

BrokerCheck Report
ACP SECURITIES, LLC
 CRD# 139049

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



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)



ACP SECURITIES, LLC

CRD# 139049

SEC# 8-67185

Main Office Location

1200 BRICKELL AVENUE
SUITE 1700
MIAMI, FL 33131
Regulated by FINRA Florida Office

Mailing Address

1200 BRICKELL AVENUE
SUITE 1700
MIAMI, FL 33131

Business Telephone Number

305-670-4180

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 Florida on 11/04/2005.

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
- 15 U.S. states and territories

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

This firm conducts 14 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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	4



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Florida on 11/04/2005.

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.

ACP SECURITIES, LLC

Doing business as ACP SECURITIES, LLC

CRD# 139049

SEC# 8-67185

Main Office Location

1200 BRICKELL AVENUE
SUITE 1700
MIAMI, FL 33131

Regulated by FINRA Florida Office

Mailing Address

1200 BRICKELL AVENUE
SUITE 1700
MIAMI, FL 33131

Business Telephone Number

305-670-4180



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):	ACP CAPITAL HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	11/2005
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):	ANDREWS, MICHAEL ALAN 6227932
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	09/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ENDERE, ESTEBAN 4708937
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER
Position Start Date	06/2012

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? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GILMAN, ROBERT CRAIG
1738412

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

Position FINOP

Position Start Date 11/2015

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



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	BIDAU, EZEQUIEL 4477483
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ACP CAPITAL HOLDINGS, LLC
Relationship to Direct Owner	MEMBER, MANAGING DIRECTOR
Relationship Established	02/2017
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

Legal Name & CRD# (if any):	ENDERE, ESTEBAN 4708937
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ACP CAPITAL HOLDINGS, LLC
Relationship to Direct Owner	MEMBER, MANAGING DIRECTOR
Relationship Established	03/2011
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

Legal Name & CRD# (if any):	SIVERONI, PIERO
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Firm Profile



Indirect Owners (continued)

	5535508
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ACP CAPITAL HOLDINGS, LLC
Relationship to Direct Owner	MEMBER, MANAGING DIRECTOR
Relationship Established	09/2020
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 currently registered with the SEC, 1 SRO and 15 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/23/2006

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	05/23/2006

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	07/07/2025
California	Approved	06/19/2006
Connecticut	Approved	06/30/2006
Delaware	Approved	05/06/2016
District of Columbia	Approved	06/27/2006
Florida	Approved	05/24/2006
Georgia	Approved	07/29/2025
Massachusetts	Approved	08/18/2021
New Jersey	Approved	07/20/2006
New York	Approved	06/14/2006
North Carolina	Approved	08/14/2012
Puerto Rico	Approved	11/24/2021
South Dakota	Approved	08/07/2017
Texas	Approved	07/13/2006
Virginia	Approved	06/21/2006



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 14 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Solicitor of time deposits in a financial institution
Real estate syndicator
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Broker or dealer involved in a networking, kiosk or similar arrangement with a: bank, savings bank or association, or credit union
Other - THE FIRM WILL CONDUCT M&A ADVISORY BUSINESS. PROP TRADING WILL BE IN FIXED INCOME SECURITIES ONLY.

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.

Name:	INTERACTIVE BROKERS LLC
CRD #:	36418
Business Address:	ONE PICKWICK PLAZA- 2ND FL. GREENWICH, CT 06830
Effective Date:	11/11/2022
Description:	ACP SECURITIES IS AN INTRODUCING BROKER WITH A CLEARING AGREEMENT WITH INTERACTIVE BROKERS LLC.
<hr/>	
Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA 10TH FLOOR JERSEY CITY, NJ 07399
Effective Date:	05/25/2006
Description:	ACP SECURITIES LLC INTRODUCES ITS CLIENTS TO PERSHING LLC.
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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.

ACP CAPITAL MANAGEMENT, LLC is under common control with the firm.

CRD #:	138556
Business Address:	1450 BRICKELL AVENUE SUITE 1490 MIAMI, FL 33131
Effective Date:	12/15/2005
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ACP CAPITAL MANAGEMENT, LLC AND THE APPLICANT ARE UNDER COMMON OWNERSHIP.

