

BrokerCheck Report

LAFISE SECURITIES LLC

CRD# 115624

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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.



LAFISE SECURITIES LLC

CRD# 115624

SEC# 8-53506

Main Office Location

2340 S DIXIE HIGHWAY
MIAMI, FL 33133
Regulated by FINRA Florida Office

Mailing Address

2340 S DIXIE HIGHWAY
MIAMI, FL 33133

Business Telephone Number

305 374-6001

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:
<https://www.adviserinfo.sec.gov>

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 limited liability company.
This firm was formed in Florida on 06/01/2024.
Its fiscal year ends in December.

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 firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 2 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 13 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

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	3



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Florida on 06/01/2024.

Its fiscal year ends in December.

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.

LAFISE SECURITIES LLC

Doing business as LAFISE SECURITIES LLC

CRD# 115624

SEC# 8-53506

Main Office Location

2340 S DIXIE HIGHWAY
MIAMI, FL 33133

Regulated by FINRA Florida Office

Mailing Address

2340 S DIXIE HIGHWAY
MIAMI, FL 33133

Business Telephone Number

305 374-6001



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):	AROMAZ LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	06/2024
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):	FRANCHY, LUISA 4451108
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, PFO, POO
Position Start Date	09/2018
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):	NAVARRO, JOSE PABLO 7278758
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO/CCO
Position Start Date	04/2025

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
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Does this owner direct the management or policies of the firm?	Yes
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Is this a public reporting company?	No
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Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	ZAMORA, ROBERT JOSEPH SR 4449917
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	AROMAZ
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	06/2024
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

Firm History

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



This firm was previously: LAFISE SECURITIES CORPORATION

Date of Succession: 06/01/2024

Predecessor CRD#: 115624

Predecessor SEC#: 8-53506

Description LAFISE SECURITIES CORP IS CHANGING ITS CORPORATE STRUCTURE. LAFISE SECURITIES LLC IS THE NEW ENTITY. THE ASSETS AND LIABILITIES WILL MOVE WITH THE CHANGE IN CORPORATE STRUCTURE TO THE NEW ENTITY LAFISE SECURITIES LLC. IT IS A SUCCESSION BUT THE CONTROL INDIVIDUALS ARE STAYING THE SAME.



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 currently registered with the SEC, 1 SRO and 2 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/17/2002

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	05/17/2002

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Colorado	Approved	08/25/2020
Florida	Approved	05/23/2002



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 13 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities dealer
U S. government securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Broker or dealer selling interests in mortgages or other receivables
Broker or dealer involved in a networking, kiosk or similar arrangement with a: bank, savings bank or association, or credit union

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:	STONEX FINANCIAL INC.
CRD #:	45993
Business Address:	329 PARK AVENUE NORTH SUITE 350 WINTER PARK, FL 32789
Effective Date:	08/16/2021
Description:	STONEX AND LAFISE HAVE SIGNED AN AGREEMENT FOR STONEX TO BE THE CLEARING FIRM FOR LAFISE.

Firm Operations

Industry Arrangements



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

Name: STONEX FINANCIAL INC.
CRD #: 45993
Business Address: 329 PARK AVENUE NORTH SUITE 350
WINTER PARK, FL 32789
Effective Date: 08/16/2021
Description: STONEX AND LAFISE HAVE SIGNED AN AGREEMENT FOR STONEX TO BE THE CLEARING FIRM FOR LAFISE.

Name: PUBLIC STORAGE
Business Address: 151 NW 5TH STREET
MIAMI, FL 33128
Effective Date: 12/16/2020
Description: HARD COPY OF BOOKS AND RECORDS OF APPLICANT ARE KEPT IN STORAGE.

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

Name: STONEX FINANCIAL INC.
CRD #: 45993
Business Address: 329 PARK AVENUE NORTH SUITE 350
WINTER PARK, FL 32789
Effective Date: 08/16/2021
Description: STONEX AND LAFISE HAVE SIGNED AN AGREEMENT FOR STONEX TO BE THE CLEARING FIRM FOR LAFISE.

