

BrokerCheck Report

CA IB SECURITIES (NEW YORK) INC.

CRD# 14851

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Registration and Withdrawal	2
Firm Profile	3 - 7
Firm History	8
Firm Operations	9 - 23



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.

**CA IB SECURITIES (NEW YORK) INC**

CRD# 14851

SEC# 8-31104

Main Office Location150 EAST 42ND STREET
NEW YORK, NY 10017**Mailing Address**150 EAST 42ND STREET
NEW YORK, NY 10017**Business Telephone Number**

212-672-6140

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 12/06/1983.

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? **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: 07/31/2001

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 12/06/1983.

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.

CA IB SECURITIES (NEW YORK) INC.

Doing business as CA IB SECURITIES (NEW YORK) INC.

CRD# 14851

SEC# 8-31104

Main Office Location

150 EAST 42ND STREET
NEW YORK, NY 10017

Mailing Address

150 EAST 42ND STREET
NEW YORK, NY 10017

Business Telephone Number

212-672-6140



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):	CREDITANSTALT INTERNATIONAL ADVISORS GROUP, INC. ("CAIAG")
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	100% SHAREHOLDER OF APPLICANT
Position Start Date	01/1994
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):	BURNS, ROSEMARY ANN
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL PRINCIPAL
Position Start Date	05/2001
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):	HEMETSBERGER, WILLI (NMN)
Is this a domestic or foreign entity or an individual?	Individual
Position	CHAIRMAN
Position Start Date	11/1998
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): MCGRORY, KENNTH RAYMOND
1032747

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

Position DIRECTOR OF OPERATIONS

Position Start Date 03/1998

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): SCHUCH, GYULA BELA
2666645

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

Position DIRECTOR/PRESIDENT

Position Start Date 11/1998

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):	BANK AUSTRIA CREDITANSTALT AMERICAN CORPORATION ("BACAAC")
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	CAIAG
Relationship to Direct Owner	100% SHAREHOLDER OF CAIAG
Relationship Established	08/1998
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):	BANK AUSTRIA CREDITANSTALT INTERNATIONAL, AG ("BACAI")
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	BACAAC
Relationship to Direct Owner	98% SHAREHOLDER IN BACAAC
Relationship Established	08/1998
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):	BANK AUSTRIA, AG ("BA")
Is this a domestic or foreign entity or an individual?	Foreign Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established	BACAAI
Relationship to Direct Owner	100% SHAREHILDER OF BACAAI
Relationship Established	08/1998
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 02/10/1984 to 08/30/2001.



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

Broker or dealer selling corporate debt securities

Private placements of securities

Other - 12Z CA IB SECURITIES (NEW YORK) INC. ("CA-IB")ENGAGES IN BROKERAGE ACTIVITIES WITH RESPECT TO U.S. AND NON-U.S. (FOREIGN) SECURITIES. CA IB ALSO ENGAGES IN CORPORATE FINANCE ADVISORY ACTIVITIES, AND ACTS AS PRIVATE PLACEMENT AGENT EITHER IN CONNECTION WITH ITS MERGERS AND ACQUISITIONS ADVISORY ACTIVITIES OR SEPARATELY.

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 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.

No information reported.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

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

Name:	MORGAN GUARANTY TRUST
Business Address:	60 WALL STREET NEW YORK, NY 10001
Effective Date:	12/28/1983
Description:	THE APPLICANT MAINTAINS VARIOUS CHECKING AND INVESTMENT ACCOUNTS WITH MORGAN GUARANTY TRUST, NEW YORK, NEW YORK.

This firm does 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.**

BBA SECURITIES CORP. is under common control with the firm.

CRD #:	43512
Business Address:	245 PARK AVENUE 32ND FLOOR NEW YORK, NY 10167
Effective Date:	09/01/1998
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB INFRASTRUCTURE PROJECT ADVISORS is under common control with the firm.

