

BrokerCheck Report

TWENTY-FIRST SECURITIES CORPORATION

CRD# 14461

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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.

• **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.

**TWENTY-FIRST SECURITIES CORPORATION**

CRD# 14461

SEC# 8-30714

Main Office Location

780 THIRD AVENUE - 24TH FLOOR
NEW YORK, NY 10017

Mailing Address

780 THIRD AVENUE - 24TH FLOOR
NEW YORK, NY 10017

Business Telephone Number

(212) 308-4626

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 New York on 10/14/1983.

Its fiscal year ends in March.

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: 11/25/2019

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 New York on 10/14/1983.

Its fiscal year ends in March.

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.

TWENTY-FIRST SECURITIES CORPORATION

Doing business as TWENTY-FIRST SECURITIES CORPORATION

CRD# 14461

SEC# 8-30714

Main Office Location

780 THIRD AVENUE - 24TH FLOOR
NEW YORK, NY 10017

Mailing Address

780 THIRD AVENUE - 24TH FLOOR
NEW YORK, NY 10017

Business Telephone Number

(212) 308-4626



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): TWENTY-FIRST HOLDINGS, INC.

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

Position SHAREHOLDER

Position Start Date 06/1987

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): AINSBERG, RICHARD KEVIN

1422932

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

Position CFO/FINOP

Position Start Date 10/2014

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): FICHTENBAUM, MARK ALAN

2169867

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

Position GENERAL SECURITIES PRINCIPAL

Position Start Date 04/2019

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): GORDON, ROBERT NEIL
828874

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

Position PRESIDENT/DIRECTOR

Position Start Date 10/1983

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): GORDON, ROBERT NEIL
828874

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

Position CCO

Position Start Date 10/2014

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):	GORDON, ROBERT NEIL 828874
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	TWENTY-FIRST HOLDINGS, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	06/1987
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

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 12/05/1983 to 01/30/2020.



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 8 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
Municipal securities broker
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities

Other Types of Business

This firm does 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: CREDIT SUISSE SECURITIES (USA) LLC

CRD #: 816

Business Address: 11 MADISON AVE
NEW YORK, NY 10010

Effective Date: 02/25/2009

Description: IN ADDITION TO CLEARING ON A FULLY DISCLOSED BASIS WITH CREDIT SUISSE, TWENTY-FIRST SECURITIES OCCASSIONALLY REFERS DERIVATIVES TRANSACTIONS TO CREDIT SUISSE AND RECEIVES COMPENSATION FOR SUCH REFERRALS.

Name: DEUTSCHE BANK SECURITIES INC.

CRD #: 2525

Business Address: 60 WALL ST
NEW YORK, NY 10005

Effective Date: 05/01/1998

Description: TWENTY-FIRST SECURITIES OCCASSIONALLY REFERS DERIVATIVES TRANSACTIONS TO DEUTSCHE BANK AND RECEIVES COMPENSATION FOR SUCH REFERRALS.

Name: UBS FINANCIAL SERVICES INC.

CRD #: 8174

Business Address: 1285 AVENUE OF THE AMERICAS
NEW YORK, NY 10019

Effective Date: 01/13/1998

Description: TWENTY-FIRST SECURITIES CORPORATION MAINTAINS A NON-EXCLUSIVE CLEARING AGREEMENT WITH UBS FINANCIAL SERVICES INC. PURSUANT TO WHICH UBS FINANCIAL SERVICES INC. ACTS AS THE CLEARING BROKER, ON A FULLY-DISCLOSED BASIS, FOR MARGIN AND CASH ACCOUNTS FOR TWENTY-FIRST SECURITIES' CUSTOMERS.

