

BrokerCheck Report

COMPUTERSHARE SECURITIES CORPORATION

CRD# 107023

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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.

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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)

COMPUTERSHARE SECURITIES CORPORATION

CRD# 107023

SEC# 8-53022

Main Office Location2 N. LASALLE STREET
CHICAGO, IL 60602**Mailing Address**2 N. LASALLE STREET
CHICAGO, IL 60602**Business Telephone Number**

312 588-4993

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 11/17/2000.

Its fiscal year ends in June.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

**Disclosure Events**

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Arbitration	2

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 12/31/2010

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 11/17/2000.

Its fiscal year ends in June.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

COMPUTERSHARE SECURITIES CORPORATION

Doing business as COMPUTERSHARE SECURITIES CORPORATION

CRD# 107023

SEC# 8-53022

Main Office Location

2 N. LASALLE STREET
CHICAGO, IL 60602

Mailing Address

2 N. LASALLE STREET
CHICAGO, IL 60602

Business Telephone Number

312 588-4993



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	COMPUTERSHARE INVESTOR SERVICES, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	11/2000
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ALLAIN, MEREDITH STELLA 5664859
Is this a domestic or foreign entity or an individual?	Individual
Position	ASSISTANT TREASURER
Position Start Date	03/2009
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HALL, BARBARA YVONNE 3134465
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO, DIR
Position Start Date	07/2001



Firm Profile

Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company?

Legal Name & CRD# (if any): HARRIGAN, SCOTT MICHAEL
4399207

Is this a domestic or foreign entity or an individual? Individual

Position COO, DIR

Position Start Date 10/2007

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): HURT, BLANCHE OWEN
4368501

Is this a domestic or foreign entity or an individual? Individual

Position CCO

Position Start Date 01/2001

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company?

Legal Name & CRD# (if any): KELLY, MARY FRANCES

Firm Profile**Direct Owners and Executive Officers (continued)**

1284213

Is this a domestic or foreign entity or an individual? Individual

Position DIR

Position Start Date 10/2007

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company?

Legal Name & CRD# (if any): MULLINS, GERARD MICHAEL

4369185

Is this a domestic or foreign entity or an individual? Individual

Position CFO

Position Start Date 12/2000

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company?

Legal Name & CRD# (if any): SPADAFORD, JOSEPH FRANCIS

4304078

Is this a domestic or foreign entity or an individual? Individual

Position DIR

Position Start Date 10/2007

Percentage of Ownership Less than 5%

Firm Profile**Direct Owners and Executive Officers (continued)**

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): TULLOCH, SHARON LEE
4318629

Is this a domestic or foreign entity or an individual? Individual

Position DIR

Position Start Date 11/2000

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company?



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any): ACN 081 035 752

Is this a domestic or foreign entity or an individual? Foreign Entity

Company through which indirect ownership is established COMPUTERSHARE US

Relationship to Direct Owner 89.93% OWNED

Relationship Established 01/2004

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): COMPUTERSHARE INVESTOR SERVICES LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established COMPUTERSHARE SECURITIES CORPORATION

Relationship to Direct Owner 100% OWNED

Relationship Established 11/2000

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): COMPUTERSHARE LTD

Is this a domestic or foreign entity or an individual? Foreign Entity



Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established COMPUTERSHARE FINANCE COMPANY PTY LTD

Relationship to Direct Owner 100% OWNED

Relationship Established 01/2000

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): COMPUTERSHARE LTD

Is this a domestic or foreign entity or an individual? Foreign Entity

Company through which indirect ownership is established ACN 081 035 752

Relationship to Direct Owner 100 % OWNED

Relationship Established 01/2000

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): COMPUTERSHARE FINANCE COMPANY PTY LTD

Is this a domestic or foreign entity or an individual? Foreign Entity

Company through which indirect ownership is established COMPUTERSHARE US

Relationship to Direct Owner 10.07% OWNED

Relationship Established 01/2004

Firm Profile



Indirect Owners (continued)

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): COMPUTERSHARE US

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established COMPUTERSHARE US SERVICES INC

Relationship to Direct Owner 100% OWNED

Relationship Established 07/2006

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): COMPUTERSHARE US SERVICES INC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established COMPUTERSHARE INVESTOR SERVICES LLC

Relationship to Direct Owner 100 % OWNED

Relationship Established 01/2004

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile



Indirect Owners (continued) company?

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.



Firm Operations



Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 05/24/2001 to 03/01/2011.



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 3 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Non-exchange member arranging for transactions in listed securities by exchange member

Other - CSC INTENDS TO ENGAGE IN SALES-RELATED ACTIVITIES OF EMPLOYEE STOCK PURCHASE PLANS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	BROADCOURT CAPITAL CORP
Business Address:	222 BROADWAY 6TH FLOOR NEW YORK, NY 10038
Effective Date:	05/02/2001
Description:	CSC INTENDS TO ROUTE ORDERS THAT IT RECEIVES TO MERRILL LYNCH & CO. (AND POSSIBLY OTHER REGISTERED BROKERS/DEALERS) FOR EXECUTION.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: COMPUTERSHARE INVESTOR SERVICES