Business Address:	JULIUS TANDLER PLATZ 3 VIENNA, AUSTRIA A-1090
Effective Date:	11/24/1997
Foreign Entity:	Yes
Country:	AUSTRIA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB INFRASTRUCTURE PROJECT ADVISORS is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

Business Address: CLARIDGE HOUSE
29 BARNES HIGH STREET
LONDON, UNITED KINGDOM SW13 9LW

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA FUND ADVISORY FONDS BERATUNGS, GMBH is under common control with the firm.

Business Address: SCHOTTENGASSE 6
VIENNA, AUSTRIA A-1010

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: AUSTRIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE AFFILIATE.

CA-IB ITALIA, SPA is under common control with the firm.

Business Address: VIA BRERA 4
MILANO, ITALY 20121

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: ITALY

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

Firm Operations



Organization Affiliates (continued)

CA-IB SECURITIES, LTD. is under common control with the firm.

Business Address:	80 CHEAPSIDE 4TH FLOOR LONDON, UNITED KINGDOM EC2Z 6EE
Effective Date:	11/24/1997
Foreign Entity:	Yes
Country:	UNITED KINFDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE AFFILIATE.

BANK AUSTRIA CREDITANSTALT DEUTSCHLAND, AG is under common control with the firm.

Business Address:	BRIENNER STRASSE 9 MUNICH, GERMANY D-80333
Effective Date:	11/24/1997
Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB SECURITIES (UKRAINE) AT is under common control with the firm.

Business Address:	14-A YAROSLAVIV VAL KIEV, UKRAINE 252 034
Effective Date:	11/24/1997
Foreign Entity:	Yes
Country:	UKRAINE
Securities Activities:	Yes
Investment Advisory Activities:	No

Firm Operations



Organization Affiliates (continued)

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB RUSSIA is under common control with the firm.

Business Address: PAVELETSKAYA SQUARE 2
MOSCOW, RUSSIA 113-054

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: RUSSIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB AUSTRIA FINANCIAL ADVISORS, D.D. is under common control with the firm.

Business Address: CANKARJEVO NABREZJE 3
LJUBLJANA, SLOVENIA SLC-1000

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: SLOVENIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB SECURITIES, A.S. OCP is under common control with the firm.

Business Address: DUBRAVSKA CESTA 2
BRITSLAVA, SLOVAK REPUBLIC SK-81703

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: SLOVAK REPUBLIC

Securities Activities: Yes

Investment Advisory Activities: No

Firm Operations



Organization Affiliates (continued)

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CREDITANSTALT ROMANIAN EQUITY, S.A. is under common control with the firm.

Business Address: STR. 1 CAMPINENAU 11
3RD FLOOR
BUCHAREST, ROMANIA 01

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: ROMANIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CREDITANSTALT ASSET MANAGEMENT is under common control with the firm.

Business Address: 74 GH. BILASCU STREET
CLUJ-NAPOCA, ROMANIA 3400

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: ROMANIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB SECURITIES S.A. BUCHAREST is under common control with the firm.

Business Address: 3 NERVA TRALAN STREET
MEZZANINE
BUCHAREST, ROMANIA RO-SEC 3

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: ROMANIA

Securities Activities: Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB FINANCIAL ADVISORS is under common control with the firm.

Business Address: 3 NERVA TRALAN STREET
MEZZANINE
BUCHAREST, ROMANIA RO-SEC 3

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: ROMANIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB INVESTMENT MANAGEMENT, S.A. is under common control with the firm.

Business Address: UL. EMILII PLATER 53
WARSAW, POLAND PL-00-113

Effective Date: 04/01/1999

Foreign Entity: Yes

Country: POLAND

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CREDITANSTALT - SCG FUND MANAGEMENT, S.A. is under common control with the firm.

Business Address: UL. EMILII PLATER 53
WARSAW, POLAND PL-00-113

Effective Date: 04/01/1999

Foreign Entity: Yes

Country: POLAND

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB INVESTMENT FUND COMPANY, S.A. is under common control with the firm.

