

## BrokerCheck Report

### CREDICORP CAPITAL SECURITIES, INC.

CRD# 122199

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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:
  - o 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
  - o 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](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).



CREDICORP CAPITAL SECURITIES,  
INC.

CRD# 122199

SEC# 8-65470

Main Office Location

121 ALHAMBRA PLAZA  
SUITE 1200  
CORAL GABLES, FL 33134

Mailing Address

121 ALHAMBRA PLAZA  
SUITE 1200  
CORAL GABLES, FL 33134

Business Telephone Number

305-446-4446

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 corporation.

This firm was formed in Florida on 09/28/2001.

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 | 1     |

## 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:** 01/31/2021

**Does this brokerage firm owe any money or securities to any customer or brokerage firm?** No



Firm Profile

This firm is classified as a corporation.  
This firm was formed in Florida on 09/28/2001.  
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.

**CREDICORP CAPITAL SECURITIES, INC.**  
**Doing business as CREDICORP CAPITAL SECURITIES, INC.**  
**CRD#** 122199  
**SEC#** 8-65470

**Main Office Location**  
121 ALHAMBRA PLAZA  
SUITE 1200  
CORAL GABLES, FL 33134

**Mailing Address**  
121 ALHAMBRA PLAZA  
SUITE 1200  
CORAL GABLES, FL 33134

**Business Telephone Number**  
305-446-4446

Other Names of this Firm

| Name                       | Where is it used |
|----------------------------|------------------|
| CREDICORP SECURITIES, INC. | FL               |



## 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):** CREDICORP CAPITAL LTD.

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

**Position** OWNER

**Position Start Date** 09/2013

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** Yes

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**Legal Name & CRD# (if any):** DIEGUEZ, MARLO E

5644954

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

**Position** CHIEF COMPLIANCE OFFICER, AMLCO, EXECUTIVE REPRESENTATIVE

**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

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**Legal Name & CRD# (if any):** FLIT, MICHEL ALEX

6269048

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

**Position** DIRECTOR

**Position Start Date** 10/2013

## 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                                                                                       |
| <hr/>                                                          |                                                                                          |
| Legal Name & CRD# (if any):                                    | PEREZ, MARIA ELENA<br>4569098                                                            |
| Is this a domestic or foreign entity or an individual?         | Individual                                                                               |
| Position                                                       | DEPUTY GENERAL MANAGER; PRINCIPAL FINANCIAL OFFICER; PRINCIPAL OPERATIONS OFFICER; FINOP |
| Position Start Date                                            | 10/2006                                                                                  |
| 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                                                                                       |

Firm Profile

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



Indirect Owners

|                                                                |                                                |
|----------------------------------------------------------------|------------------------------------------------|
| Legal Name & CRD# (if any):                                    | CREDICORP LTD.                                 |
| Is this a domestic or foreign entity or an individual?         | Foreign Entity                                 |
| Company through which indirect ownership is established        | CREDIORP CAPITAL LTD.                          |
| Relationship to Direct Owner                                   | CREDICORP LTD. OWNER OF CREDICORP CAPITAL LTD. |
| Relationship Established                                       | 08/2012                                        |
| Percentage of Ownership                                        | 75% or more                                    |
| Does this owner direct the management or policies of the firm? | Yes                                            |
| Is this a public reporting company?                            | Yes                                            |

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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 01/13/2003 to 04/14/2021.**



## 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 7 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities

Mutual fund retailer

U S. government securities broker

Put and call broker or dealer or option writer

Trading securities for own account

Other - FOREIGN SOVEREIGN DEBT AND FOREIGN CORPORATE DEBT.  
THE FIRM ALSO ACTS AS A THE U.S. BROKER DEALER FOR FOREIGN BROKER-DEALERS AFFILIATE PURSUANT TO RULE 15A-6 OF THE SECURITIES AND EXCHANGE ACT OF 1934 IN CONNECTION WITH THE DISTRIBUTION OF THIRD PARTY RESEARCH AND PARTICIPATION IN UNDERWRITINGS (AS A SELLING GROUP PARTICIPANT) AND PRIVATE PLACEMENTS.THE FIRM ENGAGES IN PRIVATE PLACEMENT SALES OF FOREIGN SECURITIES TO NON-U.S. PERSONS ON A RISKLESS PRINCIPAL BASIS.

