

## BrokerCheck Report

### HBK GLOBAL SECURITIES L.P.

CRD# 120579

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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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**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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)

**HBK GLOBAL SECURITIES L.P.**

CRD# 120579

SEC# 8-65316

**Main Office Location**

2300 NORTH FIELD STREET  
SUITE 2200  
DALLAS, TX 75201-7849

**Mailing Address**

2300 NORTH FIELD STREET  
SUITE 2200  
DALLAS, TX 75201-7849

**Business Telephone Number**

214-758-6107

**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 other types of legal formation.

This firm was formed in Delaware on 03/04/2002.

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? **No**



## 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.

<b>Date firm ceased business:</b>	05/06/2020
<b>Does this brokerage firm owe any money or securities to any customer or brokerage firm?</b>	Yes
<b>Number of customers owed funds or securities:</b>	0
<b>Amount of money owed to customer:</b>	\$0.00
<b>Amount of money owed to brokerage firm:</b>	\$0.00
<b>Market value of securities owed to customer:</b>	\$0.00
<b>Market value of securities owed to brokerage firm:</b>	\$0.00
<b>Payment arrangement:</b>	NOVATION OF TWO DELISTED POSITIONS WITH NO CURRENT MARKET VALUE.



## Firm Profile

This firm is classified as a other types of legal formation.

This firm was formed in Delaware on 03/04/2002.

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.

### **HBK GLOBAL SECURITIES L.P.**

**Doing business as HBK GLOBAL SECURITIES L.P.**

**CRD#** 120579

**SEC#** 8-65316

### **Main Office Location**

2300 NORTH FIELD STREET  
SUITE 2200  
DALLAS, TX 75201-7849

### **Mailing Address**

2300 NORTH FIELD STREET  
SUITE 2200  
DALLAS, TX 75201-7849

### **Business Telephone Number**

214-758-6107



## 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):** HBK SECURITIES LP INC.

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

**Position** LIMITED PARTNER

**Position Start Date** 03/2002

**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):** BURKHARDT, RICHARD HENRY

5440286

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

**Position** FINOP

**Position Start Date** 09/2015

**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):** GODVIN, MARK DAVID

1189421

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

**Position** VICE PRESIDENT, MEMBER OF OVERSIGHT COMMITTEE

**Position Start Date** 05/2010

## 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?** No

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** HARRIS, HEATHER LYNNE MS.  
4144805

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

**Position** MEMBER OF OVERSIGHT COMMITTEE

**Position Start Date** 04/2015

**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):** HBK SECURITIES GP INC.

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

**Position** GENERAL PARTNER

**Position Start Date** 03/2002

**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):** MATHIS, GAYLA LYNETTE  
2775669

## Firm Profile



### Direct Owners and Executive Officers (continued)

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

**Position** CEO

**Position Start Date** 04/2011

**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):** OSBURN, ALISON LARAINÉ  
5778391

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

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 02/2012

**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

<b>Legal Name &amp; CRD# (if any):</b>	HBK MASTER FUND L.P.
<b>Is this a domestic or foreign entity or an individual?</b>	Foreign Entity
<b>Company through which indirect ownership is established</b>	HBK SECURITIES GP INC.
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	03/2002
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	HBK MASTER FUND L.P.
<b>Is this a domestic or foreign entity or an individual?</b>	Foreign Entity
<b>Company through which indirect ownership is established</b>	HBK SECURITIES LP INC.
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	03/2002
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	HBK MULTI-STRATEGY OFFSHORE FUND LTD.
<b>Is this a domestic or foreign entity or an individual?</b>	Foreign Entity

## Firm Profile



### Indirect Owners (continued)

**Company through which indirect ownership is established** HBK MASTER FUND L.P.

**Relationship to Direct Owner** LIMITED PARTNER

**Relationship Established** 08/2009

**Percentage of Ownership** 50% but less than 75%

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

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** HBK MULTI-STRATEGY FUND L.P.

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

**Company through which indirect ownership is established** HBK MASTER FUND L.P.

**Relationship to Direct Owner** LIMITED PARTNER

**Relationship Established** 10/2013

**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):** HBK CAPITAL LTD.

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

**Company through which indirect ownership is established** HBK MASTER FUND L.P.

**Relationship to Direct Owner** GENERAL PARTNER

**Relationship Established** 08/2009

## Firm Profile



### Indirect Owners (continued)

**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

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## 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 10/09/2002 to 08/24/2020.**

## 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 1 type of business.**

#### Types of Business

Other - THE ONLY BUSINESS OF THE APPLICANT IS TO BORROW AND LEND SECURITIES AS PRINCIPAL FOR ITS OWN ACCOUNT. THE APPLICANT'S COUNTERPARTIES IN SECURITIES LENDING TRANSACTIONS ARE INSTITUTIONS SUCH AS BANKS, INSURANCE COMPANIES, PENSION PLANS, BROKER-DEALERS AND INVESTMENT COMPANIES, INCLUDING AFFILIATED PRIVATE INVESTMENT VEHICLES.

