

BrokerCheck Report

HECTOR RAMOS

CRD# 4172477

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

HECTOR RAMOS

CRD# 4172477

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
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B WYNSTON HILL CAPITAL, LLC**
CRD# 103811
BRANDON, SD
08/2018 - 11/2019
- B WESTPARK CAPITAL, INC.**
CRD# 39914
NEW YORK, NY
02/2016 - 08/2018
- B BISHOP, ROSEN & CO., INC.**
CRD# 1248
NEW YORK, NY
09/2014 - 02/2016

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
Regulatory Event	2
Customer Dispute	1
Termination	1
Judgment/Lien	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/30/2019

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	02/23/2007
B General Securities Representative Examination	Series 7	06/17/2000

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/24/2000
B Uniform Securities Agent State Law Examination	Series 63	07/08/2000

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 08/2018 - 11/2019	WYNSTON HILL CAPITAL, LLC	103811	BRANDON, SD
B 02/2016 - 08/2018	WESTPARK CAPITAL, INC.	39914	NEW YORK, NY
B 09/2014 - 02/2016	BISHOP, ROSEN & CO., INC.	1248	NEW YORK, NY
B 09/2011 - 08/2014	MORGAN STANLEY	149777	NEW YORK, NY
B 03/2008 - 09/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 04/2007 - 03/2008	MORGAN STANLEY & CO., INCORPORATED	8209	NEW YORK, NY
B 01/2007 - 04/2007	MORGAN STANLEY DW INC.	7556	NEW YORK, NY
B 03/2006 - 01/2007	ING FINANCIAL PARTNERS, INC.	2882	NEW YORK, NY
B 10/2005 - 04/2006	AIG FINANCIAL ADVISORS, INC.	133763	NEW YORK, NY
B 06/2002 - 10/2005	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ
B 06/2000 - 06/2002	PRUDENTIAL SECURITIES INCORPORATED	7471	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
01/2020 - Present	Kubernetes Asset Management LLC	Managing Member	Y	New York, NY, United States
08/2018 - 11/2019	Wynston Hill Capital LLC	Registered Representative	Y	New York, NY, United States
02/2016 - 08/2018	WestPark Capital Inc	Registered Rep	Y	New York, NY, United States
09/2014 - 02/2016	Bishop, Rosen & Co. Inc	Portfolio Manager/Financial	Y	NEW YORK, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position Advisor	Investment Related	Employer Location
09/2011 - 08/2014	MORGAN STANLEY SMITH BARNEY	FINANCIAL ADVISOR	Y	NEW YORK, 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.

My Secure Advantage(MSA), on demand educational presentations/webinar engagement for employee assistance programs(EAP);Brooklyn Neighborhood Services: non for profit organization:counseling/financial literacy class instructor



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
Regulatory Event	0	2	0
Customer Dispute	0	1	N/A
Termination	N/A	1	N/A
Judgment/Lien	1	N/A	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 06/02/2020

Docket/Case Number: [2018059983001](#)

Employing firm when activity occurred which led to the regulatory action: Bishop, Rosen & Co., Inc.

Product Type: Equity Listed (Common & Preferred Stock)

Allegations: Without admitting or denying the findings, Ramos consented to the sanctions and to the entry of findings that he made unsuitable recommendations to a customer that was unemployed, disabled, living on a fixed income, and had limited investment experience. The findings stated that Ramos recommended that the customer invest primarily in speculative energy sector securities, despite the volatility of the energy market, the volatility of the specific securities, and the customer's investment profile, Ramos repeatedly recommended that the customer increase her positions in energy sector securities, including additional energy sector securities. The customer realized losses totaling \$86,891.

Current Status: Final



Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 06/02/2020

Sanctions Ordered: Restitution
Suspension
Undertaking
Other: In light of Ramos' financial status, no monetary sanction has been imposed.

Within 60 days of his reassociation with any FINRA member firm, Ramos will undertake to attend and satisfactory complete 10 hours of continuing education concerning suitability by a provider not unacceptable to FINRA. Within 30 days following completion of such training, Ramos will submit written proof that the continuing education program has been satisfactorily completed.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	Three months
Start Date:	06/15/2020
End Date:	09/14/2020



Monetary Sanction 1 of 1

Monetary Related Sanction:	Restitution
Total Amount:	\$50,000.00
Portion Levied against individual:	\$50,000.00
Payment Plan:	Partial restitution, deferred, plus unspecified interest.
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	09/01/2016
Docket/Case Number:	2014041737601
Employing firm when activity occurred which led to the regulatory action:	Morgan Stanley
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Ramos consented to the sanction and to the entry of findings that he lent \$10,000 to a customer of his member firm, when Ramos neither requested nor received firm permission to lend the money. The findings stated that in fact, the firm policy prohibited Ramos from lending the money.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