#### 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.

|                          |                                                                                                                                                                                                                                           |
|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Name:</b>             | PERSHING LLC                                                                                                                                                                                                                              |
| <b>CRD #:</b>            | 7560                                                                                                                                                                                                                                      |
| <b>Business Address:</b> | ONE PERSHING PLAZA<br>JERSEY CITY, NJ 07399                                                                                                                                                                                               |
| <b>Effective Date:</b>   | 09/23/2002                                                                                                                                                                                                                                |
| <b>Description:</b>      | THE APPLICANT'S ACCOUNTS WILL BE INTRODUCED ON A FULLY-DISCLOSED BASIS THROUGH PERSHING LLC. THE APPLICANT MAY EXECUTE AWAY CERTAIN FIXED-INCOME SECURITIES TRANSACTIONS AND, IN SUCH EVENT, WILL USE PERSHING'S NAME FOR CLEARANCE ONLY. |

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## 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  
VANCOVER, BC, CANADA V6B2M9

**Effective Date:** 08/19/2014

**Description:** INDEPENDENT THIRD PARTY PROVIDING STORAGE FOR ELECTRONIC MEDIA.

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**Name:** ARCHIVE AMERICA

**Business Address:** 3455 NW 45TH STREET  
MIAMI, FL 33142

**Effective Date:** 01/02/2003

**Description:** COMPANY PROVIDES STORAGE OF TRADE ORDER TICKETS AND CUSTOMER ACCOUNT RECORDS OF THE FIRM FOR ARCHIVING PURPOSES.

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

**Name:** PERSHING LLC

**CRD #:** 7560

**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399

**Effective Date:** 04/01/2003

**Description:** THE APPLICANT MAY ENGAGE IN RISKLESS PRINCIPAL TRANSACTIONS. SECURITIES TRANSACTIONS EFFECTED ON A RISKLESS PRINCIPAL BASIS WILL UTILIZE APPLICANT'S ACCOUNT HELD AND CLEARED BY PERSHING LLC.

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

**Name:** PERSHING LLC

**CRD #:** 7560

**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399

**Effective Date:** 09/23/2002

## Firm Operations



### Industry Arrangements (continued)

**Description:** THE APPLICANT'S ACCOUNTS WILL BE INTRODUCED ON A FULLY-DISCLOSED BASIS THROUGH PERSHING LLC. THE APPLICANT MAY EXECUTE AWAY CERTAIN FIXED-INCOME SECURITIES TRANSACTIONS AND, IN SUCH EVENT, WILL USE PERSHING'S NAME FOR CLEARANCE ONLY.

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### 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.**

**ULTRAADVISORS, LLC is under common control with the firm.**

|                                        |                                                                |
|----------------------------------------|----------------------------------------------------------------|
| <b>CRD #:</b>                          | 290081                                                         |
| <b>Business Address:</b>               | 801 BRICKELL AVE<br>SUITE 1060<br>MIAMI, FL 33131              |
| <b>Effective Date:</b>                 | 11/01/2019                                                     |
| <b>Foreign Entity:</b>                 | No                                                             |
| <b>Country:</b>                        |                                                                |
| <b>Securities Activities:</b>          | No                                                             |
| <b>Investment Advisory Activities:</b> | Yes                                                            |
| <b>Description:</b>                    | THE APPLICANT IS UNDER COMMON CONTROL WITH ULTRAADVISORS, LLC. |

**ULTRALAT CAPITAL MARKETS, LLC is under common control with the firm.**

|                                        |                                                   |
|----------------------------------------|---------------------------------------------------|
| <b>CRD #:</b>                          | 136791                                            |
| <b>Business Address:</b>               | 801 BRICKELL AVE<br>SUITE 1060<br>MIAMI, FL 33131 |
| <b>Effective Date:</b>                 | 11/01/2019                                        |
| <b>Foreign Entity:</b>                 | No                                                |
| <b>Country:</b>                        |                                                   |
| <b>Securities Activities:</b>          | Yes                                               |
| <b>Investment Advisory Activities:</b> | No                                                |

## Firm Operations



### Organization Affiliates (continued)

**Description:** THE APPLICANT IS UNDER COMMON CONTROL WITH ULTRALAT CAPITAL MARKETS, LLC

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**GRUPO CREDITO is under common control with the firm.**

**Business Address:** ESQ. AVE. HUAROCHIRI Y CALLE CENTENARIO 156  
URB. LADERAS/MELGAREJO  
LIMA, PERU

**Effective Date:** 11/09/2010

**Foreign Entity:** Yes

**Country:** PERU

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** THE APPLICANT IS A WHOLLY OWNED SUBSIDIARY OF CREDICORP LTD. CREDICORP LTD. OWNS 100% OF THE ISSUED AND OUTSTANDING CAPITAL STOCK OF GRUPO CREDITO.

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**PRIMA AFP is under common control with the firm.**

**Business Address:** CALLE CHINCHON 980  
LIMA, PERU 27

**Effective Date:** 03/04/2005

**Foreign Entity:** Yes

**Country:** PERU

**Securities Activities:** Yes

**Investment Advisory Activities:** Yes

**Description:** THE APPLICANT IS A WHOLLY-OWNED SUBSIDIARY OF CREDICORP LTD. CREDICORP LTD. OWNS A MAJORITY OF THE ISSUED AND OUTSTANDING CAPITAL STOCK OF PRIMA AFP.

