

BrokerCheck Report

ERIC PAUL ZEITLIN

CRD# 2334183

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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:
 - 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
 - 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.

**ERIC P. ZEITLIN**

CRD# 2334183

Currently employed by and registered with the following Firm(s):**IA PROVENANCE WEALTH ADVISORS**

200 EAST LAS OLAS BOULEVARD
19TH FLOOR
FORT LAUDERDALE, FL 33301
CRD# 126529
Registered with this firm since: 05/06/2003

B PWA SECURITIES, LLC

200 EAST LAS OLAS BLVD, 19TH FLOOR
FORT LAUDERDALE, FL 33301
CRD# 321974
Registered with this firm since: 08/25/2023

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 registered with:**

- 1 Self-Regulatory Organization
- 9 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

CRD# 149018
SAINT PETERSBURG, FL
09/2013 - 08/2023

B RAYMOND JAMES FINANCIAL SERVICES, INC.

CRD# 6694
FT. LAUDERDALE, FL
08/2013 - 08/2023

IA WALNUT STREET SECURITIES, INC.

CRD# 15840
EL SEGUNDO, CA
08/2003 - 09/2013

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
Criminal	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 individual is currently registered with 1 SRO and is licensed in 9 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **PROVENANCE WEALTH ADVISORS**
Main Office Address: **200 EAST LAS OLAS BOULEVARD
19TH FLOOR
FORT LAUDERDALE, FL 33301**
Firm CRD#: **126529**

	U.S. State/ Territory	Category	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	12/23/2024
IA	Florida	Investment Adviser Representative	Approved	05/06/2003
IA	Georgia	Investment Adviser Representative	Approved	12/26/2024
IA	New Jersey	Investment Adviser Representative	Approved	03/05/2025
IA	New York	Investment Adviser Representative	Approved	12/23/2024
IA	North Carolina	Investment Adviser Representative	Approved	12/23/2024

Branch Office Locations

200 EAST LAS OLAS BOULEVARD
19TH FLOOR
FORT LAUDERDALE, FL 33301

Employment 2 of 2

Firm Name: **PWA SECURITIES, LLC**
Main Office Address: **200 EAST LAS OLAS BLVD
19TH FLOOR
FORT LAUDERDALE, FL 33301-2281**



Broker Qualifications

Employment 2 of 2, continued

Firm CRD#: **321974**

SRO	Category	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	08/25/2023

U.S. State/ Territory	Category	Status	Date
B Colorado	Agent	Approved	12/23/2024
B Florida	Agent	Approved	08/25/2023
B Georgia	Agent	Approved	08/25/2023
B Illinois	Agent	Approved	06/28/2024
B New Jersey	Agent	Approved	12/23/2024
B New York	Agent	Approved	08/25/2023
B North Carolina	Agent	Approved	08/28/2023
B Pennsylvania	Agent	Approved	12/24/2024
B Rhode Island	Agent	Approved	08/25/2023

Branch Office Locations

PWA SECURITIES, LLC
 200 EAST LAS OLAS BLVD, 19TH FLOOR
 FORT LAUDERDALE, FL 33301



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 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	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/13/1993

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/27/1993

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
IA 09/2013 - 08/2023	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	FORT LAUDERDALE, FL
B 08/2013 - 08/2023	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	FT. LAUDERDALE, FL
B 08/2003 - 09/2013	WALNUT STREET SECURITIES, INC.	15840	FORT LAUDERDALE, FL
IA 08/2003 - 09/2013	WALNUT STREET SECURITIES, INC.	15840	FORT LAUDERDALE, FL
B 03/2000 - 08/2003	NATHAN & LEWIS SECURITIES, INC.	8503	NEW YORK, NY
IA 03/2000 - 08/2003	NATHAN & LEWIS SECURITIES, INC.	8503	MIAMI, FL
B 06/1998 - 03/2000	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN
B 05/1993 - 06/1998	CIGNA FINANCIAL ADVISORS, INC.	145	RADNOR, PA

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
05/2021 - Present	PWA Securities, LLC	Indirect Owner	Y	Ft. Lauderdale, FL, United States
01/2000 - Present	PROVENANCE WEALTH ADVISORS	MANAGING DIRECTOR/IAR/FINANCIAL ADVISOR	Y	FT. LAUDERDALE, FL, United States
01/2000 - Present	ZYH Holding Company LLC	Member	Y	Ft. Lauderdale, FL, United States
09/2013 - 08/2023	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	FORT LAUDERDALE, FL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2013 - 08/2023	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	FT. LAUDERDALE, FL, 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.

