



IAPD Report

ANTONIO SALVADOR BAUZA

CRD# 860146

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

ANTONIO SALVADOR BAUZA (CRD# 860146)

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 **06/10/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STONECREST CAPITAL MARKETS, INC.	CRD# 39616	05/16/2017
IA	STONECREST ADVISORS, INC.	CRD# 142095	08/11/2017

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
IA	AEGIS CAPITAL CORP.	15007	CORAL GABLES, FL	07/31/2015 - 05/05/2017
B	AEGIS CAPITAL CORP.	15007	CORAL GABLES, FL	06/17/2015 - 05/05/2017
IA	RIWM, LLC	160536	CORAL GABLES, FL	05/09/2012 - 05/03/2017

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	4
Judgment/Lien	4



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 2

Firm Name: **STONECREST ADVISORS, INC.**
Main Address: 300 WEST 6TH STREET
SUITE 1550
AUSTIN, TX 78701-4666
Firm ID#: 142095

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	08/11/2017

Branch Office Locations

STONECREST ADVISORS, INC.
4000 Ponce De Leon Blvd
SUITE 470
Coral Gables, FL 33146

STONECREST ADVISORS, INC.
300 WEST 6TH STREET
SUITE 1550
AUSTIN, TX 78701-4666

Employment 2 of 2

Firm Name: **STONECREST CAPITAL MARKETS, INC.**
Main Address: 300 W. 6TH ST.
SUITE 1550
AUSTIN, TX 78701
Firm ID#: 39616

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/16/2017
B	Florida	Agent	Approved	05/16/2017
B	Puerto Rico	Agent	Approved	07/25/2017

Branch Office Locations

4000 Ponce de Leon Blvd
Suite 470



Qualifications

Coral Gables, FL 33146



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 2 state securities law exams.

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	11/18/1978

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/11/1997
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/26/1990



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	07/31/2015 - 05/05/2017	AEGIS CAPITAL CORP.	CRD# 15007	CORAL GABLES, FL
B	06/17/2015 - 05/05/2017	AEGIS CAPITAL CORP.	CRD# 15007	CORAL GABLES, FL
IA	05/09/2012 - 05/03/2017	RIWM, LLC	CRD# 160536	CORAL GABLES, FL
B	08/31/2012 - 06/17/2015	CAPITAL GUARDIAN, LLC	CRD# 137919	MIAMI, FL
IA	07/08/2010 - 09/06/2012	REHMANN FINANCIAL	CRD# 123047	MIAMI, FL
B	01/10/2011 - 08/31/2012	GLOBAL INVESTOR SERVICES, L.C.	CRD# 29249	MIAMI, FL
B	04/16/2010 - 01/12/2011	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	MIAMI, FL
IA	01/15/2008 - 04/20/2010	OPPENHEIMER & CO. INC.	CRD# 249	MIAMI, FL
B	01/09/2008 - 04/20/2010	OPPENHEIMER & CO. INC.	CRD# 249	MIAMI, FL
B	06/03/2002 - 12/12/2007	UBS INTERNATIONAL INC.	CRD# 107726	CORAL GABLES, FL
IA	06/03/2002 - 12/12/2007	UBS INTERNATIONAL INC.	CRD# 107726	CORAL GABLES, FL
B	09/08/2000 - 06/03/2002	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
IA	09/08/2000 - 06/01/2002	UBS PAINWEBBER INC.	CRD# 8174	CORAL GABLES, FL
B	05/22/1996 - 09/12/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	07/12/1994 - 05/29/1996	CHASE MANHATTAN INVESTMENT SERVICES, INC.	CRD# 25574	CHICAGO, IL
B	07/31/1993 - 07/22/1994	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY



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	04/11/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	03/18/1988 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	04/17/1984 - 04/05/1988	PAINWEBBER INCORPORATED	CRD# 8174	
B	06/27/1979 - 04/04/1984	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	12/01/1978 - 07/21/1979	BLYTH EASTMAN DILLON & CO. INCORPORATED	CRD# 6361	

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
07/2017 - Present	STONECREST ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CORAL GABLES, FL, United States
05/2017 - Present	Stonecrest Capital Markets, Inc	Registered Representative	Y	Austin, TX, United States
06/2015 - 05/2017	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE/IN VESTMENT ADVISER REPRESENTATIVE	Y	MIAMI, FL, United States
05/2012 - 05/2017	RIWM, LLC	INVESTMENT ADVISER REPRESENTATIVE	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. Name: Stonecrest Advisors; Investment related: Yes; Address: 4000 Ponce de Leon Blvd. Coral Gables, FL 33146; Nature: Investment Adviser; Position: Investment Adviser; Start Date: 08/17; Hours/month: 20; During Trading Hours: 20; Duties: Investment Adviser



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	4
Judgment/Lien	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AEGIS CAPITAL CORP.
Allegations:	Time frame: September 2015 - February 2017. Claimant alleges unsuitable investments and, breach of fiduciary duty.
Product Type:	Real Estate Security Other: Alternative Investments
Alleged Damages:	\$350,000.00
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; New Orleans, LA
Docket/Case #:	23-02588
Filing date of arbitration/CFTC reparation or civil litigation:	09/22/2023

Customer Complaint Information

Date Complaint Received:	09/22/2023
---------------------------------	------------



Complaint Pending? No
Status: Settled
Status Date: 05/23/2024
Settlement Amount: \$14,950.00
Individual Contribution Amount: \$0.00
.....

