IAPD Report

ALLISON K HENEK

CRD# 5177343

Section Title	Page(s)

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

ALLISON K HENEK (CRD# 5177343)

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 **07/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PARK AVENUE SECURITIES LLC	CRD# 46173	02/24/2015
IA	PARK AVENUE SECURITIES LLC	CRD# 46173	03/06/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	AXA ADVISORS, LLC	6627	NEW YORK, NY	07/01/2008 - 02/18/2015
B	AXA ADVISORS, LLC	6627	NEW YORK, NY	08/28/2006 - 02/18/2015

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	5

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

Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**

Main Address: 10 HUDSON YARDS
NEW YORK, NY 10001

Firm ID#: 46173

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/24/2015
B	California	Agent	Approved	09/03/2020
B	Colorado	Agent	Approved	11/06/2019
B	Connecticut	Agent	Approved	03/05/2015
IA	Connecticut	Investment Adviser Representative	Approved	03/06/2015
B	District of Columbia	Agent	Approved	03/04/2015
IA	District of Columbia	Investment Adviser Representative	Approved	03/16/2015
B	Georgia	Agent	Approved	09/01/2020
IA	Georgia	Investment Adviser Representative	Approved	09/01/2020
B	Maryland	Agent	Approved	03/06/2015
IA	New Jersey	Investment Adviser Representative	Approved	03/06/2015
B	New Jersey	Agent	Approved	03/09/2015
B	New York	Agent	Approved	03/04/2015

Qualifications

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	04/16/2021
B	North Carolina	Agent	Approved	09/28/2023
B	South Carolina	Agent	Approved	07/14/2026
B	Vermont	Agent	Approved	01/14/2020
B	Virginia	Agent	Approved	03/05/2015

Branch Office Locations

PARK AVENUE SECURITIES LLC
225 BROADHOLLOW ROAD
SUITE 105
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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/25/2006

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/25/2006

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	07/01/2008 - 02/18/2015	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	08/28/2006 - 02/18/2015	AXA ADVISORS, LLC	CRD# 6627	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
03/2021 - Present	GUARDIAN LIFE INSURANCE	AGENT	Y	MELVILLE, NY, United States
03/2021 - Present	PARK AVENUE SECURIITES	REGISTERED REPRESENTATIVE	Y	MELVILLE, NY, United States
05/2020 - 03/2021	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	WOODBURY, NY, United States
05/2020 - 03/2021	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	WOODBURY, NY, United States
09/2018 - 05/2020	GUARDIAN LIFE INSURANCE	AGENT	Y	GLEN HEAD, NY, United States
09/2018 - 05/2020	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	GLEN HEAD, NY, United States
02/2015 - 08/2018	GUARDIAN	AGENT	Y	WOODBURY, NY, United States
02/2015 - 08/2018	PARK AVE SECURITIES	REGISTERED REP	Y	WOODBURY, 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. Insurance outside of Guardian,
Start: 03/01/2015,
Address: 225 Broadhollow Rd., Suite 110, Melville, NY 11747,
2 total hours per month, 2 during securities trading hours,
Investment related,
More than 10% annual compensation,

2) corporate analyst-Employee. Administrative data entry for a hospital,
Start: 12/02/2021,

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Address: 600 community drive Manhasset, NY 11030,
100 total hours per month; 70 during securities trading hours,
Not investment related,
More than 10% annual compensation,

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	5

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:	Individual
Regulatory Action Initiated By:	COMMONWEALTH OF VIRGINIA - STATE CORPORATION COMMISSION-BUREAU OF INSURANCE
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	01/04/2011
Docket/Case Number:	64801
Employing firm when activity occurred which led to the regulatory action:	AXA ADVISORS, LLC
Product Type:	Insurance
Allegations:	VIOLATION OF 38.2-512 OF THE CODE OF VIRGINIA BY MISREPRESENTING INFORMATION ON AN APPLICATION FOR LIFE INSURANCE.
Current Status:	Final
Resolution:	Settled
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:	01/11/2011
Sanctions Ordered:	Monetary Penalty other than Fines

Monetary Sanction 1 of 1

Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$500.00
Portion Levied against individual:	$500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/11/2011
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 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AXA Advisors, LLC
Allegations:	Client alleges agent misrepresentation in the purchase of her incentive life insurance policy in September 2013.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client did not specify a dollar amount.
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:	10/16/2018
Complaint Pending?	No
Status:	Denied
Status Date:	11/15/2018
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	The firm found no basis to the customer complaint.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA Advisors, LLC
Allegations:	Client alleges agent misrepresentation in the purchase of her incentive life insurance policy in September 2013.
Product Type:	Insurance
Alleged Damages:	$0.00

Alleged Damages Amount Explanation (if amount not exact):	Client did not specify a dollar amount.
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:	10/16/2018
Complaint Pending?	No
Status:	Denied
Status Date:	11/16/2018
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The firm stated that it found no basis to the customer complaint.

