

BrokerCheck Report

BCI SECURITIES, INC.

CRD# 168047

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 7
Firm History	8
Firm Operations	9 - 17
Disclosure Events	18



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.



BCI SECURITIES, INC.

CRD# 168047

SEC# 8-69287

Main Office Location

1450 BRICKELL AVENUE
SUITE 2850
MIAMI, FL 33131
Regulated by FINRA Florida Office

Mailing Address

1450 BRICKELL AVENUE
SUITE 2850
MIAMI, FL 33131

Business Telephone Number

305-929-5500

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

<https://www.adviserinfo.sec.gov>

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 Florida on 07/05/2011.

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 firm is registered with:

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

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

This firm conducts 11 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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? **No**

The number of disclosures from non-registered control affiliates is 15



Firm Profile

This firm is classified as a corporation.

This firm was formed in Florida on 07/05/2011.

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.

BCI SECURITIES, INC.

Doing business as BCI SECURITIES, INC.

CRD# 168047

SEC# 8-69287

Main Office Location

1450 BRICKELL AVENUE
SUITE 2850
MIAMI, FL 33131

Regulated by FINRA Florida Office

Mailing Address

1450 BRICKELL AVENUE
SUITE 2850
MIAMI, FL 33131

Business Telephone Number

305-929-5500



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): BANCO DE CREDITO E INVERSIONES, S.A.

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

Position SHAREHOLDER

Position Start Date 07/2011

Percentage of Ownership 75% or more

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

Is this a public reporting company?

Legal Name & CRD# (if any): FOXX, TERESA PENNET

2608603

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

Position DIRECTOR

Position Start Date 10/2020

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): GARCIA NIETO, FRANCISCO JAVIER

6645468

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

Position DIRECTOR OF SALES

Position Start Date 05/2016

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): GROOM, PAMELA SNELL
2870233

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

Position CCO

Position Start Date 09/2025

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): MARTIN-DONADIO, CARLOS
2550675

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

Position CEO/DIRECTOR

Position Start Date 09/2023

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): MARTINEZ-LEJARZA, JUAN CARLOS

Firm Profile



Direct Owners and Executive Officers (continued)

	6369051
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	07/2014
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):	NODAR, MARIA EUGENIA 1660104
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP/PFO
Position Start Date	01/2024
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):	SEGUNDO, JUAN ALBERTO 6353039
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	06/2014
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? No

Is this a public reporting company? No

Legal Name & CRD# (if any): VEGA, MARIA GRISEL
6235036

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

Position DIRECTOR

Position Start Date 07/2011

Percentage of Ownership Less than 5%

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

Is this a public reporting company?



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	EMPRESAS JUAN YARUR SPA
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	BANCO DE CREDITO E INVERSIONES, S.A.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	12/1996
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	

Legal Name & CRD# (if any):	YARUR REY, LUIS ENRIQUE 6226304
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	EMPRESAS JUAN YARUR SPA
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	11/2007
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
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 currently registered with the SEC, 1 SRO and 23 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/16/2014

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	05/16/2014



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	04/26/2022
California	Approved	08/23/2018
Colorado	Approved	01/27/2022
Connecticut	Approved	11/29/2022
Delaware	Approved	03/02/2018
District of Columbia	Approved	08/28/2018
Florida	Approved	05/28/2014
Georgia	Approved	10/17/2018
Maine	Approved	06/07/2022
Maryland	Approved	09/24/2018
Massachusetts	Approved	10/15/2021
Nevada	Approved	03/18/2022
New Jersey	Approved	09/25/2018
New York	Approved	08/14/2018
North Carolina	Approved	08/23/2018
Ohio	Approved	04/24/2024
Oregon	Approved	04/04/2022
Pennsylvania	Approved	08/24/2018
Puerto Rico	Approved	09/13/2018
South Dakota	Approved	10/06/2023
Tennessee	Approved	05/06/2024
Texas	Approved	01/31/2022
Wyoming	Approved	04/25/2022



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 11 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
Investment advisory services
Trading securities for own account
Private placements of securities
Broker or dealer involved in a networking, kiosk or similar arrangement with a: bank, savings bank or association, or credit union
Other - APPLICANT MAY ENGAGE IN THE SALE OF HEDGE FUNDS.

