

BrokerCheck Report

CHRISTOPHER ALEXANDER POLINAIRE

CRD# 4330879

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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:
 - 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.

CHRISTOPHER A. POLINAIRE

CRD# 4330879

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

Registration History

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

- B NETWORK 1 FINANCIAL SECURITIES INC.**
CRD# 13577
Hauppauge, NY
02/2021 - 10/2022
- B ARIVE CAPITAL MARKETS**
CRD# 8060
Ronkonkoma, NY
06/2017 - 11/2020
- B FIRST STANDARD FINANCIAL COMPANY LLC**
CRD# 168340
Garden City, NY
11/2016 - 06/2017

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	1
Judgment/Lien	4

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 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 General Securities Representative Examination	Series 7	09/21/2004

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	11/24/2004

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 02/2021 - 10/2022	NETWORK 1 FINANCIAL SECURITIES INC.	13577	Hauppauge, NY
B 06/2017 - 11/2020	ARIVE CAPITAL MARKETS	8060	Ronkonkoma, NY
B 11/2016 - 06/2017	FIRST STANDARD FINANCIAL COMPANY LLC	168340	Garden City, NY
B 11/2015 - 07/2016	FIRST STANDARD FINANCIAL COMPANY LLC	168340	Garden City, NY
B 03/2015 - 11/2015	ROCKWELL GLOBAL CAPITAL LLC	142485	MELVILLE, NY
B 09/2013 - 09/2014	SALOMON WHITNEY LLC	145012	FARMINGDALE, NY
B 08/2013 - 10/2013	CBG FINANCIAL GROUP, INC.	6578	MELVILLE, NY
B 09/2012 - 08/2013	DALTON STRATEGIC INVESTMENT SERVICES INC.	23485	PORT JEFFERSON, NY
B 05/2012 - 09/2012	FIRST MIDWEST SECURITIES, INC.	21786	HAUPPAUGE, NY
B 08/2010 - 04/2012	CAPE SECURITIES INC.	7072	HOLBROOK, NY
B 08/2010 - 08/2010	AVALON PARTNERS, INC.	41357	HOLBROOK, NY
B 06/2008 - 08/2010	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	130390	HOLBROOK, NY
B 02/2008 - 06/2008	AMERICAN CAPITAL PARTNERS, LLC	119249	MEDFORD, NY
B 01/2008 - 02/2008	AMERICA'S CHOICE EQUITIES LLC	135272	HAUPPAUGE, NY
B 02/2007 - 02/2008	J.P. TURNER & COMPANY, L.L.C.	43177	MEDFORD, NY
B 12/2004 - 01/2007	MILESTONE FINANCIAL SERVICES, INC.	43295	BOHEMIA, NY
B 09/2004 - 12/2004	LH ROSS & COMPANY, INC.	37920	BOCA RATON, FL

Employment History



Registration and Employment History

Employment History, continued

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
01/2021 - Present	Network 1 Financial Securities, Inc.	Registered Representative	Y	Red Bank, NJ, United States
06/2017 - 10/2020	Arive Capital Markets	Registered Representative	Y	Bay Ridge, NY, United States
11/2016 - 06/2017	First Standard Financial Company	Registered Representative	Y	New York, NY, United States
06/2016 - 11/2016	Unemployed	Unemployed	Y	Patchogue, NY, United States
11/2015 - 06/2016	First Standard Financial Company	Registered Representative	Y	New York, NY, United States
03/2015 - 11/2015	ROCKWELL GLOBAL CAPITAL LLC	REGISTERED REP	Y	MELVILLE, NY, United States
09/2014 - 03/2015	UNEMPLOYED	UNEMPLOYED	N	RONKONKOMA, NY, United States
09/2013 - 09/2014	SALOMON WHITNEY LLC	REGISTERED REPRESENTATIVE	Y	FARMINGDALE, NY, United States
08/2013 - 09/2013	CBG FINANCIAL GROUP, INC.	ACCOUNT EXECUTIVE	Y	MELVILLE, NY, United States
09/2012 - 08/2013	DALTON STRATEGIC INVESTMENT SRRVICES, INC.,	FINANCIAL ADVISOR	Y	KNIGHTSTOWN, IN, 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.