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	4	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 4

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 WILLFULLY VIOLATED SECTION 17(A)(1) OF THE SECURITIES EXCHANGE ACT OF 1934, EXCHANGE ACT RULE 17A-14, AND FINRA RULE 2010 BY NOT DISCLOSING ON THE FIRM'S CUSTOMER RELATIONSHIP SUMMARY (FORM CRS) THAT ONE OF ITS ASSOCIATED PERSONS WHO HAD BECOME ASSOCIATED WITH THE FIRM HAD DISCIPLINARY HISTORY, INCLUDING FOR USING A NON-FIRM-APPROVED COMMUNICATIONS PLATFORM TO COMMUNICATE WITH A CUSTOMER REGARDING FIRM BUSINESS. THE FINDINGS STATED THAT INFORMATION CONCERNING THE ASSOCIATED PERSON'S DISCIPLINARY HISTORY WAS AVAILABLE TO THE FIRM THROUGH FINRA'S CENTRAL REGISTRATION DEPOSITORY (CRD) AND IN BROKERCHECK. NEVERTHELESS, THE FIRM DID NOT UPDATE ITS FORM CRS TO DISCLOSE THIS INFORMATION UNTIL APPROXIMATELY TWO AND A HALF YEARS AFTER THE ASSOCIATED PERSON JOINED THE FIRM.
Initiated By:	FINRA
Date Initiated:	11/15/2024
Docket/Case Number:	2023077080601
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/15/2024
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 \$20,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED \$20,000. THE FIRM UNDERSTANDS THAT THIS SETTLEMENT INCLUDES A FINDING THAT IT WILLFULLY VIOLATED SECTION 17(A)(1) OF THE SECURITIES EXCHANGE ACT OF 1934



AND RULE 17A-14 THEREUNDER, AND THAT UNDER ARTICLE III, SECTION 4 OF FINRA'S BY-LAWS, THIS MAKES RESPONDENT SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO MEMBERSHIP. FINE PAID IN FULL ON NOVEMBER 25, 2024.

Reporting Source: Firm

Current Status: Final

Allegations: FROM JULY 2021 TO JANUARY 2024, THE FIRM DID NOT DISCLOSE ON THE FIRM'S CUSTOMER RELATIONSHIP SUMMARY (FORM CRS) THAT ONE OF ITS ASSOCIATED PERSONS HAD DISCIPLINARY HISTORY.

Initiated By: FINRA

Date Initiated: 10/25/2024

Docket/Case Number: [2023077080601](#)

Principal Product Type: Other

Other Product Type(s): NO PRODUCT

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/25/2024

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

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$20,000

Disclosure 2 of 4

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 REPORTED TRACE-ELIGIBLE SECURITIES TRANSACTIONS WITH FINRA MEMBER BROKER-DEALERS TO TRACE INDICATING THAT THE CONTRA-PARTY FOR SUCH TRANSACTIONS WAS "C" (CUSTOMER), INSTEAD OF USING THE



MARKET PARTICIPANT IDENTIFIER ASSIGNED TO EACH OF THE RESPECTIVE FINRA MEMBER BROKER-DEALERS. THE FINDINGS STATED THAT THE FIRM FAILED TO ESTABLISH, MAINTAIN AND ENFORCE A SUPERVISORY SYSTEM AND WRITTEN SUPERVISORY PROCEDURES (WSPS) THAT WERE REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH ALL APPLICABLE SECURITIES LAWS AND REGULATIONS INCLUDING TRACE-ELIGIBLE SECURITIES TRANSACTION REPORTING.

Initiated By: FINRA

Date Initiated: 03/05/2018

Docket/Case Number: [2016047563501](#)

Principal Product Type: Other

Other Product Type(s): TRACE-ELIGIBLE SECURITIES

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 03/05/2018

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 \$17,500.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$17,500. FINES PAID IN FULL ON APRIL 10, 2018.