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 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:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	05/02/2013
Description:	THE FIRMS ACCOUNTS ARE INTRODUCED ON A FULLY-DISCLOSED BASIS THROUGH PERSHING LLC.

Firm Operations

Industry Arrangements



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

Name: GOOGLE CLOUD STORAGE

Business Address: 12800 WHITEWATER DR. SUITE 100
MINNETONKA, MN 55343-9347

Effective Date: 11/15/2020

Description: GOOGLE CLOUD STORAGE WILL PROVIDE CLOUD DOCUMENT MANAGEMENT FOR THE ARCHIVAL OF CERTAIN ELECTRONIC RECORDS OF THE FIRM.

Name: BLOOMBERG FINANCE L.P.

Business Address: 731 LEXINGTON AVE.
NEW YORK, NY 10022

Effective Date: 06/29/2017

Description: BLOOMBERG IS A THIRD PARTY SERVICE PROVIDER THAT ARCHIVES THE FIRM'S ELECTRONIC TRADING COMMUNICATIONS THROUGH BLOOMBERG'S PLATFORM.

Name: NETVOYAGE CORPORATION

Business Address: 2500 W EXECUTIVE PARKWAY
SUITE 350
LEHI, UT 84043

Effective Date: 03/28/2014

Description: NETVOYAGE CORPORATION (D/B/A NETDOCUMENTS) WILL PROVIDE CLOUD DOCUMENT MANAGEMENT FOR THE ARCHIVAL OF CERTAIN ELECTRONIC RECORDS OF THE FIRM.

Name: SMARSH

Business Address: 921 SW WASHINGTON ST.
SUITE 540
PORTLAND, OR 97205

Effective Date: 03/15/2012

Description: SMARSH IS A THIRD PARTY SERVICE PROVIDER THAT ARCHIVES THE FIRM'S ELECTRONIC COMMUNICATIONS.

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

Name: PERSHING LLC

Firm Operations



Industry Arrangements (continued)

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 05/02/2013

Description: THE FIRM MAY ENGAGE IN RISKLESS PRINCIPAL TRANSACTIONS. SECURITIES TRANSACTIONS EFFECTED ON A RISKLESS PRINCIPAL BASIS UTILIZES FIRM'S ACCOUNT HELD AND CLEARED BY PERSHING LLC.

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

Name: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 05/02/2013

Description: THE FIRMS ACCOUNTS ARE INTRODUCED ON A FULLY-DISCLOSED BASIS THROUGH PERSHING LLC. ACCOUNTS, FUNDS, AND/OR SECURITIES OF THE FIRM'S CUSTOMERS ARE HELD AND/OR MAINTAINED BY PERSHING.

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.

BCI SECURITIZADORA S.A. is under common control with the firm.

Business Address:	MAGDALENA 140, 7TH FLOOR SANTIAGO, CHILE
Effective Date:	07/05/2011
Foreign Entity:	Yes
Country:	CHILE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BANCO DE CREDITO E INVERSIONES S.A. HOLDS A MAJORITY OWNERSHIP INTEREST IN BCI SECURITIES, INC. AND IN BCI SECURITIZADORA S.A.

BCI ASESORIA FINANCIERA S.A. is under common control with the firm.

Business Address:	MAGDALENA 140, 16TH FLOOR SANTIAGO, CHILE
Effective Date:	07/05/2011
Foreign Entity:	Yes
Country:	CHILE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BANCO DE CREDITO E INVERSIONES S.A. HOLDS A MAJORITY OWNERSHIP INTEREST IN BCI SECURITIES, INC. AND BCI ASESORIA FINANCIERA S.A.

BCI ASSET MANAGEMENT ADMINISTRADORA DE FONDOS S.A. is under common control with the firm.

Business Address:	MAGDALENA 140, 8TH FLOOR
--------------------------	--------------------------

Firm Operations



Organization Affiliates (continued)

	SANTIAGO, CHILE
Effective Date:	07/05/2011
Foreign Entity:	Yes
Country:	CHILE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BANCO DE CREDITO E INVERSIONES S.A. HOLDS A MAJORITY OWNERSHIP INTEREST IN BCI SECURITIES, INC. AND IN BCI ASSET MANAGEMENT ADMINISTRADORA DE FONDOS S.A.

