BrokerCheck Report

TIBRA TRADING AMERICA LLC

CRD# 151529

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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.

TIBRA TRADING AMERICA LLC

CRD# 151529

SEC# 8-68378

Main Office Location

311 S. WACKER DR.
SUITE 5400
CHICAGO, IL 60606

Mailing Address

311 S. WACKER DR.
SUITE 5400
CHICAGO, IL 60606

Business Telephone Number

3124168000

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 Delaware on 05/27/2009.

Its fiscal year ends in June.

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

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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:	01/01/2014
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	Yes
Number of customers owed funds or securities:	0
Amount of money owed to customer:	$0.00
Amount of money owed to brokerage firm:	$60,000.00
Market value of securities owed to customer:	$0.00
Market value of securities owed to brokerage firm:	$0.00
Payment arrangement:	FINANCIAL LIABILITIES REPRESENT AMOUNT DUE TO EXECUTING BROKERS FOR TRADING ACTIVITY. PAYMENT WILL BE MADE WHEN DUE IN ACCORDANCE WITH NORMAL BUSINESS PRACTICE.

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 05/27/2009.

Its fiscal year ends in June.

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.

TIBRA TRADING AMERICA LLC

Doing business as TIBRA TRADING AMERICA LLC

CRD# 151529

SEC# 8-68378

Main Office Location

311 S. WACKER DR.
SUITE 5400
CHICAGO, IL 60606

Mailing Address

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SUITE 5400
CHICAGO, IL 60606

Business Telephone Number

3124168000

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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):	TIBRA NORTH AMERICA PTY LIMITED
Is this a domestic or foreign entity or an individual?	Foreign Entity
Position	SOLE MEMBER
Position Start Date	05/2009
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):	DEERING, DANIEL E 5040698
Is this a domestic or foreign entity or an individual?	Individual
Position	HEAD OF FINANCE - AMERICAS
Position Start Date	11/2011
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):	KATSULIS, CHRISTOPHER T. 5838142
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	10/2013

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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):	MCLAUGHLIN, GLENN RICHARD 5830510
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR/HEAD OF TRADING
Position Start Date	08/2010
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):	SCHWAB, STEVEN ANTHONY 4589027
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	09/2009
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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Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	TIBRA CAPITAL PTY LIMITED
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	TIBRA NORTH AMERICA PTY LIMITED
Relationship to Direct Owner	MEMBER
Relationship Established	01/2001
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

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Firm History

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

No information reported.

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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 07/12/2010 to 05/16/2014.

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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

Exchange member engaged in floor activities
Put and call broker or dealer or option writer
Trading securities for own account
Other - THE FIRM WILL TRADE SECURITIES FOR ITS OWN ACCOUNTS INCLUDING ACTING AS A MARKET MAKER. IN ADDITION, THE FIRM WILL TRADE FUTURES, COMMODITIES AND INDEX OPTIONS ON A PROPRIETARY BASIS.

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:

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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.

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Firm Operations

Industry Arrangements

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

Name:	SMARSH
Business Address:	921 SW WASHINGTON ST. SUITE 540 PORTLAND, OR 97205
Effective Date:	10/04/2010
Description:	SMARSH PROVIDES BACKUP STORAGE OF CERTAIN OF THE FIRMS ELECTRONIC COMMUNICATIONS AS NOTIFED TO THE FIRM'S DEA IN WRITING AND UPDATED AS NECESSARY.

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

Name:	ABN AMRO CLEARING CHICAGO LLC
CRD #:	14020
Business Address:	175 WEST JACKSON BLVD CHICAGO, IL 60604
Effective Date:	09/02/2009
Description:	THE FIRM WILL MAINTAIN A CLEARING RELATIONSHIP WITH ABN AMRO CLEARING CHICAGO LLC. AS PART OF THE RELATIONSHIP, THE FIRM WILL MAINTAIN PROPRIETARY ACCOUNTS AND CERTAIN BOOKS AND RECORDS WITH ABN.

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.

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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.

