

BrokerCheck Report

WBB SECURITIES, LLC

CRD# 118440

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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.



WBB SECURITIES, LLC

CRD# 118440

SEC# 8-53660

Main Office Location

20 COMMERCE DR
STE 135
CRANFORD, NJ 07016
Regulated by FINRA Woodbridge Office

Mailing Address

3111 CAMINO DEL RIO N #400
SAN DIEGO, CA 92108

Business Telephone Number

858-592-9901

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 New Jersey on 07/01/2020.
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
- 13 U.S. states and territories

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

This firm conducts 14 types of businesses.

This firm is not affiliated with any 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	1



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in New Jersey on 07/01/2020.

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.

WBB SECURITIES, LLC

Doing business as WBB SECURITIES, LLC

CRD# 118440

SEC# 8-53660

Main Office Location

20 COMMERCE DR
STE 135
CRANFORD, NJ 07016

Regulated by FINRA Woodbridge Office

Mailing Address

3111 CAMINO DEL RIO N #400
SAN DIEGO, CA 92108

Business Telephone Number

858-592-9901



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): BROZAK, DEJEAN & ASSOCIATES, LLC

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

Position OWNER

Position Start Date 01/2011

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): BROZAK, STEPHEN GILBERTPAUL III
1539206

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

Position PRESIDENT, CEO, MANAGING MEMBER

Position Start Date 01/2011

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): MILLER, MATTHEW
2229977

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

Position TRADING PRINCIPAL, MUNICIPAL SECS PRINCIPAL, OPTIONS PRINCIPAL

Position Start Date 03/2011

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? No

Legal Name & CRD# (if any): THOMAS, MICHELLE DENISE
2210435

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

Position CHIEF COMPLIANCE OFFICER, CHIEF FINANCIAL OFFICER, CHIEF OPERATIONS OFFICER

Position Start Date 12/2013

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): THORNTON, STEVEN LEE
4496384

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

Position FINOP

Position Start Date 06/2011

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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	BROZAK, STEPHEN GILBERTPAUL III 1539206
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	BROZAK, DEJEAN & ASSOCIATES, LLC
Relationship to Direct Owner	MANAGING MEMBER
Relationship Established	01/2010
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:	WBB SECURITIES LLC
Date of Succession:	07/01/2020
Predecessor CRD#:	118440
Predecessor SEC#:	8-53660
Description	THERE IS NO SUCCESSION. WBB SIMPLY MOVED OUT OF CALIFORNIA TO NEW JERSEY DUE TO THE RISING COSTS & POLITICAL ENVIRONMENT. ZERO CHANGE TO OWNERSHIP OF THE FIRM

This firm was previously:	WBB SECURITIES LLC
Date of Succession:	07/01/2020
Predecessor CRD#:	118440
Predecessor SEC#:	8-53660
Description	THERE IS NO SUCCESSION. WBB SIMPLY MOVED OUT OF CALIFORNIA TO NEW JERSEY. ZERO CHANGE TO OWNERSHIP OF THE FIRM



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 13 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/03/2002

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

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	01/03/2002

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	01/09/2002
Colorado	Approved	01/17/2002
Florida	Approved	01/15/2002
Idaho	Approved	01/03/2006
Indiana	Approved	02/05/2003
Nevada	Termination Requested	12/31/2020
New Jersey	Approved	01/16/2002
New York	Approved	01/23/2002
Ohio	Approved	01/07/2002
Pennsylvania	Approved	01/18/2002
Puerto Rico	Approved	08/16/2011
Texas	Approved	04/08/2025
Utah	Approved	01/04/2006



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 14 types of businesses.

Types of Business

Broker or dealer making inter-dealer markets in corporation securities over-the-counter

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

Municipal securities dealer

Municipal securities broker

Broker or dealer selling variable life insurance or annuities

Put and call broker or dealer or option writer

Investment advisory services

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

Trading securities for own account

Private placements of securities

Other - PROVIDES RESEARCH, RESEARCH REPORTS AND ANALYSIS.
ALSO REGISTERED AS A CALIFORNIA STATE RIA.

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:	MAPLEWOOD INVESTMENTS, INC.
CRD #:	103723
Business Address:	12222 MERIT DRIVE STE 1390 DALLAS, TX 75251
Effective Date:	12/10/2020
Description:	TRI-PARTY ARRANGEMENT THROUGH MAPLEWOOD INVESTMENTS TO CLEAR THROUGH NATIONAL FINANCIAL SERVICES AS INTRODUCING FIRM

Name:	NATIONAL FINANCIAL SERVICES LLC
CRD #:	13041
Business Address:	200 SEAPORT BLVD BOSTON, MA 02110
Effective Date:	09/30/2006
Description:	WBB SECURITIES, LLC HAS ENTERED INTO A CLEARING ARRANGEMENT WITH NATIONAL FINANCIAL SERVICES, LLC.