Disclosure 2 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AXA Advisors, LLC
Allegations:	Client alleges misrepresentation in the sale of an incentive life insurance policy in 2014.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client did not specify a dollar amount.
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:	02/07/2018
Complaint Pending?	No
Status:	Denied
Status Date:	03/22/2018
Settlement Amount:	
Individual Contribution Amount:	

Firm Statement	The Firm found no basis to the customer complaint.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA Advisors, LLC
Allegations:	Client alleges misrepresentation in the sale of an incentive life insurance policy in 2014.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client did not specify a dollar amount.
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:	02/27/2018
Complaint Pending?	No
Status:	Denied
Status Date:	03/23/2018
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The Firm found no basis to the customer complaint.

Disclosure 3 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AXA Advisors, LLC
Allegations:	Client alleges misrepresentation and unsuitable recommendation in the purchase of a life insurance policy in 2014.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client does not specify a dollar amount
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:	01/08/2016
Complaint Pending?	No
Status:	Settled
Status Date:	06/27/2016
Settlement Amount:	$9,950.00
Individual Contribution Amount:	$0.00
Firm Statement	The Firm found no basis to the customer complaint. Based on appeal received June 17, 2016, as good faith gesture, the Firm agreed to settle the matter. Loss to Firm $9,950.00. RR's errors and omissions carrier did not contribute to the settlement.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA Advisors, LLC
Allegations:	Client alleges misrepresentation and unsuitable recommendation in the purchase of a life insurance policy in 2014.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client does not specify a dollar amount
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:	01/14/2016
Complaint Pending?	No
Status:	Settled
Status Date:	07/08/2016
Settlement Amount:	$9,950.00
Individual Contribution Amount:	$0.00
Broker Statement	The Firm found no basis to the customer complaint. Based on appeal received June 17, 2016, as good faith gesture, the Firm agreed to settle the matter. Loss to Firm $9,950.00 RR's errors and omissions carrier did not contribute to the settlement.

Disclosure 4 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS, LLC
Allegations:	CLIENT ALLEGES THE SALE OF A 2009 VARIABLE LIFE INSURANCE POLICY WAS NOT SUITABLE BASED ON HER FINANCIAL SITUATION. CLIENT IS REQUESTING THE FIRM TO CANCEL THE POLICY AND REFUND TOTAL PREMIUMS PAID. DAMAGES UNSPECIFIED.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT DID NOT SPECIFY A SPECIFIC DOLLAR AMOUNT.
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:	07/09/2014
Complaint Pending?	No
Status:	Settled
Status Date:	08/15/2014
Settlement Amount:	$13,423.52
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT. BASED UPON APPEAL RECEIVED AUGUST 12, 2014, THE FIRM AGREED TO WAIVE THE SURRENDER CHARGES ASSOCIATED WITH THE FULL SURRENDER OF THE 2009 POLICY. LOSS TO FIRM: $13,432.52. RR ALLISON BATTINO'S ERRORS AND OMISSIONS CARRIER DID NOT CONTRIBUTE TO THE SETTLEMENT.

Disclosure 5 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	ATTORNEY ALLEGES THAT NO PROSPECTUS WAS DELIVERED TO HIS CLIENTS UNTIL AFTER THE SALE OF A VARIABLE LIFE INSURANCE AND TRADITIONAL LIFE INSURANCE POLICY TOOK EFFECT. ATTORNEY FURTHER ALLEGES THAT THE AGENT FALSIFIED THE VARIABLE UNIVERSAL LIFE SUPPLEMENT WHEN SHE STATED ON 9/22/2009 THAT PROSPECTUSES HAD BEEN DELIVERED TO THE CLIENT. CLIENTS ARE REQUESTING THE FIRM TO RESCIND THE POLICIES WITHOUT THE

	IMPOSITION OF SURRENDER CHARGES. DAMAGES UNSPECIFIED.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT DID NOT SPECIFY DAMAGES AMOUNT.
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:	02/22/2010
Complaint Pending?	No
Status:	Settled
Status Date:	05/14/2010
Settlement Amount:	$21,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM HAS FOUND NO BASIS TO THE CUSTOMER'S COMPLAINT. BASED UPON APPEAL RECEIVED 4/20/2010, THE MATTER [WHICH INVOLVED TWO REGISTERED REPRESENTATIVES] SETTLED. AXA-EQUITABLE AGREED TO CANCEL THE POLICY FROM INCEPTION AND REFUND THE TOTAL PREMIUMS PAID. APPEAL CLOSED DATE: 5/14/2010 LOSS TO FIRM: $21,000.00

End of Report

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