Business Address:	UL. EMILII PLATER 53 WARSAW, POLAND PL-00-113
Effective Date:	04/01/1999
Foreign Entity:	Yes
Country:	POLAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB SECURITIES, S.A. is under common control with the firm.

Business Address:	UL. EMILLI PLATER 53 WARSAW, POLAND PL-00-113
Effective Date:	04/01/1999
Foreign Entity:	Yes
Country:	POLAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

BRE/IB AUSTRIA MANAGEMENT is under common control with the firm.

Business Address:	UL. BIATA 3 WARSAW, POLAND PL-00-854
Effective Date:	11/24/1997
Foreign Entity:	Yes
Country:	POLAND

Firm Operations



Organization Affiliates (continued)

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB FINANCIAL ADVISORS, S.A. is under common control with the firm.

Business Address: UL. EMILII PLATER 53
WARSAW, POLAND PL-00-113

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: POLAND

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB SECURITIES, LTD. is under common control with the firm.

Business Address: NAGYSANDOR JOZSEF UTCA 10
BUDAPEST, HUNGARY H-1372

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: HUNGARY

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB SECURITIES, A.S. is under common control with the firm.

Business Address: NAM. KINSKYCH 2
PRAGUE 5, CZECH REPUBLIC CR-150 00

Effective Date: 11/24/1997

Foreign Entity: Yes

Firm Operations



Organization Affiliates (continued)

Country: CZECH REPUBLIC

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB SECURITIES, D.D. is under common control with the firm.

Business Address: JURISICEVA 2A
ZAGREB, CROATIA 10000

Effective Date: 11/24/1997

Foreign Entity: Yes

Country: CROATIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE AFFILIATE IS UNDER COMMON OWNERSHIP WITH THE APPLICANT.

CA-IB INVESTMENTBANK, AG is under common control with the firm.

Business Address: NIBELUNGENGASSE 15
VIENNA, AUSTRIA A-1011

Effective Date: 09/01/1998

Foreign Entity: Yes

Country: AUSTRIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: CA-IB INVESTMENTBANK, AG, A SUBSIDIARY OF BANK AUSTRIA, AG, IS AN AFFILIATE OF CA-IB THAT CONDUCTS INVESTMENT ACTIVITIES IN EUROPE.

BANK AUSTRIA, AG controls the firm.

Business Address: AM HOF 2
VIENNA, AUSTRIA A-1010

Effective Date: 09/01/1998

Firm Operations



Organization Affiliates (continued)

Foreign Entity:	Yes
Country:	AUSTRIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	CA-IB IS A SUBSIDIARY OF BANK AUSTRIA, AG, A PUBLIC BANKING CORPORATION ORGANIZED UNDER THE LAWS OF AUSTRIA. BANK AUSTRIA, AG, IS A MEMEBR OF THE VIENNA STOCK EXCHANGE.

BANK AUSTRIA SECURITIES, INC. is under common control with the firm.

CRD #:	24028
Business Address:	245 PARK AVENUE 32ND FLOOR NEW YORK, NY 10167
Effective Date:	09/01/1998
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	BANK AUSTRIA SECURITIES, INC. ("BASI") IS A REGISTERED BROKER DEALER AND IS A WHOLLY OWNED SUBSIDIARY OF BANK AUSTRIA, AG, VIENNA, AUSTRIA. CA-IB CLEARS FOREIGN DEBT SECURITIES TRANSACTIONS, ON A FULLY DISCLOSED BASIS, ON BEHALF OF BASI.

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

BANK AUSTRIA, AG is a Foreign Bank and controls the firm.

Firm Operations



Organization Affiliates (continued)

Business Address:	AM HOF 2 VIENNA, AUSTRIA A-1010
Effective Date:	09/01/1998
Description:	CA-IB IS A SUBSIDIARY OF BANK AUSTRIA, AG, A PUBLIC BANKING CORPORATION ORGANIZED UNDER THE LAWS OF AUSTRIA. BANK AUSTRIA, AG, IS A MEMBER OF THE VIENNA STOCK EXCHANGE.

End of Report



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