

## BrokerCheck Report

### MIP GLOBAL, INC.

CRD# 164640

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).



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 Puerto Rico on 04/25/2012.  
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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	8

MIP GLOBAL, INC.

CRD# 164640

SEC# 8-69110

Main Office Location

METRO PARQUE 7 STREET 1  
SUITE 204  
SAN JUAN, PR 00968

Mailing Address

METRO PARQUE 7 STREET 1  
SUITE 204  
SAN JUAN, PR 00968

Business Telephone Number

787-722-2240



## Firm Profile

This firm is classified as a corporation.

This firm was formed in Puerto Rico on 04/25/2012.

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.

**MIP GLOBAL, INC.**

**Doing business as MIP GLOBAL, INC.**

**CRD#** 164640

**SEC#** 8-69110

### Main Office Location

METRO PARQUE 7 STREET 1  
SUITE 204  
SAN JUAN, PR 00968

### Mailing Address

METRO PARQUE 7 STREET 1  
SUITE 204  
SAN JUAN, PR 00968

### Business Telephone Number

787-722-2240



## 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):** MOSAIC ENTERPRISES, INC.

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

**Position** OWNER

**Position Start Date** 04/2012

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** DRUTAU, MAYA ARTEMOVNA

4580500

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

**Position** FINOP

**Position Start Date** 01/2017

**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

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**Legal Name & CRD# (if any):** LUCAS, CHARLES CRAFT III

1285092

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

**Position** COMPLIANCE CONSULTANT

**Position Start Date** 01/2017

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
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Legal Name & CRD# (if any):	SUCHORSKY, MICHAEL T 2715427
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER & CHIEF COMPLIANCE OFFICER
Position Start Date	02/2016
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
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## Firm Profile

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

### Indirect Owners

<b>Legal Name &amp; CRD# (if any):</b>	EDRJ 2015 IRREVOCABLE TRUST
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	MOSAIC ENTERPRISES, INC.
<b>Relationship to Direct Owner</b>	OWNER
<b>Relationship Established</b>	02/2015
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	RIVERS, DONALD PAUL 6483399
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	EDRJ 2015 IRREVOCABLE TRUST
<b>Relationship to Direct Owner</b>	TRUSTEE
<b>Relationship Established</b>	02/2015
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	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.





## 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 11/18/2013 to 06/19/2017.**

## 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 5 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
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

## 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.

<b>Name:</b>	INTERACTIVE BROKERS LLC
<b>CRD #:</b>	36418
<b>Business Address:</b>	ONE PICKWICK PLAZA-2ND FL. GREENWICH, CT 06830
<b>Effective Date:</b>	07/11/2014
<b>Description:</b>	INTERACTIVE BROKERS, LLC PROVIDES A FULLY DISCLOSED CLEARING ARRANGEMENT FOR MIP GLOBAL, INC.

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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.**

**ELEVATION, LLC is under common control with the firm.**

<b>CRD #:</b>	140341
<b>Business Address:</b>	214 N. TRYON STREET SUITE 3010 CHARLOTTE, NC 28202
<b>Effective Date:</b>	01/15/2016
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	ELEVATION LLC WILL SERVE AS CLEARING AND CUSTODY PROVIDER FOR MIP GLOBAL. BOTH FIRMS WILL SHARE CCO SERVICE PROVIDED BY MR. CHARLES LUCAS.

**FAMILY ENDOWMENT PARTNERS, LP is controlled by the firm.**

<b>CRD #:</b>	150151
<b>Business Address:</b>	255 STATE STREET 7TH FLOOR BOSTON, MA 02109
<b>Effective Date:</b>	07/01/2015
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes

## Firm Operations



### Organization Affiliates (continued)

**Description:** THE CCO, LEE WEISS, IS A PARTNER IN THE FIRM.

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**MIP GLOBAL CAYMAN, LTD. is under common control with the firm.**

**Business Address:** 94 SOLARIS AVENUE, CAMANA BAY  
P.O. BOX 1348  
GRAND CAYMAN, CAYMAN ISLANDS

**Effective Date:** 04/28/2014

**Foreign Entity:** Yes

**Country:** CAYMAN ISLANDS

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** MIP GLOBAL AND MIP CAYMAN ARE UNDER COMMON OWNERSHIP THROUGH THE OWNER.

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**CHESSICA ASSET MANAGEMENT, LLC is under common control with the firm.**

**Business Address:** 3725 WALDEN AVE.  
SUITE 47  
LANCASTER, NY 14086

**Effective Date:** 09/03/2013

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** THE TRUST THAT IS THE SOLE OWNER OF MIP GLOBAL, INC., A DELAWARE BASED CORPORATION THAT OWNS CHESSICA ASSET MANAGEMENT, HAS THE SAME TRUSTEE AND SAME BENEFICIARIES AS THE TRUST THAT IS THE INDIRECT OWNER OF THE BD.

