

BrokerCheck Report

QUADRISERV SECURITIES, INC.

CRD# 128343

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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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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)

QUADRISERV SECURITIES, INC.

CRD# 128343

SEC# 8-66121

Main Office Location

529 5TH AVENUE
14TH FLOOR
NEW YORK, NY 10017

Mailing Address

529 5TH AVENUE
14TH FLOOR
NEW YORK, NY 10017

Business Telephone Number

(212)905-5221

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 Delaware on 04/03/2003.

Its fiscal year ends in September.

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.



Date firm ceased business: 10/27/2008

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 Delaware on 04/03/2003.

Its fiscal year ends in September.

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.

QUADRISERV SECURITIES, INC.

Doing business as QUADRISERV SECURITIES, INC.

CRD# 128343

SEC# 8-66121

Main Office Location

529 5TH AVENUE
14TH FLOOR
NEW YORK, NY 10017

Mailing Address

529 5TH AVENUE
14TH FLOOR
NEW YORK, NY 10017

Business Telephone Number

(212)905-5221



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): QUADRISERV INC.

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

Position OWNER

Position Start Date 04/2003

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): DEPETRIS, GREGORY WAYNE

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

Position CHIEF STRATEGIC OFFICER

Position Start Date 07/2003

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): GRABER, TODD ALAN

2960198

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

Position FINOP/CFO

Position Start Date 12/2005

Percentage of Ownership Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

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

Is this a public reporting company? No

Legal Name & CRD# (if any): TURNER, BRUCE CUNNINGHAM
1728156

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

Position PRESIDENT/CHIEF COMPLIANCE OFFICER

Position Start Date 05/2008

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):	BESSEC FUNDING LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	BESSEMER VENTURE PARTNERS VI L.P.
Relationship to Direct Owner	LIMITED PARTNER
Relationship Established	01/2004
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):	BESSEMER SECURITIES LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	BESSEC FUNDING LLC
Relationship to Direct Owner	MEMBER
Relationship Established	07/1999
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):	BESSEMER VENTURE PARTNERS VI L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established	QUADRISERV INC.
Relationship to Direct Owner	SHAREHOLDER, SERIES A PREFERRED STOCK
Relationship Established	07/2005
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

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 02/18/2004 to 12/26/2008.

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 4 types of businesses.

Types of Business

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

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

Trading securities for own account

Other - SECURITIES LENDING AND BORROWING

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 not have books or records maintained by a third party.

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

Name: THE BANK OF NEW YORK

Business Address: ONE WALL STREET
42ND FLOOR
NEW YORK, NY 10286

Effective Date: 12/12/2005

Description: THE BANK OF NEW YORK HAS BEEN APPOINTED AS OUR AGENT TO CLEAR SECURITIES LENDING TRANSACTIONS.

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

Name: THE BANK OF NEW YORK

Business Address: ONE WALL STREET
42ND FLOOR
NEW YORK, NY 10286

Effective Date: 12/12/2005

Description: THE BANK OF NEW YORK HAS BEEN APPOINTED AS OUR AGENT TO CLEAR SECURITIES LENDING TRANSACTIONS.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does have individuals who wholly or partly finance the firm's business.

Name: DEER VI & CO. LLC

Business Address: 1865 PALMER AVENUE
LARCHMONT, NY 10583

Effective Date: 07/18/2005

Description: QUADRISERV INC. IS THE DIRECT OWNER OF APPLICANT, OWNING 100% OF ITS CAPITAL STOCK. IN JULY 2005, QUADRISERV ISSUED SERIES A PREFERRED STOCK FOR AN AGGREGATE PURCHASE PRICE OF \$7 MM: THE ABOVE ENTITY IS THE GP OF THE INVESTORS. QUADRISERV HAS USED \$4 MM OF THE PROCEEDS FROM THE FINANCING TO MAKE A CAPITAL CONTRIBUTION TO APPLICANT, WITH THE RESULT THAT THE INVESTORS IN QUADRISERV'S FINANCING MAY BE DEEMED TO HAVE INDIRECTLY AND PARTIALLY FINANCED THE

Firm Operations



Industry Arrangements (continued)

BUSINESS OF APPLICANT FOR PURPOSES OF ITEM 9B.

Name: BESSEMER VENTURE PARTNERS CO-INVESTMENT L.P.

Business Address: 1865 PALMER AVENUE
LARCHMONT, NY 10583

Effective Date: 07/18/2005

Description: QUADRISERV INC. IS THE DIRECT OWNER OF THE APPLICANT, OWNING 100% OF ITS CAPITAL STOCK. IN JULY 2005, QUADRISERV ISSUED SERIES A PREFERRED STOCK FOR AN AGGREGATE PURCHASE PRICE OF \$7 MM: THE ABOVE ENTITY ACQUIRED \$1,741,250 OF SUCH STOCK. QUADRISERV HAS USED \$4 MM OF THE PROCEEDS FROM THE FINANCING TO MAKE A CAPITAL CONTRIBUTION TO APPLICANT, WITH THE RESULT THAT THE INVESTORS IN QUADRISERV'S FINANCING MAY BE DEEMED TO HAVE INDIRECTLY AND PARTIALLY FINANCED THE BUSINESS OF APPLICANT FOR PURPOSES OF ITEM 9B

Name: BESSEMER VENTURE PARTNERS VI INSTITUTIONAL L.P.

Business Address: 1865 PALMER AVENUE
LARCHMONT, NY 10583

Effective Date: 07/18/2005

Description: QUADRISERV INC. IS THE DIRECT OWNER OF APPLICANT, OWNING 100% OF ITS CAPITAL STOCK. IN JULY 2005, QUADRISERV ISSUED SERIES A PREFERRED STOCK FOR AN AGGREGATE PURCHASE PRICE OF \$7 MM: THE ABOVE ENTITY ACQUIRED \$87,500 OF SUCH STOCK. QUADRISERV HAS USED \$4 MM OF THE PROCEEDS FROM THE FINANCING TO MAKE A CAPITAL CONTRIBUTION TO APPLICANT, WITH THE RESULT THAT THE INVESTORS IN QUADRISERV'S FINANCING MAY BE DEEMED TO HAVE INDIRECTLY AND PARTIALLY FINANCED THE BUSINESS OF APPLICANT FOR PURPOSES OF ITEM 9B.



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.

AUTOMATED EQUITY FINANCE MARKETS, INC. is under common control with the firm.

CRD #:	147941
Business Address:	529 5TH AVENUE 14TH FLOOR NEW YORK, NY 10017
Effective Date:	10/15/2008
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AUTOMATED EQUITY FINANCE MARKETS, INC. AND QUADRISERV SECURITIES, INC. ARE BOTH DIRECTLY WHOLLY OWNED BY QUADRISERV INC.

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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