Reporting Source: Firm

Current Status: Final

Allegations: DURING THE PERIOD FROM OCTOBER 3, 2014 THROUGH FEBRUARY 19, 2016, THE FIRM FAILED TO REPORT TO TRACE THE CORRECT CONTRA-PARTY'S IDENTIFIER IN 352 TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES. AS A RESULT OF THE FOREGOING CONDUCT, THE FIRM



VIOLATED FINRA RULE 6730(C).

ADDITIONALLY, DURING THE RELEVANT PERIOD, THE FIRM FAILED TO ESTABLISH, MAINTAIN AND ENFORCE A SUPERVISORY SYSTEM AND WSPS THAT WERE REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH ALL APPLICABLE SECURITIES LAWS AND REGULATIONS INCLUDING TRACE-ELIGIBLE SECURITIES TRANSACTIONS REPORTING. THE FIRM VIOLATED NASD CONDUCT CODE RULE 3010 (PRIOR TO DECEMBER 1, 2014) AND FINRA RULES 3310 (COMMENCING ON OR AFTER DECEMBER 1, 2014).

Initiated By: FINRA

Date Initiated: 03/05/2018

Docket/Case Number: [2016047563501](#)

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 03/05/2018

Sanctions Ordered: Censure
Monetary/Fine \$17,500.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$17,500.

Disclosure 3 of 4

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 FAILED TO REPORT 78 TRANSACTIONS IN TRADE REPORTING AND COMPLIANCE ENGINE (TRACE)-ELIGIBLE CORPORATE DEBT SECURITIES TO TRACE WITHIN THE TIME REQUIRED BY FINRA RULE 6730(A).

Initiated By: FINRA

Date Initiated: 02/22/2017



Docket/Case Number: [2015046333301](#)

Principal Product Type: Debt - Corporate

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 02/22/2017

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 \$12,500.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$12,500. FINE PAID IN FULL ON 3/17/17.

Reporting Source: Firm

Current Status: Final

Allegations: THE FIRM FAILED TO REPORT 78 TRANSACTIONS IN TRADE REPORTING AND COMPLIANCE ENGINE (TRACE)-ELIGIBLE CORPORATE DEBT SECURITIES TO TRACE WITHIN THE TIME REQUIRED BY FINRA RULE 6730(A).

Initiated By: FINRA

Date Initiated: 02/22/2017

Docket/Case Number: [2015046333301](#)

Principal Product Type: Debt - Corporate

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure


Other Sanction(s)/Relief Sought:
Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 02/22/2017

Sanctions Ordered: Censure
Monetary/Fine \$12,500.00

Other Sanctions Ordered:
Sanction Details: THE FIRM WAS CENSURED AND FINED \$12,500.

Disclosure 4 of 4
Reporting Source: Regulator

Current Status: Final

Allegations: FINRA RULE 6730: THE MEMBER FIRM FAILED TO REPORT TO TRACE TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES THAT IT WAS REQUIRED TO REPORT.

Initiated By: FINRA

Date Initiated: 08/21/2013

Docket/Case Number: 2012030479401

Principal Product Type: No Product

Other Product Type(s):
Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: N/A

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 08/21/2013

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: Monetary/Fine \$5,000.00

**Other Sanctions Ordered:****Sanction Details:**

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE THE FIRM IS FINED \$5,000. FINE PAID IN FULL ON SEPTEMBER 9, 2013.

Reporting Source:

Firm

Current Status:

Final

Allegations:

DURING THE PERIOD FROM JULY 9, 2011 THROUGH NOVEMBER 25, 2012, ACP FAILED TO REPORT TO TRACE 18 TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES THAT IT WAS REQUIRED TO REPORT. AS A RESULT OF THE FOREGOING CONDUCT, THE FIRM VIOLATED FINRA RULE 6730.

Initiated By:

FINRA

Date Initiated:

08/21/2013

Docket/Case Number:

2012030479401

Principal Product Type:

No Product

Other Product Type(s):**Principal Sanction(s)/Relief Sought:**

Other

Other Sanction(s)/Relief Sought:**Resolution:**

Acceptance, Waiver & Consent(AWC)

Resolution Date:

08/21/2013

Sanctions Ordered:

Monetary/Fine \$5,000.00

Other Sanctions Ordered:**Sanction Details:**

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE THE FIRM IS FINED \$5,000.

End of Report



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