BCI CORREDOR DE BOLSA S.A. is under common control with the firm.

Business Address:	MAGDALENA 140, 14TH FLOOR SANTIAGO, CHILE
Effective Date:	07/05/2011
Foreign Entity:	Yes
Country:	CHILE
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	BANCO DE CREDITO E INVERSIONES S.A. HOLDS A MAJORITY OWNERSHIP INTEREST IN BCI SECURITIES, INC. AND IN BCI CORREDOR DE BOLSA S.A.

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

CITY NATIONAL BANK OF FLORIDA is a National Bank and controls the firm.

Business Address:	25 WEST FLAGLER- STREET MIAMI, FL 20234
--------------------------	--

Firm Operations



Organization Affiliates (continued)

Effective Date: 10/16/2015

Description: BANCO DE CREDITO E INVERSIONES S.A. HOLDS A MAJORITY OWNERSHIP INTEREST IN BCI SECURITIES, INC. AND IN CITY NATIONAL BANK OF FLORIDA.

BANCO DE CREDITO E INVERSIONES, S.A. is a Foreign Bank and controls the firm.

Business Address: AV. EL GOLF 125,
LAS CONDES
SANTIAGO, CHILE

Effective Date: 07/05/2011

Description: BANCO DE CREDITO E INVERSIONES S.A. HOLDS A MAJORITY OWNERSHIP INTEREST IN BCI SECURITIES, INC.

Disclosure Events for Non-Registered Control Affiliates



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	15	0



Disclosure Event Details

Regulatory - Final

Disclosure 1 of 15

Reporting Source:	Firm
Affiliate:	BANCO DE CREDITO E INVERSIONES
Current Status:	Final
Allegations:	BANCO DE CREDITO E INVERSIONES GRANTED TWO LOANS TO TWO INDIVIDUALS LISTED IN THE NATIONAL ALIMONY/CHILD SUPPORT DEBTORS REGISTER WITHOUT CONSULTING THE REGISTER AND WITHHOLDING THE ALIMONY/CHILD SUPPORT DEBT AND PAY THE SUM DUE FROM A PORTION UP TO 50% OF THE LOAN.
Initiated By:	LA COMISION PARA EL MERCADO FINANCIERO (CMF) - CHILE
Date Initiated:	02/11/2025
Docket/Case Number:	1686
Principal Product Type:	Banking Products (Other than CD(s))
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	EXEMPT RESOLUTION/ IMPOSITION OF A SANCTION
Resolution:	Order
Resolution Date:	02/11/2025
Sanctions Ordered:	Monetary/Fine \$2,123.84
Other Sanctions Ordered:	
Sanction Details:	CMF ISSUED A FINE AGAINST BANCO DE CREDITO E INVERSIONES S.A. CI FOR UF 51.12 OR APPROX. \$2,123.84 US AS OF 03/06/2025.

Disclosure 2 of 15

Reporting Source:	Firm
Affiliate:	BANCO DE CREDITO E INVERSIONES
Current Status:	Final



Allegations: THE BANK FAILED TO COMPLY IN A TIMELY MANNER WITH A SUBPOENA FROM THE PUBLIC PROSECUTOR'S OFFICE IN CHILE REQUESTING BANK RECORDS FOR CERTAIN CLIENTS WHO WERE THE SUBJECT OF THE PUBLIC PROSECUTOR'S INVESTIGATION.

Initiated By: LA COMISION PARA EL MERCADO FINANCIERO (CMF) - CHILE

Date Initiated: 11/15/2024

Docket/Case Number: 10613

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: EXEMPT RESOLUTION/ IMPOSITION OF A SANCTION

Resolution: Other

Resolution Date: 11/15/2024

Sanctions Ordered: Monetary/Fine \$9,515.00

Other Sanctions Ordered:

Sanction Details: FINED 250 UF CHILEAN EQUIVALENT TO APPROXIMATELY \$9,515.00.

