

BrokerCheck Report

CENTURION SECURITIES L.L.C.

CRD# 120419

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Registration and Withdrawal	2
Firm Profile	3 - 10
Firm History	11
Firm Operations	12 - 17
Disclosure Events	18



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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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.](http://www.finra.org)



CENTURION SECURITIES L.L.C.
CRD# 120419
SEC# 8-65291

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.

Main Office Location
2 RECTOR STREET, 17TH FLOOR
NEW YORK, NY 10006

Mailing Address
2 RECTOR STREET, 17TH FLOOR
NEW YORK, NY 10006

Business Telephone Number
646-461-2430

Firm Profile

This firm is classified as a limited liability company.
This firm was formed in Delaware on 01/10/2002.
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 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	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:	03/31/2009
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	Yes
Number of customers owed funds or securities:	0
Amount of money owed to customer:	\$0.00
Amount of money owed to brokerage firm:	\$429,000.00
Market value of securities owed to customer:	\$0.00
Market value of securities owed to brokerage firm:	\$0.00
Payment arrangement:	PAYMENTS ARE CURRENTLY BEING MADE ON OUTSTANDING BALANCES.



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 01/10/2002.

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.

CENTURION SECURITIES L.L.C.

Doing business as CENTURION SECURITIES L.L.C.

CRD# 120419

SEC# 8-65291

Main Office Location

2 RECTOR STREET, 17TH FLOOR
NEW YORK, NY 10006

Mailing Address

2 RECTOR STREET, 17TH FLOOR
NEW YORK, NY 10006

Business Telephone Number

646-461-2430



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): TORC MANAGEMENT L.L.C.

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

Position CLASS A MEMBER

Position Start Date 02/2002

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): ALPINE SECURITIES USVI, LLC

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

Position CLASS B MEMBER

Position Start Date 08/2008

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): ANDERSON, GARY LEE

1091680

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

Position MANAGER/MEMBER

Position Start Date 02/2002

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? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): ARCIS TRADING, LLC

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

Position CLASS B MEMBER

Position Start Date 01/2005

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): MESSER, DANIEL LAWRENCE
2097461

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

Position CLASS B MEMBER

Position Start Date 10/2008

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): TRINITY CAPITAL RESEARCH, LLC

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

Firm Profile



Direct Owners and Executive Officers (continued)

Position CLASS B MEMBER

Position Start Date 02/2008

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): WOODMERE TRADING, LLC

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

Position CLASS B MEMBER

Position Start Date 11/2007

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):	JDI L.L.C.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	TORC MANAGEMENT L.L.C.
Relationship to Direct Owner	MEMBER
Relationship Established	02/2002
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):	KIM, CHARLES M 2790447
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ALPINE SECURITIES USVI, LLC
Relationship to Direct Owner	MANAGING MEMBER OF APLINE SECURITIES USVI, LLC
Relationship Established	08/2008
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SHEININ, SIMON A 1312955
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Firm Profile



Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	WOODMERE TRADING, LLC
Relationship to Direct Owner	OWNER
Relationship Established	11/2007
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SPRAGUE, ROBERT WARD
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ARCIS TRADING, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	09/2002
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	Yes

Legal Name & CRD# (if any):	TARPY, MICHAEL MAURICE
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ARCIS TRADING, LLC

Firm Profile



Indirect Owners (continued)

Relationship to Direct Owner MANAGING MEMBER

Relationship Established 09/2002

Percentage of Ownership 25% but less than 50%

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

Is this a public reporting company? Yes

Legal Name & CRD# (if any): YEE, JIMMY

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

Company through which indirect ownership is established TRINITY CAPITAL RESEARCH, LLC

Relationship to Direct Owner PRESIDENT OF TRINITY CAPITAL RESEARCH, LLC

Relationship Established 02/2008

Percentage of Ownership 25% but less than 50%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): SHOWALTER, ZACHARY NICHOLAS

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

Company through which indirect ownership is established ARCIS TRADING, LLC

Relationship to Direct Owner MEMBER

Relationship Established 09/2002

Percentage of Ownership Other General Partners

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

Firm Profile



Indirect Owners (continued)
the firm?

Is this a public reporting
company? No

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 05/23/2002 to 03/30/2009.



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 2 types of businesses.

Types of Business

Put and call broker or dealer or option writer

Trading securities for own account

Other Types of Business

This firm does 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 not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



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

Name: PENSON FINANCIAL SERVICES, INC.

CRD #: 25866

Business Address: 1700 PACIFIC AVENUE
SUITE 1400
DALLAS, TX 75201

Effective Date: 10/29/2007

Description: ARRANGEMENTS HAVE BEEN MADE WITH PENSON FINANCIAL SERVICES INC TO KEEP THE APPLICAT'S BOOKS AND RECORDS AND TO HOLD ITS FUNDS AND SECURITIES.

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

Name: PENSON FINANCIAL SERVICES, INC.