(1)Name Business: East Coast Plaza North 1 LLC Address: 1200 Clint Moore Rd bay 10, Boca Raton, FL, 33401, United States Activity Type: Rental Real Estate Position/Title: Partner Investment Related: Yes Start Date: 07/01/1996 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Management and operating(2)Name Business: Eric P Zeiltin CEP PA Address: 200 E. Las Olas Boulevard, Fort Lauderdale, FL, 33301, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 01/14/2000 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: This is my PA that owns my 50% interest in ZYH which owns a 50% in PWA (3)Name of Business: HK-Tienda Acquisition LLC Address: 2001 Cocoanut Rd , Boca Raton, FL, 33432, United States Activity Type: Personal/Private Investment Position/Title: Investment Related: Yes Start Date: 09/20/2016 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 (4)Name Business: Miami Foundation Address: 2001 Cocoanut Rd , Boca Raton , FL, 33432, United States Activity Type: Non profit Position/Title: Committee Member Investment Related: Yes Start Date: 01/01/2022 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Member investment advisory committee (5)Name Business: Provenance Wealth Advisors Address: 200 E Las Olas Blvd FI 19, Fort Lauderdale, FL, 33301, United States Activity Type: Independent RIA Position/Title: Director Investment Related: Yes Start Date: 02/01/2000 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41-80 Description of duties: Financial planning for clients and referral fee (6)Name Business: Provenance Wealth Advisors Address: 200 E Las Olas Blvd FI 19, Fort Lauderdale, FL, 33301, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 10/01/2000 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Long term care, Fixed life and disability insurance through various agencies.(7)Name Business: Uruguay Chlorine Investments LLC Address: 2001 Cocoanut Rd , Boca Raton, FL, 33432, United States Activity Type: Personal/Private Investment Position/Title: Investment Related: Yes Start Date: 09/19/2016 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 (8)Name Business: Zama LLC Address: 2001 Cocoanut Rd, Boca Raton , FL, 33432, United States Activity Type: Rental Real Estate Position/Title: Investment Related: Yes Start Date: 07/01/2007 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 (9)Name Business: ZYH LLC Address: 200 E. Las Olas Boulevard, Fort Lauderdale, FL, 33301, United States Activity Type: Business Owner Position/Title: Partner Investment Related: Yes Start Date: 01/14/2000 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Managing member. ZHY owns a 50% interest in Provenance Wealth Advisors(10) Name Business: Rebel partnership - Address: 2001 Cocoanut Road Boca Raton, FL 33432 - Position: Passive Investor - Start Date: 09/19/2016 - Hours per month devoted to business :1 - Hours per month devoted during trading hours: 1 (11) Name : Z&Z LLC - Address: 2001 Cocoanut Road Boca Raton, FL 33432 - Position: Part Owner - Start Date: 01/01/2004 - Hours per month devoted to business :1 - Hours per month devoted during trading hours: 1(12)Name: ZAD LLC- Address: same as above (13) The Cove Yacht Basin- Boca Raton - Board Memb

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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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
Criminal	0	1	0



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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	LFA #F9417933
Charge Date:	05/28/1994
Charge Details:	GRAND LARCENY TO THE THIRD DEGREE 1 COUNT- FIRE EXTINGUISHER DAMAGE TO PROPERTY & CRIMINAL MISCHIEF THE DISCHARGE POWDER.
Felony?	Yes
Current Status:	Final
Status Date:	06/17/1994
Disposition Details:	NO ACTION-NOTHING
Broker Statement	SEE MEMO. CALL MIAMI COURT @ (305) 275-1155 FOR VOICE MAIL CONFIRMATION OF NO ACTION DECISION.

End of Report



This page is intentionally left blank.