Firm Operations



Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	UBS SECURITIES LLC
CRD #:	7654
Business Address:	677 WASHINGTON BOULEVARD, 6TH FLOOR STAMFORD, CT 06912-0305
Effective Date:	10/21/1997
Description:	TWENTY-FIRST SECURITIES CORPORATION MAINTAINS A NON-EXCLUSIVE CLEARING AGREEMENT WITH UBS SECURITIES LLC PURSUANT TO WHICH UBS SECURITIES ACTS AS THE CLEARING BROKER, ON A FULLY-DISCLOSED BASIS, FOR MARGIN AND CASH ACCOUNTS FOR TWENTY-FIRST SECURITIES' CUSTOMERS

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: UBS FINANCIAL SERVICES INC.
CRD #: 8174
Business Address: 1285 AVENUE OF THE AMERICAS
 NEW YORK, NY 10019
Effective Date: 01/13/1998
Description: APPLICANT MAINTAINS AN ACCOUNT AT UBS FINANCIAL SERVICES, INC.

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

Name: UBS FINANCIAL SERVICES INC.
CRD #: 8174
Business Address: 1285 AVENUE OF THE AMERICAS
 NEW YORK, NY 10019
Effective Date: 01/13/1998
Description: TWENTY-FIRST SECURITIES CORPORATION MAINTAINS A NON-EXCLUSIVE CLEARING AGREEMENT WITH UBS FINANCIAL SERVICES INC., PURSUANT TO WHICH UBS FINANCIAL SERVICES INC ACTS AS THE CLEARING BROKER, ON A FULLY-DISCLOSED BASIS, FOR MARGIN AND CASH ACCOUNTS FOR TWENTY-FIRST SECURITIES' CUSTOMERS.

Name: UBS SECURITIES LLC
CRD #: 7654
Business Address: 677 WASHINGTON BOULEVARD
 STAMFORD, CT 06912-0305
Effective Date: 10/21/1997
Description: TWENTY-FIRST SECURITIES CORPORATION MAINTAINS A NON-EXCLUSIVE CLEARING AGREEMENT WITH UBS SECURITIES LLC PURSUANT TO WHICH UBS SECURITIES ACTS AS THE CLEARING BROKER, ON A FULLY DISCLOSED BASIS, FOR MARGIN AND CASH ACCOUNTS FOR TWENTY-FIRST SECURITIES' CUSTOMERS.

Control Persons/Financing

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

Firm Operations

Industry Arrangements (continued)

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.

TWENTY-FIRST TAILORED SOLUTIONS, INC. is under common control with the firm.

CRD #:	158381
Business Address:	780 THIRD AVENUE, NY NY, NY 10017
Effective Date:	08/10/2011
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	TWENTY-FIRST SECURITIES CORPORATION AND TWENTY-FIRST TAILORED SOLUTIONS, INC. ARE 100% OWNED BY TWENTY-FIRST HOLDINGS, INC.

TWENTY-FIRST ADVISERS, INC. is under common control with the firm.

Business Address:	780 THIRD AVENUE NEW YORK, NY 10017
Effective Date:	09/16/1987
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ENTITY IS OWNED BY THE SAME PARENT CORPORATION AS APPLICANT. FORMERLY AN SEC-REGISTERED INVESTMENT ADVISER. NOT CURRENTLY REGISTERED WITH THE SEC OR ANY STATE.

Firm Operations



Organization Affiliates (continued)

TWENTY-FIRST PREFERRED MANAGEMENT, INC. is under common control with the firm.

Business Address: 780 THIRD AVENUE
NEW YORK, NY 10017

Effective Date: 01/21/1988

Foreign Entity: No

Country:

Securities Activities: No

**Investment Advisory
Activities:** Yes

Description: ENTITY IS OWNED BY THE SAME PARENT CORPORATION AS APPLICANT.
ENTITY WAS FORMERLY AN SEC-REGISTERED INVESTMENT ADVISER.
CURRENTLY REGISTERED AS A COMMODITY TRADING ADVISOR AND
COMMODITY POOL OPERATOR. NOT CURRENTLY ACTIVE.

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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