CRD #: 25866

Business Address: 1700 PACIFIC AVENUE
SUITE 1400
DALLAS, TX 75201

Effective Date: 10/29/2007

Description: ARRANGEMENTS HAVE BEEN MADE WITH PENSION FINANCIAL SERVICES INC TO KEEP THE APPLICANT'S BOOKS AND RECORDS AND TO HOLD ITS FUNDS AND SECURITIES.

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

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.**

SPECTRUM TRADING, LLC is under common control with the firm.

CRD #:	132637
Business Address:	1 LIBERTY PLAZA 46TH FLOOR NEW YORK, NY 10006
Effective Date:	07/30/2007
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	GARY ANDERSON IS A MANAGING MEMBER OF JDI FINANCIAL, LLC WHICH IS THE OWNER OF SPECTRUM TRADING, LLC.

TORC INVESTMENTS AND RESEARCH LLC is under common control with the firm.

CRD #:	103724
Business Address:	2 RECTOR STREET 17TH FLOOR NEW YORK, NY 10006
Effective Date:	12/23/2005
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No

Firm Operations



Organization Affiliates (continued)

Description: GARY ANDERSON IS A MANAGING MEMBER OF JDI FINANCIAL, LLC WHICH IS THE SOLE MEMBER OF TORC FINANCIAL, LLC WHICH IS THE PARENT OF TORC INVESTMENTS AND RESEARCH, LLC. JDI FINANCIAL, LLC IS ALSO THE OWNER OF TORC MANAGEMENT, LLC WHICH IS THE SOLE OWNER OF CENTURION SECURITIES, LLC.

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	2	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 2

Reporting Source: Regulator

Current Status: Final



Allegations: CENTURION SECURITIES, LLC, AN EXCHANGE MARKET-MAKER ORGANIZATION AND GARY ANDERSON, AN ASSOCIATED PERSON OF CENTURION WERE EACH CENSURED AND JOINTLY AND SEVERALLY FINED \$45,000 FOR THE FOLLOWING CONDUCT. CENTURION: I) FAILED TO DISCLOSE IN ITS FINANCIAL RECORDS AND FOCUS REPORT FILINGS, AN OUTSTANDING LOAN COMMITMENT CENTURION HAD ENTERED INTO WITH ITS CLEARING FIRM, II) ON 86 DAYS, CENTURION OPERATED WHILE ITS NET CAPITAL WAS BELOW THE MINIMUM REQUIREMENT; AND III) ANDERSON FAILED TO ADEQUATELY SUPERVISE BY FAILING TO NOTIFY CENTURION'S FINOP AND CENTURION'S INDEPENDENT AUDITORS OF THE LOAN COMMITMENT. (CBOE RULES 4.2 - ADHERENCE TO LAW; 13.1 - MINIMUM REQUIREMENTS; 15.1 - MAINTENANCE, RETENTION AND FURNISHING OF BOOKS, RECORDS AND OTHER INFORMATION; SECTION 15(C) OF THE SECURITIES EXCHANGE ACT OF 1934, AS AMENDED (THE "ACT") AND RULE 15C3-1 - NET CAPITAL THEREUNDER; SECTION 17(A) OF THE ACT AND RULES 17A-3 - RECORDS TO BE MADE BY CERTAIN EXCHANGE MEMBERS, BROKERS AND DEALERS; AND 17A-5 - REPORTS TO BE MADE BY CERTAIN BROKERS AND DEALERS THEREUNDER)

Initiated By: CHICAGO BOARD OPTIONS EXCHANGE

Date Initiated: 05/01/2008

Docket/Case Number: 08-0036

Principal Product Type: Options

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 07/16/2008

Sanctions Ordered: Censure
Monetary/Fine \$45,000.00

Other Sanctions Ordered:

Sanction Details: CENTURION SECURITIES, LLC AND GARY ANDERSON SHALL BE AND HEREBY ARE EACH CENSURED AND JOINTLY AND SEVERALLY FINED IN THE AMOUNT OF FORTY-FIVE THOUSAND DOLLARS (\$45,000).

Reporting Source: Firm



Current Status:	Final
Allegations:	WITHOUT ADMITTING OR DENYING THAT A VIOLATION OF CBOE EXCHANGE RULES HAD BEEN COMMITTED, CENTURION SECURITIES, LLC AND GARY ANDERSON SUBMITTED AN OFFER OF SETTLEMENT WHICH WAS ACCEPTED BY THE COBE AND THEY JOINTLY AND SEVERALLY AGREED TO A FINE IN THE AMOUNT OF \$45,000 ALONG WITH CENSURE.
Initiated By:	CHICAGO BOARD OPTIONS EXCHANGE, INC
Date Initiated:	05/01/2008
Docket/Case Number:	08-0036
Principal Product Type:	Options
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	07/16/2008
Sanctions Ordered:	Censure Monetary/Fine \$45,000.00
Other Sanctions Ordered:	
Sanction Details:	CENTURION SECURITIES, LLC AND GARY ANDERSON SHALL BE AND HEREBY ARE EACH CENSURED AND JOINTLY AND SEVERALLY FINED IN THE AMOUNT OF FORTY-FIVE THOUSAND DOLLARS (\$45,000).