Disclosure 3 of 15

Reporting Source: Firm

Affiliate: BCI CORREDORES DE SEGUROS

Current Status: Final

Allegations: CERTAIN MONEY RESOURCES RECEIVED BY THE INSURANCE COMPANY WERE RECORDED AS THE INSURANCE BROKERAGE'S OWN INCOME, IN THE EVENT THAT THESE DO NOT CORRESPOND TO THE INSURANCE BROKERAGE'S OPERATING INCOME, SINCE THERE IS NO PROVISION OF SERVICES TO JUSTIFY THE PAYMENT. THE ABOVE, WITH TAX AND FINANCIAL IMPLICATIONS, SINCE THE FINANCIAL STATEMENTS SHOW A HIGHER OPERATIONAL INCOME, MISLEADING THE RESULTS FIGURES.

THE ABOVE MEANS THAT BCI CORREDORES DE SEGUROS S.A. ASSUMED OBLIGATIONS THAT EXCEED THOSE INDICATED IN THE REGULATIONS OF INSURANCE TRADE AUXILIARIES, THEREBY VIOLATING THE PROVISIONS



OF NO. 1 OF ARTICLE 11 OF THE D.S. NO 863, YEAR 1989.

Initiated By: SUPERINTENDENCIA DE VALORES Y SEGUROS DE CHILE (SVS)

Date Initiated: 04/22/2004

Docket/Case Number:

Principal Product Type: Other

Other Product Type(s): NOT AVAILABLE.

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 04/22/2004

Sanctions Ordered: Monetary/Fine \$12,000.00

Other Sanctions Ordered:

Sanction Details: SVS ISSUED A FINE AGAINST BCI CORREDORES DE SEGUROS FOR UF 300 OR APPROXIMATELY USD 12,000.00 AS OF 10/31/2023.

Disclosure 4 of 15

Reporting Source: Firm

Affiliate: BCI CORREDORES DE SEGUROS

Current Status: Final

Allegations: THE SANCTION WAS APPLIED BECAUSE BCI CORREDORES DE SEGUROS S.A. DID NOT SEND A LEGALIZED COPY/PUBLIC DEED OF A BYLAWS AMENDMENT, WITHIN THE TIME FRAME MANDATED BY LOCAL REGULATIONS (5 DAYS AFTER THE EVENT OCCURRED). NEVERTHELESS, THE COMPANY SENT THE MISSING INFORMATION ON NOVEMBER 23RD AND 30TH, 2004, AS NOTICED BY THE SVS IN THE RESOLUTION.

Initiated By: SUPERINTENDENCIA DE VALORES Y SEGUROS DE CHILE (SVS)

Date Initiated: 12/28/2004

Docket/Case Number:

Principal Product Type: Other

Other Product Type(s): NOT AVAILABLE.



Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 12/28/2004

Sanctions Ordered: Monetary/Fine \$400.00

Other Sanctions Ordered:

Sanction Details: SVS ISSUED A FINE AGAINST BCI CORREDORES DE SEGUROS FOR UF 10 OR APPROXIMATELY USD 400 AS OF 10/31/2023.

Disclosure 5 of 15

Reporting Source: Firm

Affiliate: BCI CORREDORES DE SEGUROS

Current Status: Final

Allegations: NOT AVAILABLE.

Initiated By: SUPERINTENDENCIA DE VALORES Y SEGUROS DE CHILE (SVS)

Date Initiated: 09/07/2023

Docket/Case Number:

Principal Product Type: Other

Other Product Type(s): NOT AVAILABLE.

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 09/07/2023

Sanctions Ordered: Monetary/Fine \$200.00

Other Sanctions Ordered:

Sanction Details: SVS ISSUED A FINE AGAINST BCI CORREDORES DE SEGUROS FOR UF 5 OR APPROXIMATELY USD 200.00 AS OF 10/31/2023.



Disclosure 6 of 15

Reporting Source:	Firm
Affiliate:	BCI CORREDORES DE SEGUROS
Current Status:	Final
Allegations:	NOT AVAILABLE.
Initiated By:	SUPERINTENDENCIA DE VALORES Y SEGUROS DE CHILE (SVS)
Date Initiated:	08/30/2013
Docket/Case Number:	
Principal Product Type:	Other
Other Product Type(s):	NOT AVAILABLE.
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	08/30/2013
Sanctions Ordered:	Monetary/Fine \$32,000.00
Other Sanctions Ordered:	
Sanction Details:	SVS ISSUED A FINE AGAINST BCI CORREDORES DE SEGUROS FOR UF 800 OR APPROXIMATELY USD 32,000.00.