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**GLOBAL DOMAIN PARTNERS, LLC is under common control with the firm.**

**Business Address:** 3355 KESWICK ROAD  
SUITE 300  
BALTIMORE, MD 21211

**Effective Date:** 10/23/2012

## Firm Operations



### Organization Affiliates (continued)

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** THE TRUST THAT IS THE SOLE OWNER OF MIP GLOBAL, INC., A DELAWARE BASED CORPORATION THAT OWNS GLOBAL DOMAIN PARTNERS, HAS THE SAME TRUSTEE AND SAME BENEFICIARIES AS THE TRUST THAT IS THE INDIRECT OWNER OF THE BD.

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#### STILLPOINT CAPITAL, LLC is under common control with the firm.

**CRD #:** 133146

**Business Address:** 13051 W. LINEBAUGH AVENUE  
SUITE 101  
TAMPA, FL 33626

**Effective Date:** 03/01/2012

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** THE TRUST THAT IS THE SOLE OWNER OF MIP GLOBAL, INC., A DELAWARE BASED CORPORATION THAT OWNS 2/3 OF STILLPOINT CAPITAL, HAS THE SAME TRUSTEE AND SAME BENEFICIARIES AS THE TRUST THAT IS THE INDIRECT OWNER OF THE BD.

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#### MOSAIC INVESTMENT PARTNERS, INC. PR is under common control with the firm.

**Business Address:** METRO PARQUE 7, STREET 1, SUITE 204  
GUAYNABO SAN JUAN, PR 00968

**Effective Date:** 04/01/2012

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities:	Yes
Description:	MIP GLOBAL AND MOSAIC INVESTMENT PARTNERS ARE UNDER COMMON OWNERSHIP THROUGH THE OWNER.

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	8	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 8

**Reporting Source:** Regulator

**Current Status:** Final



<b>Allegations:</b>	RESPONDENT MIP GLOBAL, INC. FAILED TO FILE ITS 2016 ANNUAL AUDIT REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION DATED MARCH 16, 2017.
<b>Initiated By:</b>	FINRA
<b>Date Initiated:</b>	03/16/2017
<b>Docket/Case Number:</b>	N/A
<b>Principal Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Suspension
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	Other
<b>Resolution Date:</b>	06/19/2017
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Sanctions Ordered:</b>	Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	PURSUANT TO FINRA RULE 9552, RESPONDENT MIP GLOBAL, INC. IS EXPELLED FROM FINRA MEMBERSHIP ON JUNE 19, 2017.
<b>Regulator Statement</b>	RESPONDENT MIP GLOBAL'S FINRA MEMBERSHIP WAS SUSPENDED ON APRIL 10, 2017, FOR FAILING TO FILE ITS ANNUAL AUDIT REPORT. THE FIRM FAILED TO REQUEST TERMINATION OF SUSPENSION WITHIN THREE MONTHS; THEREFORE, IT IS AUTOMATICALLY EXPELLED.

#### Disclosure 2 of 8

<b>Reporting Source:</b>	Regulator
<b>Current Status:</b>	Final
<b>Allegations:</b>	RESPONDENT MIP GLOBAL, INC. FAILED TO FILE ITS FOCUS REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION.
<b>Initiated By:</b>	FINRA



<b>Date Initiated:</b>	12/13/2016
<b>Docket/Case Number:</b>	N/A
<b>Principal Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Suspension
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	Other
<b>Resolution Date:</b>	01/06/2017
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Sanctions Ordered:</b>	Suspension
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	PURSUANT TO FINRA RULE 9552, RESPONDENT MIP GLOBAL, INC.'S FINRA MEMBERSHIP IS SUSPENDED AS OF JANUARY 6, 2017. IF THE FIRM FAILS TO REQUEST TERMINATION OF THE SUSPENSION WITHIN THREE MONTHS, IT WILL BE AUTOMATICALLY EXPELLED. THE SUSPENSION WAS LIFTED ON FEBRUARY 17, 2017.

### Disclosure 3 of 8

<b>Reporting Source:</b>	Regulator
<b>Current Status:</b>	Final
<b>Allegations:</b>	RESPONDENT MIP GLOBAL, INC. FAILED TO PAY FEES OF \$1,800 DUE TO FINRA AS A RESULT OF AN ANNUAL ASSESSMENT.
<b>Initiated By:</b>	FINRA
<b>Date Initiated:</b>	08/09/2016
<b>Docket/Case Number:</b>	N/A
<b>Principal Product Type:</b>	No Product

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:** Suspension

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

**Resolution:** Other

**Resolution Date:** 08/31/2016

**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:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** PURSUANT TO FINRA RULE 9553, MIP GLOBAL'S MEMBERSHIP WITH FINRA WAS SUSPENDED AS OF AUGUST 31, 2016 FOR FAILURE TO PAY OUTSTANDING FEES.