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**BANCO DE CREDITO DEL PERU is under common control with the firm.**

**Business Address:** ESQ. AVE. HUAROCHIRI Y CALLE  
CENTENARIO 156, URB  
LADERAS/MELGAREJO, LA MOLINA, PERU

**Effective Date:** 06/19/2002

## Firm Operations



### Organization Affiliates (continued)

|                                        |                                                                                                                                                                       |
|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Foreign Entity:</b>                 | Yes                                                                                                                                                                   |
| <b>Country:</b>                        | PERU                                                                                                                                                                  |
| <b>Securities Activities:</b>          | Yes                                                                                                                                                                   |
| <b>Investment Advisory Activities:</b> | Yes                                                                                                                                                                   |
| <b>Description:</b>                    | THE APPLICANT IS A WHOLLY-OWNED SUBSIDIARY OF CREDICORP LTD. CREDICORP LTD. OWNS A MAJORITY OF THE ISSUED AND OUTSTANDING CAPITAL STOCK OF BANCO DE CREDITO DEL PERU. |

#### CREDICORP LTD. controls the firm.

|                                        |                                                                                                                                        |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|
| <b>Business Address:</b>               | CLARENDON HOUSE, CHURCH STREET<br>HAMILTON, BERMUDA                                                                                    |
| <b>Effective Date:</b>                 | 06/19/2002                                                                                                                             |
| <b>Foreign Entity:</b>                 | Yes                                                                                                                                    |
| <b>Country:</b>                        | BERMUDA                                                                                                                                |
| <b>Securities Activities:</b>          | Yes                                                                                                                                    |
| <b>Investment Advisory Activities:</b> | Yes                                                                                                                                    |
| <b>Description:</b>                    | CREDICORP LTD. OWNS 100 PERCENT OF THE ISSUED AND OUTSTANDING SHARES OF CAPITAL STOCK OF THE APPLICANT'S OWNER, CREDICORP CAPITAL LTD. |

#### 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

#### ATLANTIC SECURITY HOLDING CORPORATION is a Bank Holding Company and controls the firm.

|                          |                                                                                        |
|--------------------------|----------------------------------------------------------------------------------------|
| <b>Business Address:</b> | CAYMAN INTERNATIONAL TRUST BLDG.,<br>GRAND CAYMAN, CAYMAN ISLANDS, BRITISH WEST INDIES |
| <b>Effective Date:</b>   | 06/19/2002                                                                             |

## Firm Operations



### Organization Affiliates (continued)

**Description:** THE APPLICANT IS UNDER COMMON CONTROL WITH ATLANTIC SECURITY HOLDING CORPORATION. BOTH ATLANTIC SECURITY HOLDING CORPORATION AND THE APPLICANT ARE 100% - OWNED SUBSIDIARIES OF CREDICORP, LTD.

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**BANCO DE CREDITO DE BOLIVIA is a Foreign Bank and controls the firm.**

**Business Address:** ESQUINA CALLE COLON Y MERCADO NO. 1308  
LA PAZ, BOLIVIA

**Effective Date:** 06/19/2002

**Description:** THE APPLICANT IS A WHOLLY-OWNED SUBSIDIARY OF CREDICORP LTD. CREDICORP LTD. OWNS A MAJORITY OF THE ISSUED AND OUTSTANDING CAPITAL STOCK OF BANCO DE CREDITO DE BOLIVIA.

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**BANCO DE CREDITO DEL PERU is a Foreign Bank and controls the firm.**

**Business Address:** ESQ. AVE. HUAROCHIRI Y CALLE CENTENARIO 156, URB.  
LADERAS/MELGAREJO  
LA MOLINA, LIMA

**Effective Date:** 06/19/2002

**Description:** THE APPLICANT IS A WHOLLY-OWNED SUBSIDIARY OF CREDICORP LTD. CREDICORP LTD. OWNS A MAJORITY OF THE ISSUED AND OUTSTANDING CAPITAL STOCK OF BANCO DE CREDITO DEL PERU.

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**CREDICORP CAPITAL LTD. is a Bank Holding Company and controls the firm.**

**Business Address:** CLARENDON HOUSE, CHURCH STREET  
HAMILTON, BERMUDA

**Effective Date:** 09/10/2013

**Description:** CREDICORP CAPITAL LTD. IS A WHOLLY-OWNED SUBSIDIARY OF CREDICORP LTD. CREDICORP CAPITAL LTD. OWNS 100% OF THE ISSUED AND OUTSTANDING CAPITAL STOCK OF THE APPLICANT.