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AEGIS CAPITAL CORP.
Allegations: Time frame: September 2015 - February 2017. Claimant alleges unsuitable investments and, breach of fiduciary duty.
Product Type: Real Estate Security
Other: Alternative Investments
Alleged Damages: \$350,000.00
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; New Orleans, LA
Docket/Case #: 23-02588
Filing date of arbitration/CFTC reparation or civil litigation: 09/22/2023

Customer Complaint Information

Date Complaint Received: 09/22/2023
Complaint Pending? No
Status: Settled
Status Date: 05/23/2024
Settlement Amount: \$14,950.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: UBS INTERNATIONAL INC.
Allegations: SUITABILITY
Product Type: Other



Other Product Type(s): COUNTRYWIDE FINANCIAL CORP. NOTE

Alleged Damages: \$24,960.00

Customer Complaint Information

Date Complaint Received: 11/29/2007

Complaint Pending? No

Status: Denied

Status Date: 06/24/2008

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS INTERNATIONAL INC.

Allegations: SUITABILITY

Product Type: Other

Other Product Type(s): COUNTRYWIDE FINANCIAL CORP. NOTE

Alleged Damages: \$24,960.00

Customer Complaint Information

Date Complaint Received: 11/29/2007

Complaint Pending? No

Status: Denied

Status Date: 06/24/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS INTERNATIONAL INC.

Allegations: CLIENT ALLEGES THAT REGISTERED REPRESENTATIVE DID NOT RECOMMEND TO LIQUIDATE POSITION IN GM BONDS.

Product Type: Other

Other Product Type(s): GM BONDS

Alleged Damages: \$25,560.00

Customer Complaint Information

Date Complaint Received: 06/09/2006



Complaint Pending? No
Status: Denied
Status Date: 11/22/2006
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: UBS PAINEWEBBER INC.
Allegations: CUSTOMERS ALLEGE THAT THE INVESTMENT IN THE AOL GOALS WERE NOT SUITABLE.
Product Type: Other
Other Product Type(s): EQUITY LINKED INVESTMENTS
Alleged Damages: \$140,000.00

Customer Complaint Information

Date Complaint Received: 11/10/2002
Complaint Pending? No
Status: Denied
Status Date: 12/02/2002
Settlement Amount:
Individual Contribution Amount:

.....

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: UBS PAINEWEBBER INC.
Allegations: THE CUSTOMER DID NOT RECEIVE THE PROSPECTUS, ON TIME, BECAUSE HE LIVES IN ECUADOR, AND THE MAIL SYSTEM IS POOR.
Product Type: Other
Other Product Type(s): EQUITY LINKED INVESTMENTS
Alleged Damages: \$140,000.00

Customer Complaint Information

Date Complaint Received: 11/10/2002
Complaint Pending? No
Status: Denied
Status Date: 12/02/2002



Settlement Amount:

**Individual Contribution
Amount:**



Judgment/Lien

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

Disclosure 1 of 4

Reporting Source: Individual
Judgment/Lien Holder: Wells Fargo Bank
Judgment/Lien Amount: \$10,669.69
Judgment/Lien Type: Civil
Date Filed with Court: 03/05/2021
Date Individual Learned: 11/01/2021
Type of Court: County Court
Name of Court: Miami-Dade County Court
Location of Court: Miami, Florida
Docket/Case #: 09-20656CC2302
Judgment/Lien Outstanding? Yes

Disclosure 2 of 4

Reporting Source: Individual
Judgment/Lien Holder: Cavalry Portfolio Services
Judgment/Lien Amount: \$11,232.05
Judgment/Lien Type: Civil
Date Filed with Court: 02/15/2020
Date Individual Learned: 01/01/2022
Type of Court: County Court
Name of Court: Miami-Dade County Court
Location of Court: Miami, Florids
Docket/Case #: 07-8355CA24
Judgment/Lien Outstanding? Yes

Disclosure 3 of 4

Reporting Source: Individual
Judgment/Lien Holder: Discover Bank
Judgment/Lien Amount: \$10,198.40
Judgment/Lien Type: Civil
Date Filed with Court: 01/30/2022
Date Individual Learned: 02/08/2022
Type of Court: County Court
Name of Court: Miami-Dade County Court



Location of Court: Miami, Florida
Docket/Case #: 2021-026398-CC-25
Judgment/Lien Outstanding? Yes

Disclosure 4 of 4

Reporting Source: Individual
Judgment/Lien Holder: Goldman Sachs Bank USA
Judgment/Lien Amount: \$14,570.58
Judgment/Lien Type: Civil
Date Filed with Court: 01/21/2022
Date Individual Learned: 01/28/2022
Type of Court: County Court
Name of Court: Miami-Dade County Court
Location of Court: Miami, Florida
Docket/Case #: 2021-023346-CC-25
Judgment/Lien Outstanding? Yes



End of Report

This page is intentionally left blank.