Business Address: 2 NORTH LASALLE STREET
CHICAGO, IL 60602

Effective Date: 04/17/2001

Description: CSC WILL HAVE ACCESS TO A GLOBAL SYSTEM OF RECORDS MAINTAINED BY THE COMPUTERSHARE FAMILY OF COMPANIES, OF WHICH COMPUTERSHARE SECURITIES CORP. IS A PART.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: COMPUTERSHARE INVESTOR SERVICES

Business Address: 2 NORTH LASALLE STREEET
CHICAGO, IL 60602

Effective Date: 04/17/2001

Description: AS A TRANSFER AGENT AND THE PARENT COMPANY TO COMPUTERSHARE SECURITIES CORP., COMPUTERSHARE INVESTOR SERVICES, LLC, MAY HOLD FUNDS OR SECURITIES OF THE APPLICANT

Name: BROADCAST CAPITAL CORP

Business Address: 101 HUDSON STREET
10TH FLOOR
JERSEY CITY, NJ 07302

Effective Date: 05/02/2001

Description: AS AN INTRODUCING BROKER, COMPUTERSHARE SECURITIES CORP. WILL MAINTAIN CUSTOMER FUNDS WITH ITS CLEARING BROKER.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

GEORGESON SECURITIES CORPORATION is under common control with the firm.

CRD #:	46749
Business Address:	525 WASHINGTON BLVD JERSEY CITY, NJ 07310
Effective Date:	12/01/2003
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	COMPUTERSHARE SECURITIES CORP. AND GEORGESON SECURITIES CORP. ARE UNDER COMMON CONTROL BY COMPUTERSHARE US SERVICES INC

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Arbitration	N/A	2	N/A

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
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 brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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.
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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator
Current Status: Final



Allegations: SEC RULES 15C3-1, 17A-3(A), 17A-5, NASD RULES 2110, 3110(A) - COMPUTERSHARE SECURITIES CORPORATION USED THE MAILS OR OTHER MEANS OR INSTRUMENTALITIES OF INTERSTATE COMMERCE TO EFFECT TRANSACTIONS IN SECURITIES WHILE IT FAILED TO MAINTAIN THE MINIMUM REQUIRED NET CAPITAL; PREPARED INACCURATE TRIAL BALANCES AND NET COMPUTATIONS; AND FILED NASD FOCUS PART IIA REPORTS THAT WERE INACCURATE IN THAT THE REPORTS OVERSTATED THE FIRM'S NET CAPITAL.

Initiated By: NASD

Date Initiated: 02/13/2006

Docket/Case Number: [E8A2005005301](#)

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 02/13/2006

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

Sanctions Ordered: Censure
Monetary/Fine \$60,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, COMPUTERSHARE SECURITIES CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE NETYR OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$60,000.

Reporting Source: Firm

Current Status: Final

Allegations: SEC RULES 15C-3-1, 17A-3(A), 17A-5 AND NASD RULE 2110,



3110(A) COMPUTERSHARE SECURITIES CORP. USED THE MAILS OR BY OTHER MEANS OR INSTRUMENTALITIES OF INTERSTATE COMMERCE TO EFFECT TRANSACTIONS IN SECURITIES WHILE IT FAILED TO MAINTAIN THE MINIMUM REQUIRED NET CAPITAL; PREPARED INACCURATE TRIAL BALANCES AND NET COMPUTATIONS; AND FILED NASD FOCUS PART IIA REPORTS THAT WERE INACCURATE IN THAT THE REPORTS OVERSTATED THE FIRM'S NET CAPITAL.

Initiated By: NASD

Date Initiated: 02/13/2006

Docket/Case Number: [E8A2005005301](#)

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: OTHER SANCTIONS/RELIEF SOUGHT:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 02/13/2006

Sanctions Ordered: Censure
Monetary/Fine \$60,000.00

Other Sanctions Ordered: NONE

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, COMPUTERSHARE SECURITIES CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS: THEREFORE. THE FIRM IS CENSURED AND FINED \$60,000. PAYMENT HAS BEEN SENT.

Firm Statement THE FIRM ACCEPTS THE TERMS OF THE ACCEPTANCE WAVIER AND CONSENT AS OUTLINED IN THEIR LETTER.

Arbitration Award - Award / Judgment

Brokerage firms are not required to report arbitration claims filed against them by customers; however, BrokerCheck provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and registered securities firms in this section of the report.

The full text of arbitration awards issued by FINRA is available at www.finra.org/awardsonline.

Disclosure 1 of 2

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; EXECUTIONS-FAILURE TO EXECUTE; NO OTHER CONTROVERSY INVOLVED
Arbitration Forum:	FINRA
Case Initiated:	12/04/2008
Case Number:	08-04550
Disputed Product Type:	COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE
Sum of All Relief Requested:	\$2,500.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	05/14/2009
Sum of All Relief Awarded:	\$330.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 2 of 2

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-OMISSION OF FACTS; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-TRANSFER
Arbitration Forum:	FINRA
Case Initiated:	05/10/2021
Case Number:	21-01118
Disputed Product Type:	COMMON STOCK



Sum of All Relief Requested: \$51,251.92
Disposition: AWARD AGAINST PARTY
Disposition Date: 10/15/2021
Sum of All Relief Awarded: \$25,767.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

End of Report



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