No information reported.



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
Regulatory Event	0	1	0
Judgment/Lien	4	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	11/01/2022
Docket/Case Number:	2020066685701
Employing firm when activity occurred which led to the regulatory action:	Arive Capital Markets
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Polinaire consented to the sanctions and to the entry of findings that he engaged in excessive and unsuitable trading in customer accounts. The findings stated that Polinaire recommended that his customers place trades in their accounts, some of which were executed using margin, and the customers routinely accepted his recommendations. Polinaire's trading resulted in annual turnover rates ranging from 10.01 to 45.23 and annualized cost-to-equity ratios ranging from 35.65 percent to 152.56 percent. In total, the customers paid a combined \$128,000 in commissions and fees based on the trades Polinaire recommended.
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: 11/01/2022

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Restitution
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 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	Eight Months
Start Date:	11/07/2022
End Date:	07/06/2023



Monetary Sanction 1 of 2

Monetary Related Sanction: Restitution
Total Amount: \$128,000.00
Portion Levied against individual: \$128,000.00

Payment Plan: Plus interest

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$7,500.00
Portion Levied against individual: \$7,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



Judgment / Lien

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

Disclosure 1 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	SALOMON WHITNEY LLC
Judgment/Lien Amount:	\$10,581.76
Judgment/Lien Type:	Civil
Date Filed with Court:	08/14/2015
Date Individual Learned:	08/19/2015
Type of Court:	State Court
Name of Court:	SUPREME COURT OF STATE OF NEW YORK COUNTY OF SUFFOLK
Location of Court:	HAUPPAUGE, NY
Docket/Case #:	15-14332
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	MRC RECEIVABLES
Judgment/Lien Amount:	\$1,082.00
Judgment/Lien Type:	Civil
Date Filed with Court:	07/20/2007
Date Individual Learned:	03/25/2014
Type of Court:	State Court
Name of Court:	SUFFOLK COUNTY
Location of Court:	SUFFOLK COUNTY
Docket/Case #:	CEC070002963
Judgment/Lien Outstanding?	Yes
Broker Statement	WAS UNAWARE OF THIS LIEN PRIOR TO ME RECEIVING THE INQUIRY, I AM CURRENTLY ENROLLED IN A PAYMENT PLAN TO SATISFY THE JUDGMENT



Disclosure 3 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	MEDICAL PAYMENT DATA
Judgment/Lien Amount:	\$623.00
Judgment/Lien Type:	Civil
Date Filed with Court:	01/22/2007
Type of Court:	State Court
Name of Court:	SUFFOLK COUNTY COURT
Location of Court:	YAPHANK, NY
Docket/Case #:	SMC010008121
Judgment/Lien Outstanding?	Yes
Broker Statement	I RECEIVED MEDICAL ATTENTION FROM BROOKHAVEN HOSPITAL, BUT DIDN'T HAVE INSURANCE AT THE TIME. THE JUDGEMENT HAS BEEN ADDRESSED AND IS IN THE PROCESS OF BEING PAID.

Disclosure 4 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	NCO PORTFOLIO MANAGEMENT INC AS ASSIGNEE OF DISCOVER
Judgment/Lien Amount:	\$3,355.37
Judgment/Lien Type:	Civil
Date Filed with Court:	11/04/2004
Type of Court:	State Court
Name of Court:	FIRST DISTRICT COURT OF NEW YORK
Location of Court:	NEW YORK
Docket/Case #:	PEC 72304
Judgment/Lien Outstanding?	Yes
Broker Statement	THE ISSUS IS IN THE PROCESS OF BEING PAID

End of Report



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