



IAPD Report

BENJAMIN GOTFRIED

CRD# 5845826

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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

BENJAMIN GOTFRIED (CRD# 5845826)

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 **05/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EQUITABLE ADVISORS, LLC	CRD# 6627	10/06/2010
IA	EQUITABLE ADVISORS, LLC	CRD# 6627	03/31/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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
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No information reported.

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?

No



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

Employment 1 of 1

Firm Name: **EQUITABLE ADVISORS, LLC**
Main Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105
Firm ID#: 6627

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/06/2010
B FINRA	General Securities Principal	Approved	10/05/2012
B Connecticut	Agent	Approved	03/30/2011
IA Connecticut	Investment Adviser Representative	Approved	03/31/2011
B Florida	Agent	Approved	02/07/2024
B New Jersey	Agent	Approved	02/14/2017
B New York	Agent	Approved	02/02/2012
B North Carolina	Agent	Approved	04/22/2021
B Pennsylvania	Agent	Approved	01/15/2020

Branch Office Locations

EQUITABLE ADVISORS, LLC
1266 EAST MAIN STREET
6TH FLOOR
STAMFORD, CT 06902

EQUITABLE ADVISORS, LLC
Fairfield, CT




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, 2 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	10/04/2012

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	10/05/2010

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	12/20/2010

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:



No information reported.

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
09/2010 - Present	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
09/2010 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	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.

NAME OF ENTITY: THE REDDING ROAD HOLDING COMPANY, LLC POSITION: BOARD MEMBER/OFFICER/DIRECTOR DESCRIPTION OF ROLES & RESPONSABILITIES: MEMBER/MANAGER # OF HOURS PER MONTH: 1 AVERAGE MONTHLY COMPENSATION: \$0 NON-INVESTMENT RELATED NAME OF ENTITY: 60-030 KAMEHAMEHA HIGHWAY LLC POSITION: BOARD MEMBER/OFFICER/DIRECTOR DESCRIPTION OF ROLES & RESPONSABILITIES: MEMBER/MANAGER # OF HOURS PER MONTH: 0 AVERAGE MONTHLY COMPENSATION: \$0 NON-INVESTMENT RELATED NAME OF ENTITY: ARIES INVESTMENT LTD. POSITION: DIRECTOR - THIS IS A FAMILY OWNED HOLDING COMPANY WITH NUMEROUS SUBSIDIARIES TYPES OF SERVICES PROVIDED: THIS IS A FAMILY COMPANY WHICH I OCCASIONALLY PROVIDE BUSINESS CONSULTATION SERVICES START DATE: 1/1/2005 # OF HOURS PER MONTH: 5 INVESTMENT RELATED ACTIVITY: NO AVERAGE YEARLY COMPENSATION: \$0 NAME OF ENTIRY: POSITION: BOARD MEMBER/OFFICER/DIRECTOR - BENCO RE HOLDINGS LLC DESCRIPTION OF ROLES & RESPONSABILITIES: REAL ESTATE HOLDING COMPANY # OF HOURS PER MONTH: 0 AVERAGE MONTHLY COMPENSATION: \$0 NON-INVESTMENT RELATED: NON-EQUITABLE NETWORK DIRECT CARRIER APPOINTMENTS.



End of Report

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