THE SUSPENSION WAS LIFTED ON SEPTEMBER 21, 2016.

#### Disclosure 4 of 8

**Reporting Source:** Regulator

**Current Status:** Final

**Allegations:** RESPONDENT MIP GLOBAL, INC. FAILED TO FILE ITS 2015 ANNUAL AUDIT REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION DATED MARCH 15, 2016.

**Initiated By:** FINRA

**Date Initiated:** 03/15/2016

**Docket/Case Number:** N/A

**Principal Product Type:** No Product

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:** Suspension


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

**Resolution Date:** 04/08/2016

**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:** Suspension

**Other Sanctions Ordered:**
**Sanction Details:** PURSUANT TO FINRA RULE 9552, RESPONDENT MIP GLOBAL, INC.'S FINRA MEMBERSHIP WAS SUSPENDED ON APRIL 8, 2016. IF THE FIRM FAILS TO REQUEST TERMINATION OF THE SUSPENSION WITHIN THREE MONTHS, IT WILL BE AUTOMATICALLY EXPELLED. THE SUSPENSION WAS LIFTED ON 4/20/2016.

**Disclosure 5 of 8**
**Reporting Source:** Regulator

**Current Status:** Final

**Allegations:** FIRM REVOKED FOR FAILURE TO PAY ANNUAL RENEWAL FEES CCR SECTION 25242 (C) (1)

**Initiated By:** CALIFORNIA

**Date Initiated:** 01/29/2016

**Docket/Case Number:**
**URL for Regulatory Action:**
**Principal Product Type:** No Product

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

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



**Resolution Date:** 01/29/2016

**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:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** BROKER DEALER CERTIFICATE SUMMARILY REVOKED

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#### Disclosure 6 of 8

**Reporting Source:** Regulator

**Current Status:** Final

**Allegations:** RESPONDENT MIP GLOBAL, INC. FAILED TO FILE ITS SUPPLEMENTAL STATEMENT OF INCOME REPORTS WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION.

**Initiated By:** FINRA

**Date Initiated:** 08/13/2015

**Docket/Case Number:** N/A

**Principal Product Type:** No Product

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:** Suspension

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

**Resolution:** Other

**Resolution Date:** 09/08/2015

**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:** Suspension

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

PURSUANT TO FINRA RULE 9552, RESPONDENT MIP GLOBAL, INC.'S FINRA MEMBERSHIP IS SUSPENDED AS OF SEPTEMBER 8, 2015. IF THE FIRM FAILS TO REQUEST TERMINATION OF THE SUSPENSION WITHIN THREE MONTHS, IT WILL BE AUTOMATICALLY EXPELLED.  
SUSPENSION LIFTED ON SEPTEMBER 25, 2015.

**Disclosure 7 of 8****Reporting Source:**

Regulator

**Current Status:**

Final

**Allegations:**

RESPONDENT MIP GLOBAL, INC. FAILED TO FILE ITS FORM CUSTODY REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION.

**Initiated By:**

FINRA

**Date Initiated:**

08/10/2015

**Docket/Case Number:**

N/A

**Principal Product Type:**

No Product

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

Suspension

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

Other

**Resolution Date:**

09/03/2015

**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:**

Suspension

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

PURSUANT TO FINRA RULE 9552, RESPONDENT MIP GLOBAL, INC.'S FINRA MEMBERSHIP IS SUSPENDED AS OF SEPTEMBER 3, 2015. IF THE FIRM FAILS TO REQUEST TERMINATION OF THE SUSPENSION WITHIN THREE





MONTHS, IT WILL BE AUTOMATICALLY EXPELLED.  
SUSPENSION LIFTED ON SEPTEMBER 25, 2015.

#### Disclosure 8 of 8

<b>Reporting Source:</b>	Regulator
<b>Current Status:</b>	Final
<b>Allegations:</b>	RESPONDENT MIP GLOBAL, INC. FAILED TO FILE ITS QUARTERLY FOCUS REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION.
<b>Initiated By:</b>	FINRA
<b>Date Initiated:</b>	08/10/2015
<b>Docket/Case Number:</b>	N/A
<b>Principal Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Suspension
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	Other
<b>Resolution Date:</b>	09/03/2015
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Sanctions Ordered:</b>	Suspension
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	PURSUANT TO FINRA RULE 9552, RESPONDENT MIP GLOBAL, INC.'S FINRA MEMBERSHIP IS SUSPENDED AS OF SEPTEMBER 3, 2015. IF THE FIRM FAILS TO REQUEST TERMINATION OF THE SUSPENSION WITHIN THREE MONTHS, IT WILL BE AUTOMATICALLY EXPELLED. SUSPENSION LIFTED ON SEPTEMBER 25, 2015.

**End of Report**



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