Firm Operations

Industry Arrangements



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

Name: GLOBAL RELAY
Business Address: 220 CAMBIE STREET 2ND FLOOR
VANCOUVER, CANADA V6B2M9
Effective Date: 04/01/2013
Description: SYSTEM USED FOR RETENTION AND SUPERVISION OF THE FIRM'S
ELECTRONIC COMMUNICATIONS

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
BOSTON, MA 02110
Effective Date: 09/30/2006
Description: THE FIRM'S CLEARING AGENT MAINTAINS TRADE BLOTTERS, ACCOUNT
STATEMENTS AND OTHER RECORDS

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

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
BOSTON, MA 02110
Effective Date: 09/30/2006
Description: THE FIRM'S CLEARING AGENT MAINTAINS ACCOUNTS, FUNDS, AND
SECURITIES OF THE FIRM

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

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
BOSTON, MA 02110
Effective Date: 09/30/2006
Description: THE FIRM'S CLEARING AGENT MAINTAINS ACCOUNTS, FUNDS, AND
SECURITIES OF CUSTOMERS INTRODUCED BY THE FIRM

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 not, 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.**

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



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: THE DIVISION ALLEGES THAT WBB SECURITIES, LLC ("WBB") VIOLATED SECTION 61-1-6(2)(G),-(J) OF THE UTAH UNIFORM SECURITIES ACT AND R164-6-1(G)(C)(28) OF THE UTAH ADMINISTRATIVE CODE BY FAILING TO SUPERVISE ONE OF ITS AGENTS: GARY R. GYGI (CRD #1577760).

Initiated By: UTAH DIVISION OF SECURITIES

Date Initiated: 08/23/2007

Docket/Case Number: SD-07-0054

URL for Regulatory Action:

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought: \$5,000 FINE

Resolution: Order

Resolution Date: 10/27/2008

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

Other Sanctions Ordered:

Sanction Details: FINE OF \$2,000 TO BE PAID TO THE DIVISION WITHIN THIRTY (30) DAYS. WBB SECURITIES, LLC PAID FULL AMOUNT ON 11/10/2008.

Regulator Statement THE PETITION TO CENSURE LICENSEES AND IMPOSE FINES CAN BE VIEWED ONLINE AT:
[HTTP://SECURITIES.UTAH.GOV/DOCKETS/07005401.PDF](http://SECURITIES.UTAH.GOV/DOCKETS/07005401.PDF)

THE FINAL ORDER CAN BE VIEWED ONLINE AT:
[HTTP://SECURITIES.UTAH.GOV/DOCKETS/07005402.PDF](http://SECURITIES.UTAH.GOV/DOCKETS/07005402.PDF)

NOTE: THE ABOVE URL NEEDS TO BE ENTERED IN ALL LOWER CASE LETTERS INTO YOUR BROWSER.



Reporting Source:	Firm
Current Status:	Final
Allegations:	THE DIVISION ALLEGES THAT WBB SECURITIES, LLC ("WBB") VIOLATED SECTION 61-1-6(2)(G),-(J) OF THE UTAH UNIFORM SECURITIES ACT AND R164-6-1(G)(C)(28) OF THE UTAH ADMINISTRATIVE CODE BY FAILING TO SUPERVISE ONE OF ITS AGENTS: GARY R. GYGI (CRD #1577760).
Initiated By:	UTAH DIVISION OF SECURITIES
Date Initiated:	08/23/2007
Docket/Case Number:	SD-07-0054
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	\$5,000 FINE
Resolution:	Decision
Resolution Date:	10/30/2008
Sanctions Ordered:	Monetary/Fine \$2,000.00
Other Sanctions Ordered:	
Sanction Details:	FIRM WAS FINED \$2000.00
Firm Statement	WBB SECURITIES, LLC FAILED TO NOTE THAT GARY GYGI WAS NOT PROPERLY REGISTERED WITH SMC CAPITAL MANAGEMENT, INC. AS AN RIA EVEN THOUGH HE PERFORMED ALL THE DUTIES AND WAS PAID BY SMC CAPITAL MANAGEMENT, INC. AS IF HE WERE A REGISTERED RIA. THE DIVISION DETERMINED THAT WHILE WBB WAS THE LEAST CULPABLE OF THE PARTIES, THEY DID FAIL TO NOTE REP WAS NOT PROPERLY LICENSED. THUS ENDING IN THE SMALL FINE OF \$2000.00

End of Report



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