

BrokerCheck Report

BROCK SECURITIES LLC

CRD# 122156

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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)



BROCK SECURITIES LLC

CRD# 122156

SEC# 8-65467

Main Office Location

505 PARK AVE
14TH FLOOR
NEW YORK, NY 10022
Regulated by FINRA New York Office

Mailing Address

505 PARK AVE
14TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-209-3000

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 Delaware on 07/12/2002.

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 firm is registered with:

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

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

This firm conducts 2 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have 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 Delaware on 07/12/2002.

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.

BROCK SECURITIES LLC

Doing business as BROCK SECURITIES LLC

CRD# 122156

SEC# 8-65467

Main Office Location

505 PARK AVE
14TH FLOOR
NEW YORK, NY 10022

Regulated by FINRA New York Office

Mailing Address

505 PARK AVE
14TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-209-3000



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):	BROCK CAPITAL GROUP LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MANAGING MEMBER
Position Start Date	07/2002
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):	BROCK, CHARLES LAWRENCE 5758862
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER, AML COMPLIANCE OFFICER
Position Start Date	06/2016
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):	HOPKINS, THOMAS JOHN 1835087
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	09/2015

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

Firm Profile

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



Indirect Owners

No information reported.

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 currently registered with the SEC, 1 SRO and 17 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	02/14/2003

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	02/14/2003

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	02/08/2022
California	Approved	05/25/2004
Connecticut	Approved	06/24/2004
District of Columbia	Approved	06/02/2004
Florida	Approved	06/08/2004
Georgia	Approved	06/10/2004
Idaho	Approved	05/24/2004
Illinois	Approved	06/09/2004
Iowa	Approved	06/01/2004
Massachusetts	Approved	05/27/2004
Michigan	Approved	06/04/2004
Minnesota	Approved	05/25/2004
New Jersey	Approved	06/16/2004
New York	Approved	11/25/2003
Pennsylvania	Approved	06/10/2004
Texas	Approved	06/24/2004
Washington	Approved	05/24/2004



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

Private placements of securities

Other - APPLICANT WILL ENGAGE IN FINANCIAL CONSULTING AND ADVISORY SERVICES, AND WILL PROVIDE ADVICE FOR MERGERS AND ACQUISITIONS, FINANCIAL COUNSELING AND OTHER BUSINESS ADVISORY SERVICES.

Other Types of Business

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

This firm does engage in other non-securities business.

Non-Securities Business Description: APPLICANT WILL ENGAGE IN FINANCIAL CONSULTING AND ADVISORY SERVICES, AND WILL PROVIDE ADVICE FOR MERGERS AND ACQUISITIONS, FINANCIAL COUNSELING AND OTHER BUSINESS ADVISORY SERVICES.

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 not have books or records maintained by a third party.

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.

BROCK ADVISORS LLC is under common control with the firm.

Business Address:	622 THIRD AVE 12TH FLOOR NEW YORK, NY 10017
Effective Date:	10/01/2008
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BROCK ADVISORS IS UNDER COMMON CONTROL WITH BROCK SECURITIES VIA BROCK CAPITAL GROUP. BROCK ADVISORS IS A NON-REGISTERED ENTITY, PROVIDING ADVISORY SERVICES TO BROCK OPPORTUNITY FUND.

BROCK FIDUCIARY SERVICES LLC is under common control with the firm.

CRD #:	153055
Business Address:	622 THIRD AVE 12TH FLOOR NEW YORK, NY 10017
Effective Date:	01/01/2010
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: BROCK FIDUCIARY IS UNDER COMMON CONTROL WITH BROCK SECURITIES VIA BROCK CAPITAL GROUP. IT IS A REGISTERED INVESTMENT ADVISOR CONDUCTING VALUATIONS OF PENSION ASSETS FOR COMPANIES.

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:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT PERMITTED A REGISTERED REPRESENTATIVE TO CONDUCT INVESTMENT BANKING ACTIVITIES, EVEN THOUGH THE REPRESENTATIVE HAD NOT SUCCESSFULLY COMPLETED THE SERIES 79 EXAMINATION OR REGISTERED AS A LIMITED REPRESENTATIVE - INVESTMENT BANKING (INVESTMENT BANKING REPRESENTATIVE). THE FINDINGS STATED THAT THE REPRESENTATIVE ADVISED ON SEVERAL PRIVATE PLACEMENT TRANSACTIONS CONDUCTED BY THE FIRM, EVEN THOUGH HE WAS NOT REGISTERED AS AN INVESTMENT BANKING REPRESENTATIVE. HIS ACTIVITIES INCLUDED PREPARING PRESENTATIONS TO POTENTIAL INVESTORS; WORKING WITH COUNTERPARTIES TO DRAFT DEAL-RELATED DOCUMENTS; AND DRAFTING MATERIALS TO BE USED AT ROADSHOWS BY THE FIRM'S SALESPERSONS. THE FIRM WAS AWARE THAT HE WAS CONDUCTING THESE ACTIVITIES, BUT NEVERTHELESS DID NOT REQUIRE THE REPRESENTATIVE TO BECOME LICENSED AS AN INVESTMENT BANKING REPRESENTATIVE.
Initiated By:	FINRA
Date Initiated:	04/01/2016
Docket/Case Number:	2015043398801
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:	04/01/2016
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 \$15,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED \$15,000.

FINE PAID IN FULL ON APRIL 22, 2016.

Reporting Source: Firm

Current Status: Final

Allegations: FINRA ALLEGED THAT A REGISTERED REP CONDUCTED INVESTMENT BANKING ACTIVITIES DURING THE REVIEW PERIOD OF FEB. 2012 THROUGH AUG. 2015 WITHOUT HAVING THE PROPER SERIES 79 LICENSE.

Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY

Date Initiated: 03/11/2016

Docket/Case Number: 20150433988-01

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought: FINE

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 04/01/2016

Sanctions Ordered: Censure
Monetary/Fine \$15,000.00

Other Sanctions Ordered:

Sanction Details: THE COMPANY IS REQUIRED TO HAVE ITS REGISTERED REP PASS THE SERIES 79 EXAM AND PAY A FINE OF \$15,000.00.

Firm Statement THE COMPANY PAID A FINE AND PROVIDED A CORRECTIVE STATEMENT IN WHICH IT UNDERTAKES THAT THE REGISTERED REP WILL TAKE THE SERIES 79 EXAM BEFORE CONDUCTING ANY FURTHER INVESTMENT BANKING BUSINESS.

End of Report



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