Disclosure 7 of 15

Reporting Source:	Firm
Affiliate:	BANCO DE CREDITO E INVERSIONES S.A.
Current Status:	Final
Allegations:	NOT AVAILBLE.
Initiated By:	UNIDAD DE ANALISIS FINANCIERO - CHILE
Date Initiated:	01/01/2020
Docket/Case Number:	



Principal Product Type: Other
Other Product Type(s): NOT AVAILABLE.
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:
Resolution: Order
Resolution Date: 01/01/2020
Sanctions Ordered: Monetary/Fine \$32,000.00
Other Sanctions Ordered:
Sanction Details: UNIDAD DE ANALISIS FINANCIERO ISSUED A FINE AGAINST BANCO DE CREDITO E INVERSIONES FOR UF 800 OR APPROXIMATELY USD 32,000.00 AS OF 10/31/2023.

Disclosure 8 of 15

Reporting Source: Firm
Affiliate: BANCO DE CREDITO E INVERSIONES S.A.
Current Status: Final
Allegations: NOT AVAILABLE.
Initiated By: LA COMISION DE MERCADOS FINANCIEROS (CMF)- CHILE
Date Initiated: 06/01/2019
Docket/Case Number:
Principal Product Type: Other
Other Product Type(s): NOT AVAILABLE.
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:
Resolution: Order
Resolution Date: 06/01/2019
Sanctions Ordered: Monetary/Fine \$8,000.00

**Other Sanctions Ordered:**

Sanction Details: CMF ISSUED A FINE AGAINST BANCO DE CREDITO E INVERSIONES S.A. OF UF 220 OR APPROXIMATELY USD 8,000.00 AS OF 10/31/2023.

Disclosure 9 of 15

Reporting Source: Firm

Affiliate: BANCO DE CREDITO E INVERSIONES S.A.

Current Status: Final

Allegations: NOT AVAILABLE.

Initiated By: LA COMISION DE MERCADOS FINANCIEROS (CMF)- CHILE

Date Initiated: 06/01/2019

Docket/Case Number:

Principal Product Type: Other

Other Product Type(s): NOT AVAILABLE.

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 06/01/2019

Sanctions Ordered: Monetary/Fine \$34,000.00

Other Sanctions Ordered:

Sanction Details: CMF ISSUED A FINE AGAINST BANCO DE CREDITO E INVERSIONES S.A. FOR UF 870 OR APPROXIMATELY USD 34,000.00 AS OF 10/31/2023.

Disclosure 10 of 15

Reporting Source: Firm

Affiliate: BANCO DE CREDITO E INVERSIONES S.A.

Current Status: Final

Allegations: NOT AVAILABLE.



Initiated By: LA COMISION DE MERCADOS FINANCIEROS (CMF)- CHILE

Date Initiated: 11/01/2021

Docket/Case Number:

Principal Product Type: Other

Other Product Type(s): NOT AVAILABLE.

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 11/01/2021

Sanctions Ordered: Monetary/Fine \$17,320.00

Other Sanctions Ordered:

Sanction Details: CMF ISSUED AGAINST BANCO DE CREDITO E INVERSIONES OF UF 433 OR APPROXIMATELY USD 17,320.00 AS OF 10/31/2023.

Disclosure 11 of 15

Reporting Source: Firm

Affiliate: BANCO DE CREDITO E INVERSIONES S.A.

Current Status: Final

Allegations: ON 09/07/2023, THE CMF FINED A TOTAL OF UF 1,250 (APPROXIMATELY 50,000USD) V. BANCO DE CREDITO E INVERSIONES S.A. (FINE AGAINST BANCO DE CREDITO E INVERSIONES S.A. ONLY IS 12,000 USD), FIVE OTHER MAJOR BANKS, AND ONE CREDIT COOPERATIVE IN CHILE, FOR NOT SUBMITTING BANKING RECORDS REQUIRED FOR INVESTIGATION BY THE PUBLIC PROSECUTOR'S OFFICE CONCERNING CRIMINAL CASE INVESTIGATIONS INVOLVING MONEY LAUNDERING, TAX FRAUD, BRIBERY, ETC. OF THE UF 1,250, BANCO DE CREDITO E INVERSIONES S.A. WAS FINED UF 300 OR APPROX. \$12,000 US AS OF 10/31/2023.

