. Litigation:Plaintiff alleges that contrary to their fiduciary duties of care, loyalty, good faith and disclosure, the FA and his wife assisted an unrelated outside third party hired by Plaintiff in misappropriating Plaintiff's funds.
<b>Product Type:</b>	Other: Miscellaneous
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Arbitration: Claimant is seeking an unspecified amount in compensatory damages. Litigation:Plaintiff demands judgment for damages "in excess of \$750,000.00", interest as allowed by law and any additional relief this court deems just and proper
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	20-01882
<b>Date Notice/Process Served:</b>	06/17/2020



**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 12/21/2022  
**Monetary Compensation Amount:** \$2,500,000.00  
**Individual Contribution Amount:** \$0.00

**Civil Litigation Information**

**Type of Court:** State Court  
**Name of Court:** In the Circuit Court for the Eleventh Judicial Circuit In and For Miami-Dade County, FL  
**Location of Court:** Miami-Dade, FL  
**Docket/Case #:** 2018-009239-CA-01  
**Date Notice/Process Served:** 06/29/2018  
**Litigation Pending?** No  
**Disposition:** Dismissed  
**Disposition Date:** 12/19/2022

**Firm Statement** This update was made based off of U5 and U4 amendments filed by firms other than Wells Fargo Clearing Services. Wells Fargo did not participate in the reported settlement. Per U5 Amendment filed by HSBC Securities- Wells Fargo is not involved with the settlement Per U4 amendment filed by Snowden Account Services: This matter has been dismissed on 12/16/2022

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**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** HSBC Securities (USA) Inc.

**Allegations:** Plaintiff alleges that contrary to their fiduciary duties of care, loyalty, good faith and disclosure, the RR assisted an unrelated outside 3rd party hired by Plaintiff in misappropriating Plaintiff's funds during the course of RR's employment with three securities firms over an unspecified time.

**Product Type:** No Product  
**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Plaintiff alleges damages exceeding \$750,000, interest allowed by law, and any additional relief the Court deems just and proper.

**Customer Complaint Information**

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 12/21/2022  
**Settlement Amount:** \$2,500,000.00



**Individual Contribution Amount:** \$0.00

**Arbitration Information**

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

**Docket/Case #:** 01-20-0005-5782

**Date Notice/Process Served:** 06/22/2020

**Arbitration Pending?** Yes

**Civil Litigation Information**

**Type of Court:** State Court

**Name of Court:** Circuit Court of the 11th Judicial Circuit

**Location of Court:** Miami Dade County, FL

**Docket/Case #:** 20180092993-CA01

**Date Notice/Process Served:** 06/28/2018

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/21/2022

**Monetary Compensation Amount:** \$2,500,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** Barclays Capital Inc.

**Allegations:** Plaintiff alleges that, contrary to their fiduciary duties of care, loyalty, good faith and disclosure, the registered representative assisted an unrelated outside third party hired by Plaintiff in misappropriating Plaintiff's funds during the course of FA's employment with three securities firms over an unspecified time period.

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Plaintiff demands judgment for damages "exceeding \$750,000.00", interest as allowed by law, and any additional relief the Court deems just and proper.

**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:** In the Circuit Court for the Eleventh Judicial Circuit In and For Miami-Dade County, FL



**Docket/Case #:** 2018-009239-CA-01

**Filing date of arbitration/CFTC reparation or civil litigation:** 06/15/2018

**Customer Complaint Information**

**Date Complaint Received:** 06/28/2018

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 07/27/2020

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

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

**Docket/Case #:** 20-01882

**Date Notice/Process Served:** 06/17/2020

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/29/2022

**Monetary Compensation Amount:** \$1,650,000.00

**Individual Contribution Amount:** \$0.00

**Civil Litigation Information**

**Type of Court:** State Court

**Name of Court:** In the Circuit Court for the Eleventh Judicial Circuit In and For Miami-Dade County, FL

**Location of Court:** Miami-Dade, FL

**Docket/Case #:** 2018-009239-CA-01

**Date Notice/Process Served:** 06/28/2018

**Litigation Pending?** No

**Disposition:** Other: Matter was Settled

**Disposition Date:** 09/29/2022

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Clearing Services, LLC, Barclays Banks, PLC, Barclays Capital, Inc, HSBC Bank

**Allegations:** Arbitration:



Claimant alleges that due to the FA negligence, at least \$2,345,898.00 was fraudulently transferred from the Claimant's accounts to accounts in an unrelated outside third party's name.

Litigation: Plaintiff alleges that contrary to their fiduciary duties of care, loyalty, good faith and disclosure, the FA and his wife assisted an unrelated outside third party hired by Plaintiff in misappropriating Plaintiff's funds.

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Arbitration: Claimant is seeking an unspecified amount in compensatory damages.

Litigation: Plaintiff demands judgment for damages "in excess of \$750,000.00", interest as allowed by law and any additional relief this court deems just and proper

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/21/2022

**Settlement Amount:** \$2,500,000.00

**Individual Contribution Amount:** \$0.00

### Arbitration Information

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

**Docket/Case #:** 20-01882

**Date Notice/Process Served:** 06/17/2020

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/16/2022

**Monetary Compensation Amount:** \$2,500,000.00

**Individual Contribution Amount:** \$0.00

### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** In the Circuit Court for the Eleventh Judicial Circuit In and For Miami-Dade County, FL

**Location of Court:** Miami-Dade, FL

**Docket/Case #:** 2018-009239-CA-01

**Date Notice/Process Served:** 06/29/2018

**Litigation Pending?** No



<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	12/16/2022
<b>Monetary Compensation Amount:</b>	\$2,500,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Appeal Date:</b>	12/16/2022
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	In the Circuit Court for the Eleventh Judicial Circuit In and For Miami-Dade County, FL
<b>Location of Court:</b>	Miami-Dade, FL
<b>Docket/Case #:</b>	2018-009239-CA-01



### Judgment/Lien

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

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	04/05/2023 LIEN FOR \$4,408,662.67 TO INTERNAL REVENUE SERVICE FILED IN DADE, FL, DOCKET/CASE# 470791923.
<b>Judgment/Lien Amount:</b>	\$4,408,662.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	04/05/2023
<b>Date Individual Learned:</b>	05/31/2023
<b>Type of Court:</b>	Internal Revenue Service
<b>Name of Court:</b>	Florida State Court
<b>Location of Court:</b>	Miami Dade County
<b>Docket/Case #:</b>	470791923
<b>Judgment/Lien Outstanding?</b>	Yes



## End of Report

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