

BrokerCheck Report

HENRY GABRIEL CISNEROS

CRD# 5948414

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Events	10



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.

HENRY G. CISNEROS

CRD# 5948414

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

B **SIEBERT WILLIAMS SHANK & CO., LLC**
 2211 Buena Vista Street
 SUITE 102
 SAN ANTONIO, TX 78207
 CRD# 42568
 Registered with this firm since: 01/26/2016

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
- 3 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 8 General Industry/Product Exams
- 2 State Securities Law Exams

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

No information reported.

**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 3 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SIEBERT WILLIAMS SHANK & CO., LLC**

Main Office Address: **100 WALL STREET
18TH FLOOR
NEW YORK, NY 10005**

Firm CRD#: **42568**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/26/2016
B	FINRA	General Securities Representative	Approved	01/26/2016
B	FINRA	Municipal Securities Representative	Approved	02/08/2016
B	FINRA	Municipal Securities Principal	Approved	03/28/2016
B	FINRA	Investment Banking Representative	Approved	11/28/2016
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	04/10/2017
B	FINRA	Government Securities Representative	Approved	10/24/2017
B	FINRA	Corporate Securities Represent	Approved	05/31/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	FINRA	Private Securities Offerings Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/27/2016
B	Florida	Agent	Approved	01/27/2016
B	Texas	Agent	Approved	01/29/2016

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

SIEBERT WILLIAMS SHANK & CO., LLC

2211 Buena Vista Street
SUITE 102
SAN ANTONIO, TX 78207



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 2 principal/supervisory exams, 8 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	03/26/2016
B General Securities Principal Examination	Series 24	01/03/2016

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Corporate Securities Limited Representative Examination	Series 62	06/09/2018
B Government Securities Representative Examination	Series 72	11/12/2017
B Municipal Advisor Representative Qualification Exam	Series 50	09/05/2017
B Limited Representative-Private Securities Offerings	Series 82	05/05/2017
B Investment Banking Registered Representative Examination	Series 79	11/26/2016
B Municipal Securities Representative Examination	Series 52	02/06/2016
B General Securities Representative Examination	Series 7	08/25/2015

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/26/2018
B Uniform Securities Agent State Law Examination	Series 63	09/29/2015

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at

Broker Qualifications



Industry Exams this Broker has Passed, continued

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
No information reported.			

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
02/2019 - Present	American Triple I, LLC	Chairman	Y	New York, NY, United States
01/2016 - Present	SIEBERT WILLIAMS SHANK & CO., LLC	Registered Broker-Dealer	Y	San Antonio, TX, United States
08/2003 - Present	CITY VIEW	CHAIRMAN	Y	SAN ANTONIO, TX, 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.

SAT Auto Technologies LTD, 31 Imperial Way, San Antonio, TX, board member, automotive supplier, qtlly. meetings, investment related, receive comp., strategic advisory.. CM Investments, 454 Soledad St., San Antonio, TX, investor, non-residential real estate development, 2015, investment related, receive comp., consult/advice. Mission DG LLC, 454 Soledad St., San Antonio, TX, owner, real estate development company, 2015, 2hrs/mo., during trading hrs., investment related, receive comp., strategic oversight. River City Mgmt./Cardinal JV, 2002 West Houston, TX, Chairman of the Board, real estate development company, 2012, hrs. vary, investment related, not for comp., strategic oversight. Royce Carlton Inc., 866 United Nations Plz., NYC, speaker, 1988, hrs. vary, not investment related, receive comp., speaking engagements. Univision, 605 Third Ave., NYC, board member, broadcasting, 2008, hrs. vary, not investment related, receive comp., board member svcs. Bipartisan Policy Center, Washington, DC., board member, not-for-profit, 2012, qtlly. meetings, not investment related, receive comp., board member svcs. American Sunrise, 2007 W. Commerce St., San Antonio, TX, Chairman & Co-Founder, not-for-profit, 2002, 5hr/mo., not investment related, not for comp., advisory. Urban Institute San Antonio, Washington, DC, board member, not-for-profit, 2013, 1hr/mo., not investment related, not for comp., board oversight. The American Assembly, Columbia Univ., NYC, Secretary of the Board, not-for-profit, 2015, hrs. vary., not investment related, not for comp., strategic advisory. Univ. of Texas - San Antonio Development Cmte., 1 UTSA Circle, San Antonio, TX, volunteer cmte. member, fundraising, 2004, 2hrs/yr., not investment related, not for comp., volunteer svcs. Univ. of Texas - UT Health Center at San Antonio, 7703 Floyd

Registration and Employment History



Other Business Activities, continued

Carl Dr., San Antonio, TX, President's Board of Councilors, not-for-profit, 2005, 5hrs/yr., not investment related, not for comp., volunteer svcs. fundraising. USC School of Policy, Planning & Development, 650 Childs Way, Los Angeles, CA, Member of the Board of Governors, public policy, edu., 2010, 12hrs/yr., not investment related, not for comp., board member duties. BioMed SA, 1 Valero Way, San Antonio, TX, Chairman Emeritus, promoting bioscience, 2004, zero hrs., not investment related, not for comp., advisory. New American Alliance, St. Louis, MO, Co-Founder Board Member Emeritus, not-for-profit, 1999, hrs. vary, not investment related, not for comp., advisory. National Academy of Public Administration, Washington, DC, Fellow, not-for-profit, 1998, hrs. vary, not investment related, not for comp., advisory. Naoke Mitsui Shirane Foundation, 454 Soledad St., San Antonio, TX, Chairman of the Board, fundraising for edu., 2016, hrs. vary, not investment related, not for comp., advisory. Connect SA, P.O. Box 6982, San Antonio, TX, Co-Chairman of the Board, not-for-profit, future of transportation San Antonio, 2018, 3hr/wk., not investment related, not for comp., provide oversight. Arboretum San Antonio - Founder - Feb 2022 - Non-Profit Org - 5 hours per month, none during trading.; HG-MAC LLC, Single purpose LLC to hold ownership interest in ATI, Owner, No time commitment, investment related, 2201 Buena Vista St, San Antonio

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.
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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
Formal Charges were brought in:	Federal Court
Name of Court:	U.S. District Court
Location of Court:	District of Columbia
Docket/Case #:	97-CR-0485 (SS)
Charge Date:	12/12/1997
Charge(s) 1 of 1	
Formal Charge(s)/Description:	18 U.S.C. 371 Conspiracy to Defraud; 18 U.S.C. 1001 False Statement; 18 U.S.C. 1505 Obstruction of Justice
No of Counts:	18
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Date of Amended Charge:	09/01/1999
Charge was Amended or reduced to:	18 U.S.C. 1018 False Statement
Amended No of Counts:	1



Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	09/10/1999
Disposition Date:	09/07/1999
Sentence/Penalty:	Fine of \$10,000.00 paid on 11/12/1999

End of Report



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