

BrokerCheck Report

WILFRED ZHONGKEI DAYE

CRD# 4320077

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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.

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.

**WILFRED Z. DAYE**

CRD# 4320077

Currently employed by and registered with the following Firm(s):

B CHAINCE SECURITIES, LLC
 1251 AVENUE OF THE AMERICAS
 41ST FLOOR
 NEW YORK, NY 10020
 CRD# 10590
 Registered with this firm since: 01/05/2025

B RISEVEST FINANCIAL SECURITIES LIMITED
 100 CHURCH STREET, 8TH FLOOR
 SUITE 804
 NEW YORK, NY 10007
 CRD# 151120
 Registered with this firm since: 10/10/2023

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
- 4 U.S. states and territories

This broker has passed:

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

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

- B OSCAR GRUSS & SON INCORPORATED**
 CRD# 2091
 NEW YORK, NY
 04/2020 - 10/2021
- B OKCOIN SECURITIES LLC**
 CRD# 136696
 SAN FRANCISCO, CA
 01/2019 - 01/2020
- B BARDI CO. LLC**
 CRD# 166134
 LOS ANGELES, CA
 03/2017 - 02/2018

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? **No**



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 4 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CHAINCE SECURITIES, LLC**
 Main Office Address: **1251 AVENUE OF THE AMERICAS
 41ST FLOOR
 NEW YORK, NY 10020**
 Firm CRD#: **10590**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	01/05/2025
B FINRA	General Securities Representative	Approved	01/05/2025
B FINRA	Investment Banking Representative	Approved	01/05/2025

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	01/05/2025
B Connecticut	Agent	Approved	09/09/2025
B New Jersey	Agent	Approved	10/17/2025
B New York	Agent	Approved	08/22/2025

Branch Office Locations

CHAINCE SECURITIES, LLC
 1251 AVENUE OF THE AMERICAS
 41ST FLOOR
 NEW YORK, NY 10020



Broker Qualifications

Employment 2 of 2

Firm Name: **RISEVEST FINANCIAL SECURITIES LIMITED**
 Main Office Address: **100 CHURCH STREET, 8TH FLOOR
 SUITE 804
 NEW YORK, NY 10007**
 Firm CRD#: **151120**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	10/10/2023
B FINRA	General Securities Representative	Approved	10/10/2023
B FINRA	Investment Banking Representative	Approved	05/08/2024

U.S. State/ Territory	Category	Status	Date
B New York	Agent	Approved	10/10/2023

Branch Office Locations

RISEVEST FINANCIAL SECURITIES LIMITED
 100 CHURCH STREET, 8TH FLOOR
 SUITE 804
 NEW YORK, NY 10007



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	12/26/2013

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	05/08/2024
B Securities Industry Essentials Examination	SIE	02/01/2018
B General Securities Representative Examination	Series 7	07/28/2013

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/25/2013

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 04/2020 - 10/2021	OSCAR GRUSS & SON INCORPORATED	2091	NEW YORK, NY
B 01/2019 - 01/2020	OKCOIN SECURITIES LLC	136696	SAN FRANCISCO, CA
B 03/2017 - 02/2018	BARDI CO. LLC	166134	LOS ANGELES, CA
B 07/2013 - 03/2016	UBS SECURITIES LLC	7654	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
12/2024 - Present	JVDA, LLC	head trader	Y	New York, NY, United States
08/2023 - Present	HI2 SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
02/2023 - Present	SAMARA ALPHA MANAGEMENT	CEO	Y	NEW YORK, NY, United States
10/2021 - 12/2022	SECURITIZE INC.	CEO OF SCURITIZE CAPITAL	Y	NEW YORK, NY, United States
02/2020 - 10/2021	OSCAR GRUSS & SON INCORPORAED	MANAGING DIRECTOR	Y	NEW YORK, NY, United States
10/2018 - 02/2020	Spot Quote LLC	Principal	Y	Autin, TX, United States
06/2018 - 02/2020	OKCoin USA	Head of Institutionanl Partnerships	N	San Francisco, CA, United States
06/2017 - 06/2018	Noble Capital International LLC	President	N	New York, NY, United States
03/2016 - 06/2017	PeerIQ	Managing Director	N	New York, NY, United States
04/2010 - 02/2016	UBS	EXECUTIVE DIRECTOR	Y	STAMFORD, CT, United States



Registration and Employment History

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.

SAMARA ALPHA MANAGEMENT
200 HUDSON
NEW YORK, NY 10003
EMPLOYEE/PRIVATE FUNDS & TECHNOLOGY PLATFORM
INVESTMENT-RELATED
EFFECTIVE: 01/17/2023
160 HOURS PER MONTH/140 HOURS PER MONTH DURING MARKET HOURS

Sylvanus Technologies, Inc.
Not investment related
5 Glen Street 107, Greenwich CT 06830
Software-as-a-Service
CEO and Co-Founder
4/1/2023
50hrs per month, 4hrs during trading hours
Administrative, business development and product guidance

Hi2 Securities
Non investment related
747 THIRD AVE. 26TH FLOOR, NEW YORK, NY 10017 USA
Brokerage firm
Principal (position, title)
Start date: 10/10/2023
4hrs per month, 0hrs during trading hours
Supervisory duties

Chief Security Officer
Mecurity Fintech
New York
50hrs/month
Non-Investment-related

End of Report



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