



IAPD Report

WILLIAM JAMES POWERS

CRD# 5901610

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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

WILLIAM JAMES POWERS (CRD# 5901610)

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 **12/18/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	QUINT CAPITAL CORPORATION	CRD# 26586	08/26/2014
IA	QUINT CAPITAL MANAGEMENT	CRD# 26586	04/24/2023

QUALIFICATIONS

This representative is currently registered in **1** 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	DAVIS SECURITIES LLC	138829	NEW YORK, NY	03/01/2012 - 09/19/2014
B	BAY CREST PARTNERS, LLC	39944	NEW YORK, NY	03/29/2011 - 02/29/2012

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
Judgment/Lien	6



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 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **QUINT CAPITAL MANAGEMENT**

Main Address: 230 PARK AVE - 361W
NEW YORK, NY 10169

Firm ID#: 26586

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	08/26/2014
	FINRA	General Securities Representative	Approved	08/26/2014
	FINRA	Registered Options Principal	Approved	08/26/2014
	FINRA	Municipal Securities Representative	Approved	03/13/2020
	FINRA	Municipal Securities Principal	Approved	07/07/2020
	Connecticut	Agent	Approved	09/23/2014
	Connecticut	Investment Adviser Representative	Approved	04/24/2023
	New York	Agent	Approved	08/26/2014

Branch Office Locations

QUINT CAPITAL MANAGEMENT

230 PARK AVE - 361W
NEW YORK, NY 10169



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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	07/07/2020
B	Registered Options Principal Examination (S4)	Series 4	07/25/2013
B	General Securities Principal Examination (S24)	Series 24	06/12/2013

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/28/2011

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/01/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/02/2011



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	03/01/2012 - 09/19/2014	DAVIS SECURITIES LLC	CRD# 138829	NEW YORK, NY
B	03/29/2011 - 02/29/2012	BAY CREST PARTNERS, LLC	CRD# 39944	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
09/2014 - Present	Quint Capital Corporation	Registered Representative and Investment Advisor Representative (w/Quint Capital Management)	Y	New York, NY, United States
10/2000 - Present	J LAUREN HOLDINGS	PRESIDENT	N	Fairfield, CT, 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. J. Lauren Holding Co., Inc. (dba Advanced Data Integration Corp.), 846 Stratfield Road, Fairfield, CT 06852. President. Non-investment related. Start date - 09/2012 to present. Real estate holdings and management, compensation based on rents, maintenance costs and business expenses; 10 hours/month and 0/hours during regular market 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
Judgment/Lien	6

Judgment/Lien

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

Disclosure 1 of 6

Reporting Source:	Individual
Judgment/Lien Holder:	State of Connecticut
Judgment/Lien Amount:	\$16,319.00
Judgment/Lien Type:	Tax
Date Filed with Court:	01/08/2016
Date Individual Learned:	07/27/2017
Type of Court:	State Court
Name of Court:	State of Connecticut
Location of Court:	Fairfield County, CT.
Docket/Case #:	131
Judgment/Lien Outstanding?	Yes

Broker Statement

Question #6 above asks if there is a judgement/lien outstanding against Mr. Powers. We responded "yes" only because FINRA has indicated this to be the case. However, Mr. Powers was never made aware of any judgement/lien levied against him by the State of Connecticut or any other entity. Today, August 23, 2017, we have attempted to verify this by accessing the Connecticut Judicial website and searching for cases involving Mr. Powers. We did not find anything to this effect. Additionally, Powers was notified in writing in March 2014 by the Connecticut Department of Revenue Services (DRS) that no collection action would be taken while his case was still open. On or about August 15, 2017, Powers was informed by DRS that his court case would be heard on December 8, 2017. It is not unreasonable to assume that, since the judgement will not be rendered until December 2017, it is unlikely that a judgement can exist against Mr. Powers at the present time. It is also unlikely that a lien has been put into place that would only occur as a result of this judgement. Therefore, although indicated in the affirmative by FINRA, we believe it is unlikely that a judgement/lien is currently in place against Mr. Powers. In any event, Mr. Powers was not made aware of this issue until July 27, 2017, as a result of this specific FINRA inquiry.

**Disclosure 2 of 6**

Reporting Source: Individual
Judgment/Lien Holder: Rockingham County
Judgment/Lien Amount: \$2,901.57
Judgment/Lien Type: Tax
Date Filed with Court: 04/03/2012
Date Individual Learned: 10/11/2016
Type of Court: State Court
Name of Court: Rockingham County Court
Location of Court: Rockingham NH
Judgment/Lien Outstanding? Yes

Disclosure 3 of 6

Reporting Source: Individual
Judgment/Lien Holder: Rockingham County Town of Derry
Judgment/Lien Amount: \$3,082.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/01/2012
Date Individual Learned: 04/02/2012
Type of Court: County
Name of Court: Rockingham County Court
Location of Court: Town of Derry, Rockingham NH
Judgment/Lien Outstanding? Yes
Broker Statement All the same tax issue conflict

Disclosure 4 of 6

Reporting Source: Individual
Judgment/Lien Holder: Rockingham County Town of Derry
Judgment/Lien Amount: \$2,783.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/15/2014
Date Individual Learned: 11/14/2014
Type of Court: State Court
Name of Court: Rockingham County Court
Location of Court: Rockingham NJ
Docket/Case #: NA



Judgment/Lien Outstanding? Yes
Broker Statement ongoing property tax dispute

Disclosure 5 of 6

Reporting Source: Individual
Judgment/Lien Holder: Rockingham County Town of Derry
Judgment/Lien Amount: \$2,822.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/15/2013
Date Individual Learned: 11/15/2013
Type of Court: State Court
Name of Court: Rockingham County Court
Location of Court: Rockingham NH
Docket/Case #: NA
Judgment/Lien Outstanding? Yes
Broker Statement Ongoing property tax dispute

Disclosure 6 of 6

Reporting Source: Individual
Judgment/Lien Holder: Rockingham County Town of Derry
Judgment/Lien Amount: \$3,002.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/15/2015
Date Individual Learned: 11/15/2015
Type of Court: Rockingham Court
Name of Court: Rockingham Court
Location of Court: Rockingham NH
Docket/Case #: NA
Judgment/Lien Outstanding? Yes
Broker Statement ongoing tax dispute



End of Report

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