09/01/2016

Sanctions Ordered:

Suspension

Other: In light of Ramos' financial status, no monetary sanction has been imposed.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Any capacity
Duration:	20 business days
Start Date:	10/03/2016
End Date:	10/28/2016



Reporting Source: Broker
Regulatory Action Initiated By: FINRA
Sanction(s) Sought:
Date Initiated: 09/01/2016
Docket/Case Number: [2014041737601](#)
Employing firm when activity occurred which led to the regulatory action: Morgan Stanley
Product Type: No Product
Allegations: Without admitting or denying the findings, Ramos consented to the sanction and to the entry of findings that he lent \$10,000 to a customer of his member firm, when Ramos neither requested nor received firm permission to lend the money. The findings stated that in fact, the firm policy prohibited Ramos from lending the money.
Current Status: Final
Resolution: Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No
Resolution Date: 09/01/2016
Sanctions Ordered: Suspension
 Other: In light of Ramos' financial status, no monetary sanction has been imposed.
Sanction 1 of 1
Sanction Type: Suspension
Capacities Affected: Any capacity
Duration: 20 business days
Start Date: 10/03/2016
End Date: 10/28/2016



Broker Statement

This regulatory matter concludes a FINRA inquiry regarding allegations made on June 12, 2014 of the improper use of a \$10,000.00 check made to a firm client. The true purpose of said check was for a personal loan made to intimate family friend who was also a client of the firm. Client allegations that I paid them \$10,000.00 to cover losses and to deter them from making a complaint were unfounded and without merit



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:	MORGAN STANLEY SMITH BARNEY
Allegations:	CLIENTS ALLEGED THAT THE FA RECOMMENDED UNSUITABLE INVESTMENTS, AND THEN PAID THEM \$10,000 TO COVER LOSSES SO THEY WOULD NOT MAKE A COMPLAINT.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$700,000.00
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
Docket/Case #:	14-01825
Filing date of arbitration/CFTC reparation or civil litigation:	06/10/2014

Customer Complaint Information

Date Complaint Received:	06/12/2014
Complaint Pending?	No
Status:	Settled
Status Date:	03/02/2015
Settlement Amount:	\$120,000.00
Individual Contribution Amount:	\$0.00



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY SMITH BARNEY

Allegations: CLIENTS ALLEGED THAT THE FA RECOMMENDED UNSUITABLE INVESTMENTS, AND THEN PAID THEM \$10,000 TO COVER LOSSES SO THEY WOULD NOT MAKE A COMPLAINT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$700,000.00

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

Docket/Case #: 14-01825

Filing date of arbitration/CFTC reparation or civil litigation: 06/10/2014

Customer Complaint Information

Date Complaint Received: 06/12/2014

Complaint Pending? No

Status: Settled

Status Date: 03/02/2015

Settlement Amount: \$120,000.00

Individual Contribution Amount: \$0.00

Broker Statement MR. RAMOS DENIES ALL OF CUSTOMER'S CLAIMS OR ALLEGATIONS OF WRONGDOING. I DID NOT PARTICIPATE AND WAS NOT ASK TO PROVIDE ANY MONETARY COMPENSATION."



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: MORGAN STANLEY SMITH BARNEY

Termination Type: Discharged

Termination Date: 08/18/2014

Allegations: CONCERNS RELATED TO (1) A CHECK WRITTEN BY THE EMPLOYEE TO A FIRM CLIENT AND (2) EMPLOYEE'S NON-DISCLOSURE OF AN OUTSIDE INCIDENT INVOLVING THE EMPLOYEE AS REQUIRED BY FIRM POLICY.

Product Type: No Product

Reporting Source: Broker

Employer Name: MORGAN STANLEY

Termination Type: Discharged

Termination Date: 08/18/2014

Allegations: MORGAN STANLEY ALLEGES: "CONCERNS RELATED TO (1) A CHECK WRITTEN BY THE EMPLOYEE TO A FIRM CLIENT AND (2) EMPLOYEE'S NON-DISCLOSURE OF AN OUTSIDE INCIDENT INVOLVING THE EMPLOYEE AS REQUIRED BY FIRM POLICY."

Product Type: No Product



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	Morgan Stanley Smith Barney
Judgment/Lien Amount:	\$168,294.84
Judgment/Lien Type:	Civil
Date Filed with Court:	02/06/2018
Date Individual Learned:	02/13/2018
Type of Court:	State Court
Name of Court:	Supreme Court of the State of New York
Location of Court:	New York County of Kings
Docket/Case #:	502332/2018
Judgment/Lien Outstanding?	Yes

End of Report



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