BrokerCheck Report

COMPASS SECURITIES CORPORATION

CRD# 16168

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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.

COMPASS SECURITIES CORPORATION

CRD# 16168

SEC# 8-33438

Main Office Location

50 BRAINTREE HILL PARK
SUITE 105
BRAINTREE, MA 02184-8734
Regulated by FINRA Boston Office

Mailing Address

50 BRAINTREE HILL PARK
SUITE 105
BRAINTREE, MA 02184-8734

Business Telephone Number

781-535-6083

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 Massachusetts on 11/05/1984.

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 firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 51 U.S. states and territories

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

This firm conducts 8 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have 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	1

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Massachusetts on 11/05/1984.

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.

COMPASS SECURITIES CORPORATION

Doing business as COMPASS SECURITIES CORPORATION

CRD# 16168

SEC# 8-33438

Main Office Location

50 BRAINTREE HILL PARK
SUITE 105
BRAINTREE, MA 02184-8734

Regulated by FINRA Boston Office

Mailing Address

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BRAINTREE, MA 02184-8734

Business Telephone Number

781-535-6083

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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):	COMPASS HOLDING GROUP INC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	07/2015
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):	CHAISSON, SCOTT STEPHEN 2353375
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT/CEO
Position Start Date	09/2016
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):	SHANAHAN, TIMOTHY FRANCIS 709231
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR-CHIEF FINANCIAL OFFICER
Position Start Date	03/2015

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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):	WESCHLER, SUSAN MAUREEN 1796103
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER, CHIEF OPERATIONS OFFICER
Position Start Date	01/2014
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

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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):	CHAISSON, SCOTT STEPHEN 2353375
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	COMPASS HOLDING GROUP INC
Relationship to Direct Owner	PRESIDENT/CEO
Relationship Established	09/2016
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 currently registered with the SEC, 1 SRO and 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/04/1985

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

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	06/03/1985

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	08/18/2000
Alaska	Approved	03/08/2007
Arizona	Approved	02/18/2010
Arkansas	Approved	11/22/1994
California	Approved	10/20/1992
Colorado	Approved	01/29/2007
Connecticut	Limited	09/16/1992
Delaware	Approved	10/15/1996
District of Columbia	Approved	02/22/2008
Florida	Approved	10/08/1993
Georgia	Approved	01/27/1999
Hawaii	Approved	02/18/2014
Idaho	Approved	05/03/2000
Illinois	Approved	05/14/1993
Indiana	Approved	11/19/1993
Iowa	Approved	10/31/2011
Kansas	Approved	04/09/1997
Kentucky	Approved	02/25/1998
Louisiana	Approved	11/28/2016
Maine	Approved	10/21/2010
Maryland	Approved	02/05/1996
Massachusetts	Approved	05/22/1985
Michigan	Approved	12/15/1992
Minnesota	Approved	09/15/1992
Mississippi	Approved	01/06/1999
Missouri	Approved	03/24/1995
Montana	Approved	06/05/2018
Nebraska	Approved	04/01/1997
Nevada	Approved	01/31/2018
New Hampshire	Approved	10/01/1990
New Jersey	Approved	09/10/1991
New Mexico	Approved	06/28/2002
New York	Approved	03/08/1988
North Carolina	Approved	06/26/2007
North Dakota	Approved	06/04/2018
Ohio	Approved	09/03/1992
Oklahoma	Approved	06/07/2018
Oregon	Approved	10/15/1999
Pennsylvania	Approved	08/05/1996
Rhode Island	Approved	02/24/1999
South Carolina	Approved	01/30/2014
South Dakota	Approved	02/28/1997
Tennessee	Approved	06/07/2012
Texas	Approved	12/31/1992
Utah	Approved	05/11/2001
Vermont	Approved	03/22/1996
Virginia	Approved	02/10/1997
Washington	Approved	07/14/2006
West Virginia	Approved	03/21/2017
Wisconsin	Approved	09/08/1994
Wyoming	Approved	05/25/2012

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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 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
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Broker or dealer selling tax shelters or limited partnerships in the secondary market
Private placements of securities

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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 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.

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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.

COMPASS CAPITAL CORPORATION is under common control with the firm.

CRD #:	112323
Business Address:	50 BRAINTREE HILL PARK SUITE 105 BRAINTREE, MA 02184
Effective Date:	07/01/2015
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE TWO FIRMS ARE UNDER CONTROL OF SCOTT CHAISSON, PRESIDENT/CEO

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:	Firm
Current Status:	Final

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Allegations:	ON JUNE 30, 1993 COMPASS SECURITIES CORPORATION WAS REQUIRED TO HAVE A NET CAPITAL OF $92,000 WHEN NET CAPITAL WAS IN FACT $37,000. THIS CAUSED A TECHNICAL VIOLATION OF THE RATIO OF AGGREGATE INDEBTEDNESS TO NET CAPITAL IN ACCORDANCE WITH RULE 15C3-1 OF THE SECURITIES EXCHANGE ACT OF 1934. THE RESULT OF THIS VIOLATION WAS A CONSENT ORDER TO SENSURE AND IMPOSE SANCTIONS PURSUANT TO THE MICHIGAN UNIFORM SECURITIES ACT DATED MARCH 1, 1994. THE DETAILS OF THE NET CAPITAL TECHNICAL VIOLATION ARE CONTAINED IN A LETTER DATED NOVEMBER 17, 1993 TO THE MICHIGAN DEPARTMENT OF COMMERCE CORPORATION AND SECURITIES BUREAU. COMPASS SECURITIES CORPORATION HAS HAD NO SUBSEQUENT NET CAPITAL VIOLATIONS, AND HAS NO OTHER REGULATORY ACTIONS THREATENED, PENDING, COMMENCED, OR CONCLUDED AGAINST THE FIRM SINCE THAT TIME.
Initiated By:	STATE OF MICHIGAN
Date Initiated:	11/10/1993
Docket/Case Number:	BD 3133
Principal Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	
Resolution:	Consent
Resolution Date:	03/01/1994

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End of Report

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