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

Name: STONEX FINANCIAL INC.
CRD #: 45993
Business Address: 329 PARK AVENUE NORTH SUITE 350
WINTER PARK, FL 32789
Effective Date: 08/16/2021
Description: STONEX AND LAFISE HAVE SIGNED AN AGREEMENT FOR STONEX TO BE THE CLEARING FIRM FOR LAFISE.

Firm Operations



Industry Arrangements (continued)

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.**

LAFISE GLOBAL ADVISORS LLC is under common control with the firm.

CRD #:	331244
Business Address:	2340 S DIXIE HIGHWAY MIAMI, FL 33133
Effective Date:	04/19/2024
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	LAFISE GLOBAL ADVISORS LLC IS UNDER COMMON CONTROL WITH APPLICANT THROUGH AROMAZ LLC.

LAFISE VALORES HONDURAS is under common control with the firm.

Business Address:	TORRE LAFISE, PARQUE COMERCIAL LOS PROCERES TEGUCIGALPA, HONDURAS
Effective Date:	06/01/2001
Foreign Entity:	Yes
Country:	HONDURAS
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE AFFILIATE IS OWNED DIRECTLY OR INDIRECTLY BY MORE THAN 75%

Firm Operations



Organization Affiliates (continued)

BY LAFISE GROUP PANAMA (A HOLDING COMPANY). THE FINAL BENEFICIARY OWNER/ OWNERS OF LAFISE GROUP PANAMA IS/ARE ALSO THE OWNER/OWNERS BY MORE THAN 75% OF LAFISE SECURITIES.

LAFISE VALORES PANAMA is under common control with the firm.

Business Address: SANTA MARIA BUSINESS
LLANO BONITO ALADO DE AUDI
PANAMA CITY, REPUBLIC OF PANAMA

Effective Date: 06/01/2001

Foreign Entity: Yes

Country: REPUBLIC OF PANAMA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS OWNED DIRECTLY OR INDIRECTLY BY MORE THAN 75% BY LAFISE GROUP PANAMA (A HOLDING COMPANY). THE FINAL BENEFICIARY OWNER/ OWNERS OF LAFISE GROUP PANAMA IS/ARE ALSO THE OWNER/OWNERS BY MORE THAN 75% OF LAFISE SECURITIES.

LAFISE VALORES DE EL SALVADOR SA DE CV is under common control with the firm.

Business Address: EDIFICIO WORLD TRADE CENTER TORRE 2 NO. 305,
89 AVE. N., CALLE EL MIRADOR, COLONIA ESCALON
SAN SALVADOR, EL SALVADOR

Effective Date: 06/01/2001

Foreign Entity: Yes

Country: EL SALVADOR

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS OWNED DIRECTLY OR INDIRECTLY BY MORE THAN 75% BY LAFISE GROUP PANAMA (A HOLDING COMPANY). THE FINAL BENEFICIARY OWNER/ OWNERS OF LAFISE GROUP PANAMA IS/ARE ALSO THE OWNER/OWNERS BY MORE THAN 75% OF LAFISE SECURITIES.

LAFISE VALORES SANTO DOMINGO SA is under common control with the firm.

Business Address: PORFIRIO HERRERA NO. 29, EDIFICIO INICA PISO 4, EV

Firm Operations



Organization Affiliates (continued)

MORALES.
SANTO DOMINGO, DOMINICAN REPUBLIC

Effective Date: 06/01/2001

Foreign Entity: Yes

Country: DOMINICAN REPUBLIC

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS OWNED DIRECTLY OR INDIRECTLY BY MORE THAN 75% BY LAFISE GROUP PANAMA (A HOLDING COMPANY). THE FINAL BENEFICIARY OWNER/ OWNERS OF LAFISE GROUP PANAMA IS/ARE ALSO THE OWNER/OWNERS BY MORE THAN 75% OF LAFISE SECURITIES.

LAFISE VALORES SA is under common control with the firm.

Business Address: 16 CALLE 0-55, ZONA 10, TORRE INTERNACIONAL
PISO 9
GUATEMALA CITY, GUATEMALA

Effective Date: 06/01/2001

Foreign Entity: Yes

Country: GUATEMALA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS OWNED DIRECTLY OR INDIRECTLY BY MORE THAN 75% BY LAFISE GROUP PANAMA (A HOLDING COMPANY). THE FINAL BENEFICIARY OWNER/ OWNERS OF LAFISE GROUP PANAMA IS/ARE ALSO THE OWNER/OWNERS BY MORE THAN 75% OF LAFISE SECURITIES.