#### 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 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:** GLOBAL RELAY COMMUNICATIONS, INC.  
**Business Address:** 220 CAMBIE STREET  
 2ND FLOOR  
 VANCOUVER, BC, CANADA V6B 2MP  
**Effective Date:** 01/01/2018  
**Description:** ARCHIVED BOOKS AND RECORDS

**Name:** BOX, INC.  
**Business Address:** 900 JEFFERSON AVE  
 REDWOOD CITY, CA 94063  
**Effective Date:** 09/01/2017  
**Description:** ARCHIVED BOOKS AND RECORDS

**Name:** IRON MOUNTAIN  
**Business Address:** 4117 PINNACLE POINT DR  
 SUITE 100  
 DALLAS, TX 75211  
**Effective Date:** 11/01/2007  
**Description:** BOOKS AND RECORDS

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

**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.

**HBK VIRGINIA LLC is under common control with the firm.**

<b>CRD #:</b>	296219
<b>Business Address:</b>	2410 OLD IVY ROAD SUITE 300 CHARLOTTSVILLE, VA 22903
<b>Effective Date:</b>	01/09/2007
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	HBK VIRGINIA LLC IS CONTROLLED BY HBK MANAGEMENT LLC, WHICH HAS SOME COMMON OWNERSHIP WITH THE ULTIMATE OWNERS OF THE APPLICANT. HBK MANAGEMENT LLC DOES NOT OWN ENOUGH TO CREATE A REPORTING REQUIREMENT ON SCHEDULE B.

**HBK NEW YORK LLC is under common control with the firm.**

<b>CRD #:</b>	296218
<b>Business Address:</b>	ONE BYRANT PARK SUITE 4000 NEW YORK, NY 10036
<b>Effective Date:</b>	01/09/2007
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No

## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** Yes

**Description:** HBK NEW YORK LLC IS CONTROLLED BY HBK MANAGEMENT LLC, WHICH HAS SOME COMMON OWNERSHIP WITH THE ULTIMATE OWNERS OF THE APPLICANT. HBK MANAGEMENT LLC DOES NOT OWN ENOUGH TO CREATE A REPORTING REQUIREMENT ON SCHEDULE B.

#### HBK SERVICES LLC is under common control with the firm.

**Business Address:** 2300 NORTH FIELD STREET  
SUITE 2200  
DALLAS, TX 75201-7849

**Effective Date:** 01/08/2007

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** HBK SERVICES LLC IS CONTROLLED BY HBK MANAGEMENT LLC, WHICH HAS SOME COMMON OWNERSHIP WITH THE ULTIMATE OWNERS OF THE APPLICANT. HBK MANAGEMENT LLC DOES NOT OWN ENOUGH TO CREATE A REPORTING REQUIREMENT ON SCHEDULE B.

#### HBK EUROPE MANAGEMENT LLP is under common control with the firm.

**CRD #:** 295965

**Business Address:** 11 WATERLOO PLACE, TRAFALGAR HOUSE  
FLOOR 3  
LONDON, ENGLAND SW1Y 4AU

**Effective Date:** 03/04/2002

**Foreign Entity:** Yes

**Country:** UNITED KINGDOM

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** HBK EUROPE MANAGEMENT LLP IS ULTIMATELY CONTROLLED BY HBK MANAGEMENT LLC, WHICH HAS SOME COMMON OWNERSHIP WITH THE

**Firm Operations****Organization Affiliates (continued)**

ULTIMATE OWNERS OF THE APPLICANT. HBK MANAGEMENT LLC DOES NOT OWN ENOUGH TO CREATE A REPORTING REQUIREMENT ON SCHEDULE B.

**HBK CAPITAL MANAGEMENT is under common control with the firm.**

**CRD #:** 115079

**Business Address:** 2300 NORTH FIELD STREET  
SUITE 2200  
DALLAS, TX 75201-7849

**Effective Date:** 03/04/2002

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** HBK CAPITAL MANAGEMENT (CRD #115079) IS CONTROLLED BY HBK MANAGEMENT LLC, WHICH HAS SOME COMMON OWNERSHIP WITH THE ULTIMATE OWNERS OF THE APPLICANT. HBK MANAGEMENT LLC DOES NOT OWN ENOUGH TO CREATE A REPORTING REQUIREMENT ON SCHEDULE B.

**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

**End of Report**



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