Initiated By: LA COMISION DE MERCADOS FINANCIEROS (CMF)- CHILE

Date Initiated: 09/07/2023

Docket/Case Number:

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:

Resolution: Order

Resolution Date: 09/07/2023

Sanctions Ordered: Monetary/Fine \$12,000.00

Other Sanctions Ordered:

Sanction Details: CMF ISSUED A FINE AGAINST BANCO DE CREDITO E INVERSIONES S.A. CI FOR UF 300 OR APPROX. \$12,000 US AS OF 10/31/2023.

Disclosure 12 of 15

Reporting Source: Firm

Affiliate: BCI ASSET MANAGEMENT ADMINISTRADORA DE FONDOS S.A.

Current Status: Final

Allegations: FAILURE TO HAVE A SIGNED DOCUMENT REFLECTING THE CUSTOMER'S REQUEST TO LIQUIDATE A FUND.

Initiated By: LA COMISION DE MERCADOS FINANCIEROS (CMF)- CHILE

Date Initiated: 06/06/2013

Docket/Case Number:

Principal Product Type: Other

Other Product Type(s): NOT AVAILABLE.

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 06/06/2013

Sanctions Ordered: Monetary/Fine \$8,000.00

Other Sanctions Ordered:



Sanction Details: THE CMF IN CHILE ISSUED A FINE AGAINST BCI ASSET MANAGEMENT ADMINISTRADORA DE FONDOS S.A. FOR 200UF OR APPROXIMATELY USD 800 AS OF 10/31/2023.

Disclosure 13 of 15

Reporting Source: Firm

Affiliate: BCI CORREDOR DE BOLSA S.A.

Current Status: Final

Allegations: NOT AVAILABLE.

Initiated By: SUPERINTENDENCIA DE VALORES Y SEGUROS DE CHILE (SVS)

Date Initiated: 06/18/2012

Docket/Case Number:

Principal Product Type: Other

Other Product Type(s): NOT AVAILABLE.

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 06/18/2012

Sanctions Ordered: Monetary/Fine \$16,000.00

Other Sanctions Ordered:

Sanction Details: SVS IN CHILE ISSUED A FINE AGAINST BCI CORREDOR DE BOLSA S.A. FOR 700UF OR APPROXIMATELY USD 16,000.00 AS OF 10/31/2023.

Disclosure 14 of 15

Reporting Source: Firm

Affiliate: BCI CORREDOR DE BOLSA S.A.

Current Status: Final

Allegations: NOT AVAILABLE.

Initiated By: SUPERINTENDENCIA DE VALORES Y SEGUROS DE CHILE (SVS)



Date Initiated: 03/03/2023

Docket/Case Number:

Principal Product Type: Other

Other Product Type(s): NOT AVAILABLE.

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 03/03/2023

Sanctions Ordered: Monetary/Fine \$12,000.00

Other Sanctions Ordered:

Sanction Details: SVS IN CHILE ISSUED A FINE AGAINTS BCI CORREDOR DE BOLSA S.A. FOR 300UF OR APPROXIMATELY USD 12,000.00 AS OF 10/31/2023.

Disclosure 15 of 15

Reporting Source: Firm

Affiliate: BCI CORREDOR DE BOLSA S.A.

Current Status: Final

Allegations: THE CMF IN CHILE ISSUED A FINE AGAINST BCI CORREDOR DE BOLSA FOR ITS FAILURE IN 2021 TO EXECUTE TWO CUSTOMER SALES ORDERS AND MAINTAIN THE RECORDS OF THE ORDERS.

Initiated By: LA COMISION DE MERCADO FINANCIERO (CMF) - CHILE

Date Initiated: 08/18/2023

Docket/Case Number:

Principal Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:



Resolution:	Order
Resolution Date:	08/18/2023
Sanctions Ordered:	Monetary/Fine \$28,000.00
Other Sanctions Ordered:	
Sanction Details:	THE CMF IN CHILE ISSUED A FINE AGAINST BCI CORREDOR DE BOLSA FOR WAS 700UF OR APPROXIMATELY USD28K AS OF 10/31/2023.

End of Report



This page is intentionally left blank.