LAFISE VALORES SA is under common control with the firm.

Business Address: CENTRO FINANCIERO LAFISE, CARRETERA A MASAYA
KM. 5.5
MANAGUA, NICARAGUA

Effective Date: 06/01/2001

Foreign Entity: Yes

Country: NICARAGUA

Firm Operations



Organization Affiliates (continued)

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS OWNED DIRECTLY OR INDIRECTLY BY MORE THAN 75% BY LAFISE GROUP PANAMA (A HOLDING COMPANY). THE FINAL BENEFICIARY OWNER/ OWNERS OF LAFISE GROUP PANAMA IS/ARE ALSO THE OWNER/OWNERS BY MORE THAN 75% OF LAFISE SECURITIES.

LAFISE VALORES PUESTO DE BOLSA SA is under common control with the firm.

Business Address: FUENTE DE LA HISPANIDAD 75M E.
SAN JOSE, COSTA RICA

Effective Date: 06/01/2001

Foreign Entity: Yes

Country: COSTA RICA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS OWNED DIRECTLY OR INDIRECTLY BY MORE THAN 75% BY LAFISE GROUP PANAMA (A HOLDING COMPANY). THE FINAL BENEFICIARY OWNER/ OWNERS OF LAFISE GROUP PANAMA IS/ARE ALSO THE OWNER/OWNERS BY MORE THAN 75% OF LAFISE SECURITIES.

LAFISE INVESTMENT MANAGEMENT is under common control with the firm.

Business Address: CENTRO FINANCIERO LAFISE, CARRETERA A MASAYA
KM. 5.5
MANAGUA, NICARAGUA

Effective Date: 06/01/2001

Foreign Entity: Yes

Country: NICARAGUA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS OWNED DIRECTLY OR INDIRECTLY BY MORE THAN 75% BY LAFISE GROUP PANAMA (A HOLDING COMPANY). THE FINAL BENEFICIARY OWNER/ OWNERS OF LAFISE GROUP PANAMA IS/ARE ALSO

Firm Operations



Organization Affiliates (continued)

THE OWNER/OWNERS BY MORE THAN 75% OF LAFISE SECURITIES.

This firm is 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

LAFISE GROUP PANAMA is a Bank Holding Company and controls the firm.

Business Address: SANTA MARIA BUSIENESS
LLANO BONITO ALADO DE AUDI
PANAMA, PANAMA

Effective Date: 05/05/2005

Description: THE AFFILIATE IS OWNED DIRECTLY OR INDIRECTLY BY MORE THAN 75% BY LAFISE GROUP PANAMA (A HOLDING COMPANY). THE FINAL BENEFICIARY OWNER/ OWNERS OF LAFISE GROUP PANAMA IS/ARE ALSO THE OWNER/OWNERS BY MORE THAN 75% OF LAFISE SECURITIES.



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	3	0



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 3

Reporting Source: Regulator

Current Status: Final



Allegations:	N/A
Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Date Initiated:	11/16/2018
Docket/Case Number:	89331-S
URL for Regulatory Action:	
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	CEASE AND DESIST
Resolution:	Order
Resolution Date:	11/16/2018
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:	Monetary/Fine \$2,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	\$2,000.00 ADMINISTRATIVE FINE PAID 11/16/2018
Regulator Statement	ON NOVEMBER 16, 2018, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF LAFISE SECURITIES CORPORATION. LAFISE SECURITIES CORPORATION NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT LAFISE SECURITIES CORPORATION FAILED TO MAINTAIN AN ACCURATE FORM ADV AND FAILED TO MAINTAIN AT LEAST ONE ASSOCIATED PERSON REGISTERED AND DESIGNATED AS PRINCIPAL. PURSUANT TO THE FINAL ORDER, LAFISE SECURITIES CORPORATION AGREED TO CEASE AND DESIST FROM ALL PRESENT AND FUTURE VIOLATIONS OF CHAPTER 517, F. S. AND THE ADMINISTRATIVE RULES THEREUNDER; AND TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$2,000.00.



Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	THE FLORIDA OFFICE OF FINANCIAL REGULATION ISSUED AN ORDER OF SUMMARY SUSPENSION AGAINST LAFISE SECURITIES CORPORATION FOR VIOLATING SECTION 517.161(1), FLORIDA STATUTES, BY FAILING TO MAINTAIN AT LEAST ONE PERSON REGISTERED AND DESIGNATED AS PRINCIPAL FOR MORE THAN THIRTY (30) DAYS.
Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Date Initiated:	05/04/2018
Docket/Case Number:	89331-S
URL for Regulatory Action:	
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	08/16/2018
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:	Suspension Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	EFFECTIVE MAY 4, 2018, LAFISE SECURITIES CORPORATION IS SUMMARILY SUSPENDED FROM CONDUCTING BUSINESS, WITH THE EXCEPTION THAT THE FIRM MAY CONDUCT LIMITED BUSINESS RELATED TO WRAPPING UP ITS INVESTMENT ADVISORY AFFAIRS WITH CURRENT CLIENTS, INCLUDING, BUT NOT LIMITED TO, TRANSFERRING CLIENT ACCOUNTS TO AN INDEPENDENT INVESTMENT ADVISER. ON AUGUST 16, 2018, THE OFFICE LIFTED THE SUMMARY SUSPENSION. LAFISE SECURITIES CORPORATION HAS SATISFIED THE CONDITION THAT



SUPPORTED THE SUMMARY SUSPENSION AND MAY IMMEDIATELY COMMENCE CONDUCTING BUSINESS AS AN INVESTMENT ADVISER IN THE STATE OF FLORIDA.

Regulator Statement

ON NOVEMBER 29, 2017, THE FLORIDA OFFICE OF FINANCIAL REGULATION CONDUCTED A ROUTINE EXAMINATION TO DETERMINE IF LAFISE SECURITIES CORPORATION WAS IN COMPLIANCE WITH CHAPTER 517, FLORIDA STATUTES, AND THE RULES AND REGULATIONS PROMULGATED THERETO. RULE 69W-600.0016(5)(A), FLORIDA ADMINISTRATIVE CODE, REQUIRES THAT EVERY INVESTMENT ADVISER SHALL HAVE AND MAINTAIN AT LEAST ONE ASSOCIATED PERSON REGISTERED AND DESIGNATED AS A PRINCIPAL. RULE 69W-600.0016(5)(B), FLORIDA ADMINISTRATIVE CODE, PROVIDES IN PART, THAT IN THE EVENT AN INVESTMENT ADVISER FAILS TO MAINTAIN AT LEAST ONE PERSON REGISTERED AND DESIGNATED AS PRINCIPAL FOR MORE THAN THIRTY (30) DAYS, THE REGISTRATION OF SUCH INVESTMENT ADVISER SHALL BE SUSPENDED UNTIL SUCH TIME AS A DESIGNATED PRINCIPAL IS SO REGISTERED. THE EXAMINATION REVEALED LAFISE SECURITIES CORPORATION HAS NOT MAINTAINED A REGISTERED ASSOCIATED PERSON NOR A DESIGNATED PRINCIPAL SINCE ON OR ABOUT OCTOBER 16, 2017.

Reporting Source:

Firm

Current Status:

Final

Allegations:

REGARDING INVESTMENT ADVISORY ACTIVITY ONLY. ALTHOUGH LAFISE SECURITIES DID NOT HAVE ANY INVESTMENT ADVISORY CLIENTS AT THE TIME, THE FLORIDA OFFICE OF FINANCIAL REGULATION ISSUED AN ORDER OF SUMMARY SUSPENSION AGAINST LAFISE SECURITIES CORPORATION FOR VIOLATING SECTION 517.161(1), FLORIDA STATUTES, BY FAILING TO MAINTAIN AT LEAST ONE PERSON REGISTERED AND DESIGNATED AS PRINCIPAL FOR MORE THAN THIRTY (30) DAYS.