TIBRA CAPITAL PTY LIMITED controls the firm.

Business Address:	LEVEL 17 101 GRAFTON STREET BONDI JUNCTION, AUSTRALIA NSW 2022
Effective Date:	05/27/2009
Foreign Entity:	Yes
Country:	AUSTRALIA
Securities Activities:	No
Investment Advisory Activities:	No
Description:	TIBRA CAPTIAL PTY LIMITED OWNS TIBRA NORTH AMERICA PTY LIMITED WHO IN TURN OWNS TIBRA TRADING LLC.

TIBRA NORTH AMERICA PTY LIMITED controls the firm.

Business Address:	LEVEL 17 101 GRAFTON STREET BONDI JUNCTION, AUSTRALIA NSW 2022
Effective Date:	05/27/2009
Foreign Entity:	Yes
Country:	AUSTRALIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	TIBRA NORTH AMERICA PTY LIMITED IS THE SOLE MEMBER AND PARENT COMPANY OF TIBRA TRADING AMERICA LLC.

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Firm Operations

Organization Affiliates (continued)

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**

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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

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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 1

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	NYSE ARCA EQUITIES RULES 6.18(B) AND (C), 7.33 - TIBRA TRADING AMERICA LLC FAILED TO POPULATE 243 PROPRIETARY ORDERS WITH THE CORRECT CAPACITY CODE. DUE TO A PROGRAMMING ERROR, THE FIRM FAILED TO POPULATE APPROXIMATELY 6,113 ADDITIONAL PROPRIETARY ORDERS WITH THE CORRECT CAPACITY CODE. THE FIRM FAILED TO HAVE IN PLACE WRITTEN SUPERVISORY POLICIES AND PROCEDURES, INCLUDING A SYSTEM OF FOLLOW-UP AND REVIEW, REASONABLY DESIGNED TO ENSURE SUBMISSION OF ACCURATE CAPACITY CODES ON ITS PROPRIETARY ORDERS.
Initiated By:	NYSE ARCA, INC.
Date Initiated:	11/15/2013
Docket/Case Number:	2013035828301
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	11/15/2013
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:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
Sanction Details:	A FINRA HEARING OFFICER CONSIDERED AN OFFER OF SETTLEMENT AND CONSENT ENTERED INTO BETWEEN FINRA ON BEHALF OF NYSE REGULATION, INC. AND THE FIRM. WITHOUT ADMITTING OR DENYING ANY ALLEGATIONS OR FINDINGS, THE FIRM IS CENSURED AND FINED $10,000. THE SANCTIONS SHALL TAKE EFFECT IMMEDIATELY. THE FINE MUST BE PAID WITHIN 30 DAYS OF THE DECISION OR THE FIRM MAY FACE SUSPENSION.
Regulator Statement	OTHER CASE NUMBER: 13-ARCA-26

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Reporting Source:	Firm
Current Status:	Final
Allegations:	VIOLATION OF NYSE ARCA EQUITIES RULE 7.33 BY FAILING TO POPULATE PROPRRIETARY ORDERS WITH THE CORRECT CAPACITY CODE AND VIOLATION OF RULE 6.18(B) AND (C) BY FAILING TO HAVE IN PLACE WRITTEN SUPERVISORY PROCEDURES DESIGNED TO ESURE SUBMISSION OF PROPRIETARY ORDERS WITH THE CORRECT CAPACITY CODE.
Initiated By:	NYSE ARCA EQUITIES
Date Initiated:	11/15/2013
Docket/Case Number:	REGULATORY ACTION CASE NO. 2013035828301
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	CENSURE
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/15/2013
Sanctions Ordered:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
Sanction Details:	FINE IN THE AMOUNT OF $10,000 LEVIED AGAINST TIBRA TRADING AMERICA. FINE IS TO BE PAID WITHIN 30 DAYS OF THE RESOLUTION DATE.
Firm Statement	PAYMET OF $10,000 TO BE MADE TO FINRA WITHIN 30 DAYS OF THE RESOLUTION DATE.

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End of Report

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