Disclosure 2 of 2

Reporting Source:	Regulator
Current Status:	Final
Allegations:	CENTURION SECURITIES, LLC, AN EXCHANGE MEMBER ORGANIZATION, GARY ANDERSON, AN ASSOCIATED PERSON AND COMPLIANCE OFFICER OF CENTURION, AND VICTOR DIMAGGIO III, AN ASSOCIATED PERSON AND FINOP OF CENTURION WERE EACH CENSURED AND JOINTLY AND SEVERALLY FINED \$20,000. (I) CENTURION IMPROPERLY MARKED ITS STOCK ACTIVITY WHEN CENTURION'S STOCK ACTIVITY RECORDED ON ITS TRADE BLOTTER DID NOT ACCURATELY REFLECT THE STOCK ACTIVITY RECORDED IN CENTURION'S NET POSITION RECORDS AND HAIRCUT



REPORT; (II) CENTURION IMPROPERLY MARKED 105 OF 319 TRADES, OF WHICH 98 OF 158 SHORT SALE STOCK TRADES, OR 62%, WERE IMPROPERLY MARKED AS SELL LONG INSTEAD OF SELL SHORT WHEN CENTURION WAS NOT LONG THE POSITION; (III) CENTURION FAILED TO PERFORM A STOCK LOCATE FOR ANY OF THE SHORT SALE STOCK TRANSACTIONS; (IV) CENTURION FAILED TO UPDATE ITS FORM BD ON WEB CRD TO ACCURATELY REFLECT CENTURION'S CURRENT MEMBERS AND CURRENT OWNERSHIP PERCENTAGES; (V) CENTURION OVERSTATED ITS NET CAPITAL BY \$5,243,739 OR APPROXIMATELY 844%; (VI) ANDERSON FAILED TO MONITOR THE ACCURACY OF CENTURION'S BOOKS AND RECORDS; AND (VII) DIMAGGIO FAILED TO MONITOR THE ACCURACY OF CENTURION'S NET CAPITAL COMPUTATIONS. (CBOE RULES 4.2 - ADHERENCE TO LAW; 3.7 CERTAIN DOCUMENTS REQUIRED OF MEMBERS, APPLICANTS AND ASSOCIATED PERSONS; 15.1 MAINTENANCE, RETENTION AND FURNISHING OF BOOKS, RECORDS AND OTHER INFORMATION; SECTION 15(C) OF THE SECURITIES EXCHANGE ACT OF 1934, AS AMENDED (THE "ACT") AND RULE 15C3-1 - NET CAPITAL THEREUNDER; SECTION 17(A) OF THE ACT AND RULES 17A-3 RECORDS TO BE MADE BY CERTAIN EXCHANGE MEMBERS, BROKERS AND DEALERS; 17A-4 RECORDS TO BE PRESERVED BY CERTAIN MEMBERS, BROKERS AND DEALER AND 17A-5 REPORTS TO BE MADE BY CERTAIN BROKERS AND DEALERS THEREUNDER; SECURITIES AND EXCHANGE COMMISSION ("SEC") REGULATION SHO SHORT SALES AND RULES 200 DEFINITIONS AND MARKING REQUIREMENTS FOR SHORT SALES AND 203(B) LOCATE AND REQUIREMENTS FOR SHORT SALES THEREUNDER)

Initiated By:	CHICAGO BOARD OPTIONS EXCHANGE
Date Initiated:	02/21/2007
Docket/Case Number:	07-0024
Principal Product Type:	Options
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	03/23/2007
Sanctions Ordered:	Censure Monetary/Fine \$20,000.00
Other Sanctions Ordered:	A TWENTY THOUSAND DOLLAR (\$20,000) JOINT AND SEVERAL FINE AND A



CENSURE OF EACH SUBJECT.

Sanction Details: A TWENTY THOUSAND DOLLAR (\$20,000) JOINT AND SEVERAL FINE AND A CENSURE OF EACH SUBJECT.

Reporting Source: Firm

Current Status: Final

Allegations: WITHOUT ADMITTING OR DENYING THAT A VIOLATION OF CBOE EXCHANGE RULES HAD BEEN COMMITTED, CENTURION SECURITIES, LLC, GARY ANDERSON, AND VICTOR DIMAGGIO III SUBMITTED A LETTER OF CONSENT WHICH WAS ACCEPTED BY THE CBOE AND THEY JOINTLY AND SEVERALLY AGREED TO A SANCTION IN THE AMOUNT OF \$20,000 ALONG WITH CENSURE.

Initiated By: CHICAGO BOARD OPTIONS EXCHANGE, INC

Date Initiated: 02/21/2007

Docket/Case Number: 07-0024

Principal Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: MONETARY AND CENSURE

Resolution: Consent

Resolution Date: 03/23/2007

Sanctions Ordered: Censure
Monetary/Fine \$20,000.00

Other Sanctions Ordered:

Sanction Details: \$20,000 FINE PAID IN FULL TO THE CHICAGO BOARD OPTIONS EXCHANGE, INC. ON APRIL 4, 2007.

End of Report



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