Initiated By:

FLORIDA OFFICE OF FINANCIAL REGULATION

Date Initiated:

05/04/2018

Docket/Case Number:

89331-S

Principal Product Type:

No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Suspension

Other Sanction(s)/Relief Sought:



Resolution:	Order
Resolution Date:	11/16/2018
Sanctions Ordered:	Monetary/Fine \$2,000.00 Suspension Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	ON AUGUST 16, 2018, THE OFFICE LIFTED THE SUMMARY SUSPENSION ON THE REGISTERED INVESTMENT ADVISOR FOR NOT HAVING A AT LEAST ONE PERSON REGISTERED AND DESIGNATED AS PRINCIPAL. LAFISE SECURITIES CORPORATION HAS SATISFIED THE CONDITION THAT SUPPORTED THE SUMMARY SUSPENSION AND MAY IMMEDIATELY COMMENCE CONDUCTING BUSINESS AS AN INVESTMENT ADVISER IN THE STATE OF FLORIDA. MONETARY FEE OF \$2,000.00 WAS PAID ON 11/2/1018.
Firm Statement	REGARDING INVESTMENT ADVISORY ACTIVITY ONLY. ON NOVEMBER 29, 2017, THE FLORIDA OFFICE OF FINANCIAL REGULATION CONDUCTED A ROUTINE EXAMINATION TO DETERMINE IF LAFISE SECURITIES CORPORATION WAS IN COMPLIANCE WITH CHAPTER 517, FLORIDA STATUTES, AND THE RULES AND REGULATIONS PROMULGATED THERETO. RULE 69W-600.0016(5)(A), FLORIDA ADMINISTRATIVE CODE, REQUIRES THAT EVERY INVESTMENT ADVISER SHALL HAVE AND MAINTAIN AT LEAST ONE ASSOCIATED PERSON REGISTERED AND DESIGNATED AS A PRINCIPAL. RULE 69W-600.0016(5)(B), FLORIDA ADMINISTRATIVE CODE, PROVIDES IN PART, THAT IN THE EVENT AN INVESTMENT ADVISER FAILS TO MAINTAIN AT LEAST ONE PERSON REGISTERED AND DESIGNATED AS PRINCIPAL FOR MORE THAN THIRTY (30) DAYS, THE REGISTRATION OF SUCH INVESTMENT ADVISER SHALL BE SUSPENDED UNTIL SUCH TIME AS A DESIGNATED PRINCIPAL IS SO REGISTERED. ALTHOUGH LAFISE SECURITIES DID NOT HAVE ANY INVESTMENT ADVISORY ACTIVITY AT THE TIME, THE EXAMINATION REVEALED LAFISE SECURITIES CORPORATION HAS NOT MAINTAINED A REGISTERED ASSOCIATED PERSON NOR A DESIGNATED PRINCIPAL SINCE THE DEPARTURE OF THEIR LICENSED PRINCIPAL ON OR ABOUT OCTOBER 16, 2017.

Disclosure 3 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	FINRA RULE 2010, NASD RULE 3070 - LAFISE SECURITIES CORPORATION FAILED TO FILE, OR FAILED TO FILE IN A TIMELY MANNER, WITH FINRA, STATISTICAL AND SUMMARY INFORMATION RELATING TO CUSTOMER COMPLAINTS RECEIVED BY THE FIRM THAT WERE REQUIRED TO BE



REPORTED.

Initiated By: FINRA

Date Initiated: 11/08/2011

Docket/Case Number: 2009016028501

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: 11/08/2011

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 \$7,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$7,500.

Reporting Source: Firm

Current Status: Final

Allegations: FINRA RULE 2010, NASD RULE 3070 - LAFISE SECURITIES CORPORATION FAILED TO FILE, OR FAILED TO FILE IN A TIMELY MANNER, WITH FINRA, STATISTICAL AND SUMMARY INFORMATION RELATING TO CUSTOMER COMPLAINTS RECEIVED BY THE FIRM THAT WERE REQUIRED TO BE REPORTED.

Initiated By: FINRA

Date Initiated: 11/08/2011



Docket/Case Number: 2009016028501

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: 11/08/2011

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$7,500.

End of Report



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