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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:**
  - o 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:**
  - o 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:**
  - o 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.
  - o 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



|                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Allegations:</b>                                                                                                                                         | SEC RULE 10B-10, FINRA RULES 2010, 6730 - CREDICORP SECURITIES, INC. FAILED TO REPORT TRANSACTIONS TO THE TRADE REPORTING AND COMPLIANCE ENGINE (TRACE) AND ALSO REPORTED THE INCORRECT CAPACITY IN SOME OF THE TRANSACTIONS TO TRACE. IN TRANSACTIONS THE FIRM EXECUTED, IT FAILED TO PROVIDE WRITTEN NOTIFICATION TO ITS CUSTOMERS THE CORRECT CAPACITY IN WHICH IT HAD ACTED ON THE TRANSACTIONS; IN SOME OF THE TRANSACTIONS, THE FIRM ERRONEOUSLY REPORTED THAT IT HAD ACTED IN AN AGENCY CAPACITY WHEN, IN FACT, IT HAD ACTED IN A PRINCIPAL CAPACITY AND IN OTHER TRANSACTIONS, THE FIRM ERRONEOUSLY REPORTED IT HAD ACTED IN AN AGENCY CAPACITY FOR BOTH PARTIES TO EACH TRANSACTION WHEN, IN FACT, IT HAD ACTED IN A PRINCIPAL CAPACITY FOR THE CONTRA-PARTY. |
| <b>Initiated By:</b>                                                                                                                                        | FINRA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Date Initiated:</b>                                                                                                                                      | 08/27/2012                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Docket/Case Number:</b>                                                                                                                                  | <a href="#">2011025675601</a>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Principal Product Type:</b>                                                                                                                              | No Product                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Other Product Type(s):</b>                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Principal Sanction(s)/Relief Sought:</b>                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Other Sanction(s)/Relief Sought:</b>                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Resolution:</b>                                                                                                                                          | Acceptance, Waiver & Consent(AWC)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Resolution Date:</b>                                                                                                                                     | 08/27/2012                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b> | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>Sanctions Ordered:</b>                                                                                                                                   | Censure<br>Monetary/Fine \$10,000.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Other Sanctions Ordered:</b>                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Sanction Details:</b>                                                                                                                                    | 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 \$10,000. FINE PAID IN FULL ON SEPTEMBER 06, 2012.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |



|                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                    | Firm                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Current Status:</b>                      | Final                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Allegations:</b>                         | SEC RULE 10B-10, FINRA RULES 2010, 6730 - CREDICORP SECURITIES, INC. FAILED TO REPORT TRANSACTIONS TO THE TRADE REPORTING AND COMPLIANCE ENGINE (TRACE) AND ALSO REPORTED THE INCORRECT CAPACITY IN SOME OF THE TRANSACTIONS TO TRACE. IN TRANSACTIONS THE FIRM EXECUTED, IT FAILED TO PROVIDE WRITTEN NOTIFICATION TO ITS CUSTOMERS THE CORRECT CAPACITY IN WHICH IT HAD ACTED ON THE TRANSACTIONS; IN SOME OF THE TRANSACTIONS, THE FIRM ERRONEOUSLY REPORTED THAT IT HAD ACTED IN AN AGENCY CAPACITY WHEN, IN FACT, IT HAD ACTED IN A PRINCIPAL CAPACITY AND IN OTHER TRANSACTIONS, THE FIRM ERRONEOUSLY REPORTED IT HAD ACTED IN AN AGENCY CAPACITY FOR BOTH PARTIES TO EACH TRANSACTION WHEN, IN FACT, IT HAD ACTED IN A PRINCIPAL CAPACITY FOR THE CONTRA-PARTY. |
| <b>Initiated By:</b>                        | FINANCIAL INDUSTRY REGULATORY AUTHORITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Date Initiated:</b>                      | 08/27/2012                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Docket/Case Number:</b>                  | <a href="#">2011025675601</a>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Principal Product Type:</b>              | No Product                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Other Product Type(s):</b>               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Principal Sanction(s)/Relief Sought:</b> | Censure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Other Sanction(s)/Relief Sought:</b>     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Resolution:</b>                          | Acceptance, Waiver & Consent(AWC)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Resolution Date:</b>                     | 08/27/2012                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Sanctions Ordered:</b>                   | Censure<br>Monetary/Fine \$10,000.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Other Sanctions Ordered:</b>             | NONE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Sanction Details:</b>                    | WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO A CENSURE AND FINE. THE FINE WAS FOR THE AMOUNT OF \$10,000 AND WAS LEVIED AGAINST THE FIRM ONLY AND NOT AGAINST ANY ASSOCIATED PERSON OF THE FIRM. THE FIRM HAS PAID THE FINE.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Firm Statement</b>                       | THE FIRM RECEIVED THE NOTICE OF ACCEPTANCE OF THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT ON AUGUST 27, 2012. WITHOUT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |



ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO A CENSURE AND \$10,000 FINE. THE FIRM HAS PAID THE FINE.

**End of Report**



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