

BrokerCheck Report

HENRY MORRIS

CRD# 4675685

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



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 MORRIS
CRD# 4675685

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:

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

Registration History

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

B SEARLE & CO.
CRD# 13035
GREENWICH, CT
07/2003 - 08/2008

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Criminal	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	07/02/2003

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/22/2003

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2003 - 08/2008	SEARLE & CO.	13035	GREENWICH, CT

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
05/2003 - Present	SEARLE & CO	SALES	Y	GREENWICH, CT, United States
02/1996 - Present	CURRAN & CONNORS INC	PRESIDENT	N	HAPPAUGE, NY, United States
11/1989 - Present	MORRIS & CARRICK	CEO	N	NY, NY, United States

Disclosure Events



What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	2	0
Criminal	1	0



Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/10/2014
Docket/Case Number:	3-15777
Employing firm when activity occurred which led to the regulatory action:	SEARLE & CO.
Product Type:	No Product
Allegations:	SEC ADMIN RELEASE 34-71676/IA RELEASE 3789/MARCH 10, 2014: THE SECURITIES AND EXCHANGE COMMISSION (COMMISSION) DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED PURSUANT TO SECTION 15(B)(6) OF THE SECURITIES EXCHANGE ACT OF 1934 (EXCHANGE ACT) AND SECTION 203(F) OF THE INVESTMENT ADVISERS ACT OF 1940 (ADVISERS ACT) AGAINST MORRIS. THE COMMISSION ALSO DEEMS IT APPROPRIATE TO ISSUE AN ORDER OF FORTHWITH SUSPENSION OF MORRIS PURSUANT TO RULE 102(E)(2) OF THE COMMISSION'S RULES OF PRACTICE. ON MARCH 19, 2009, THE COMMISSION FILED A CIVIL ACTION AGAINST MORRIS IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, SEC V. HENRY MORRIS, ET AL., CIVIL ACTION NO. 09-CV-2518. ON MARCH 3, 2014, THE COURT ENTERED A FINAL JUDGMENT AGAINST MORRIS PERMANENTLY ENJOINING HIM FROM FUTURE VIOLATIONS OF SECTIONS 17(A) OF THE SECURITIES ACT OF 1933, 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 THEREUNDER, AND SECTIONS 206(1) AND (2) OF THE ADVISERS ACT. IN ADDITION, ON NOVEMBER 22, 2010, MORRIS PLED GUILTY TO A FELONY VIOLATION OF THE MARTIN ACT, NEW YORK



GENERAL BUSINESS LAW § 352-C(6), BEFORE THE SUPREME COURT OF THE STATE OF NEW YORK, COUNTY OF NEW YORK, THE PEOPLE OF THE STATE OF NEW YORK VS. HENRY "HANK" MORRIS, INDICTMENT NO. 25/2009. ON FEBRUARY 17, 2011, A JUDGMENT OF CONVICTION IN THE CRIMINAL CASE WAS ENTERED AGAINST MORRIS. HE WAS SENTENCED TO A TERM OF IMPRISONMENT OF ONE AND ONE-THIRD YEARS TO FOUR YEARS AND ORDERED TO PAY RESTITUTION IN THE AMOUNT OF \$19,000,000.

Current Status:	Final
Resolution:	Order
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:	03/10/2014
Sanctions Ordered:	Bar (Permanent) Suspension
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 2

Sanction Type: Suspension

Capacities Affected: APPEARING OR PRACTICING BEFORE THE COMMISSION

Duration: N/A

Start Date: 03/10/2014

End Date:

Sanction 2 of 2

Sanction Type: Bar (Permanent)

Capacities Affected: SEE COMMENTS

Duration: Indefinite

Start Date: 03/10/2014

End Date:

Regulator Statement

IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, MORRIS HAS SUBMITTED AN OFFER OF SETTLEMENT WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. SOLELY FOR THE PURPOSE OF THESE PROCEEDINGS AND ANY OTHER PROCEEDINGS BROUGHT BY OR ON BEHALF OF THE COMMISSION, OR TO WHICH THE COMMISSION IS A PARTY, MORRIS CONSENTS TO THE ENTRY OF THIS ORDER INSTITUTING ADMINISTRATIVE PROCEEDINGS PURSUANT TO SECTION 15(B)(6) OF THE EXCHANGE ACT AND SECTION 203(F) OF THE ADVISERS ACT, AND RULE



