

BrokerCheck Report

HENRY NATHAN GOODMAN

CRD# 1789359

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

HENRY N. GOODMAN

CRD# 1789359

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 1 Principal/Supervisory Exam
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B** **YOUNG AMERICA CAPITAL, LLC**
CRD# 150443
MAMARONECK, NY
07/2023 - 12/2024
- B** **UBS FINANCIAL SERVICES INC.**
CRD# 8174
NEW YORK, NY
04/2016 - 06/2020
- B** **BRYANT PARK CAPITAL SECURITIES, INC.**
CRD# 20433
NEW YORK, NY
01/2016 - 04/2016

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	08/03/1999

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	09/30/2024
B Limited Representative-Private Securities Offerings	Series 82TO	07/10/2023
B National Commodity Futures Examination	Series 3	05/31/2022
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/20/1988

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/23/2023
IA Uniform Investment Adviser Law Examination	Series 65	05/28/2021

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2023 - 12/2024	YOUNG AMERICA CAPITAL, LLC	150443	MAMARONECK, NY
B 04/2016 - 06/2020	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY
B 01/2016 - 04/2016	BRYANT PARK CAPITAL SECURITIES, INC.	20433	NEW YORK, NY
B 03/2007 - 02/2014	CREDIT SUISSE SECURITIES (USA) LLC	816	NEW YORK, NY
B 08/2006 - 03/2007	SANDERS MORRIS HARRIS INC.	20580	GREENWICH, CT
B 11/2002 - 02/2006	RBC CAPITAL MARKETS CORPORATION	6579	NEW YORK, NY
B 06/1999 - 02/2004	RBC DAIN RAUSCHER INC.	31194	NEW YORK, NY
B 07/1998 - 05/1999	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 04/1996 - 07/1998	WARBURG DILLON READ LLC	7654	NEW YORK, NY
B 07/1991 - 04/1996	CS FIRST BOSTON CORPORATION	816	NEW YORK, NY
B 06/1990 - 09/1990	CS FIRST BOSTON CORPORATION	816	NEW YORK, NY
B 02/1988 - 08/1989	CHEMICAL SECURITIES, INC.	18718	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
06/2020 - Present	Thrive Capital LLC	Managing Member, Principal	Y	Rye Brook, NY, United States
03/2022 - 12/2022	PRELUDE CAPITAL MANAGEMENT, LLC/DURATION CAPITAL SOLUTIONS	Managing Director	Y	New York, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2021 - 03/2022	Advantage Insurance	Director of Corporate Development	Y	San Juan, PR, United States
04/2016 - 05/2020	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
01/2016 - 04/2016	Bryant Park Capital Securities, Inc.	Registered Person	Y	New York, NY, United States
11/2013 - 04/2016	Shadow Tree Capital	Principal	Y	White Plains, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

WebCRD - Henry Goodman Starting November 2022 Mr. Goodman will be engaged in an outside business activity at Seaport Specialty Funding LLC as capital raising consultant. The company is a finance and debt capital adviser and has no ownership affiliation or conflict of interest with Young America Capital LLC. The firm's offices are located at 2875 South Ocean Blvd Palm Beach Florida. Duties include Financing and Lending consulting. Mr. Goodman will dedicate an estimated 20 hours of his time per week to this endeavor.

WebCRD - Henry Goodman Name of OBA - Thrive Capital LLC located in Rye Brook New York. Engagement Date May 2020. Duties are capital raising consulting. The company is a finance and debt capital adviser and has no ownership affiliation or conflict of interest with Young America Capital LLC. Mr. Goodman is the owner of the firm and will dedicate an estimated 1 hour of his time per week to this endeavor.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS Financial Services, Inc.
Allegations:	Time frame: December 2018 Claimant's counsel alleges unsuitability and misrepresentation with respect to recommendations to invest in and hold an options overlay strategy.
Product Type:	Other: In House Wrap Fee
Alleged Damages:	\$600,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Arbitration
Docket/Case #:	20-03356
Filing date of arbitration/CFTC reparation or civil litigation:	09/28/2020

Customer Complaint Information

Date Complaint Received: 09/28/2020



Complaint Pending?	No
Status:	Settled
Status Date:	07/07/2022
Settlement Amount:	\$225,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	As per FINRA letter updating the FINRA Docket number.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS Financial Services, Inc.
Allegations:	December 2018 Claimant's counsel alleges unsuitability and misrepresentation with respect to recommendations to invest in and hold an options overlay strategy.
Product Type:	Other: In house wrap fee
Alleged Damages:	\$600,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Arbitration
Docket/Case #:	20-03356
Filing date of arbitration/CFTC reparation or civil litigation:	09/28/2020

Customer Complaint Information

Date Complaint Received:	09/28/2020
Complaint Pending?	No
Status:	Settled
Status Date:	07/07/2022



Settlement Amount: \$225,000.00

Individual Contribution Amount: \$0.00

Broker Statement Customer complaint was regarding the UBS Yield Enhancement Strategy. UBS decided to settle the claim. At no point in time was involved in the management of the assets or settlement discussions.

End of Report



This page is intentionally left blank.