102(E)(2) OF THE COMMISSION'S RULES OF PRACTICE, MAKING FINDINGS, AND IMPOSING REMEDIAL SANCTIONS (ORDER). IN VIEW OF THE FOREGOING, THE COMMISSION FINDS THAT MORRIS HAS BEEN CONVICTED OF A FELONY WITHIN THE MEANING OF RULE 102(E)(2) OF THE COMMISSION'S RULES OF PRACTICE AND DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST TO IMPOSE THE SANCTIONS AGREED TO IN MORRIS' OFFER. ACCORDINGLY, IT IS HEREBY ORDERED PURSUANT TO SECTION 15(B)(6) OF THE EXCHANGE ACT AND SECTION 203(F) OF THE ADVISERS ACT THAT MORRIS BE, AND HEREBY IS (I) BARRED FROM ASSOCIATION WITH ANY BROKER, DEALER, INVESTMENT ADVISER, MUNICIPAL SECURITIES DEALER, MUNICIPAL ADVISOR, TRANSFER AGENT, OR NATIONALLY RECOGNIZED STATISTICAL RATING ORGANIZATION; AND (II) BARRED FROM PARTICIPATING IN ANY OFFERING OF A PENNY STOCK, INCLUDING: ACTING AS A PROMOTER, FINDER, CONSULTANT, AGENT OR OTHER PERSON WHO ENGAGES IN ACTIVITIES WITH A BROKER, DEALER OR ISSUER FOR PURPOSES OF THE ISSUANCE OR TRADING ANY PENNY STOCK, OR INDUCING OR ATTEMPTING TO INDUCE THE PURCHASE OR SALE OF ANY PENNY STOCK. IT IS HEREBY FURTHER ORDERED PURSUANT TO RULE 102(E)(2) OF THE COMMISSION'S RULES OF PRACTICE THAT MORRIS IS FORTHWITH SUSPENDED FROM APPEARING OR PRACTICING BEFORE THE COMMISSION.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	04/15/2010
Docket/Case Number:	2010022123501
Employing firm when activity occurred which led to the regulatory action:	SEARLE & CO.
Product Type:	No Product
Allegations:	FINRA RULES 2010, 8210-HENRY MORRIS REFUSED TO PRODUCE DOCUMENTS, NAMELY ELECTRONIC COMMUNICATIONS, REQUESTED BY FINRA STAFF REGARDING A ROUTINE EXAMINATION OF HIS FIRM.
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: 04/15/2010

Sanctions Ordered: Bar (Permanent)

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:	Bar (Permanent)
Capacities Affected:	All Capacities
Duration:	Indefinite
Start Date:	04/15/2010
End Date:	

**Regulator Statement**

WITHOUT ADMITTING OR DENYING THE FINDINGS, MORRIS CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS BARRED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY.

Reporting Source:

Firm

Regulatory Action Initiated By:

FINRA

Sanction(s) Sought:

Bar

Date Initiated:

04/15/2010

Docket/Case Number:[2010022123501](#)**Employing firm when activity occurred which led to the regulatory action:**

SEARLE AND CO

Product Type:

No Product

Allegations:

REFUSED TO PRODUCE DOCUMENTS REQUESTED BY FINRA STAFF REGARDING ROUTINE EXAMINATION

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

04/15/2010

Sanctions Ordered:

Bar (Permanent)

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:	Bar (Permanent)
Capacities Affected:	ALL
Duration:	N/A
Start Date:	04/15/2010
End Date:	05/15/3000



Criminal - Final Disposition

This type of disclosure event involves a conviction or guilty plea for any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently on appeal.

Disclosure 1 of 1

Reporting Source:	Regulator
Formal Charges were brought in:	State Court
Name of Court:	SUPREME COURT OF THE STATE OF NEW YORK
Location of Court:	COUNTY OF NEW YORK
Docket/Case #:	INDICTMENT NO. 25/2009
Charge Date:	11/22/2010
Charge(s) 1 of 1	
Formal Charge(s)/Description:	VIOLATION OF THE MARTIN ACT, NEW YORK GENERAL BUSINESS LAW SECTION 352-C(6)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	GUILTY
Disposition of charge:	Pled guilty
Current Status:	Final
Status Date:	02/17/2011
Disposition Date:	02/17/2011
Sentence/Penalty:	A JUDGMENT OF CONVICTION WAS ENTERED AGAINST MORRIS AND HE WAS SENTENCED TO A TERM OF IMPRISONMENT OF ONE AND ONE-THIRD YEARS TO FOUR YEARS AND ORDERED TO PAY RESTITUTION IN THE AMOUNT OF \$19,000,000.

Reporting Source:	Firm
Court Details:	SUPREME COURT OF THE STATE OF NEW YORK, COUNTY OF NEW YORK, INDICTMENT NO. 25/2009
Charge Date:	03/19/2009
Charge Details:	THE NEW YORK ATTORNEY GENERAL'S INDICTMENT AS TO MR. MORRIS



ALLEGES 1 COUNT OF ENTERPRISE CORRUPTION; 1 COUNT OF GRAND LARCENY IN THE FIRST DEGREE; 1 COUNT OF BRIBERY IN THE SECOND DEGREE; 1 COUNT OF GRAND LARCENY IN THE SECOND DEGREE; 11 COUNTS OF FALSIFYING BUSINESS RECORDS IN THE FIRST DEGREE; 23 COUNTS OF MARTIN ACT FELONIES; 16 COUNTS OF MONEY LAUNDERING IN THE FOURTH DEGREE; 5 COUNTS OF OFFERING A FALSE INSTRUMENT FOR FILING IN THE FIRST DEGREE; 2 COUNTS OF REWARDING OFFICIAL MISCONDUCT IN THE SECOND DEGREE; AND 1 COUNT OF A SCHEME TO DEFRAUD IN THE FIRST DEGREE (ALL OF WHICH ARE FELONIES); AS WELL AS 28 COUNTS OF MARTIN ACT MISDEMEANORS.

Felony?

Yes

Current Status:

Pending

Status Date:
Firm Statement

ALL INFORMATION OBTAINED FROM THE NEW YORK ATTORNEY GENERAL'S MARCH 19, 2009 PRESS RELEASE ANNOUNCING THE INDICTMENT OF MR. MORRIS AND ANOTHER INDIVIDUAL.

End of Report



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