

## BrokerCheck Report

### ALLY SECURITIES LLC

CRD# 25988

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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](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).

**ALLY SECURITIES LLC**

CRD# 25988

SEC# 8-42417

**Main Office Location**

500 WOODWARD AVE 14TH FLOOR  
DETROIT, MI 48226

**Mailing Address**

500 WOODWARD AVE  
DETROIT, MI 48226

**Business Telephone Number**

313 656 5483

**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 06/01/2006.

Its fiscal year ends in December.

**Firm History**

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

**Firm Operations**

This brokerage firm is no longer registered with FINRA or a national securities exchange.

**Disclosure Events**

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

## Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



**Date firm ceased business:** 12/01/2016

**Does this brokerage firm owe any money or securities to any customer or brokerage firm?** No



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 06/01/2006.

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.

### ALLY SECURITIES LLC

**Doing business as ALLY SECURITIES LLC**

**CRD#** 25988

**SEC#** 8-42417

### Main Office Location

500 WOODWARD AVE 14TH FLOOR  
DETROIT, MI 48226

### Mailing Address

500 WOODWARD AVE  
DETROIT, MI 48226

### Business Telephone Number

313 656 5483



## 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):** ALLY FINANCIAL INC.

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

**Position** PARENT

**Position Start Date** 05/2010

**Percentage of Ownership** 75% or more

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

**Is this a public reporting company?** Yes

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**Legal Name & CRD# (if any):** BEATON, DANIEL STEWART  
4240769

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

**Position** CHIEF FINANCIAL OFFICER

**Position Start Date** 10/2013

**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):** HALSEY, KURT STUART  
4282242

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

**Position** PRESIDENT/CEO/COO

**Position Start Date** 05/2012

## 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

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**Legal Name & CRD# (if any):** HOLLAND, DAVID  
6392922

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

**Position** MEMBER OF BOARD OF DIRECTORS

**Position Start Date** 09/2014

**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

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**Legal Name & CRD# (if any):** RHODES, DEBORAH LAURA  
6392194

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

**Position** GENERAL COUNSEL/ASSISTANT SECRETARY

**Position Start Date** 09/2014

**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

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**Legal Name & CRD# (if any):** SYKES, ROBERT CHRISTOPHER

## Firm Profile



### Direct Owners and Executive Officers (continued)

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Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	04/2013
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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Legal Name & CRD# (if any):	TIMMERMAN, DOUGLAS RICHARD 6427349
Is this a domestic or foreign entity or an individual?	Individual
Position	MEMBER OF BOARD OF DIRECTORS
Position Start Date	12/2014
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
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## Firm Profile

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

## Indirect Owners

No information reported.



## 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 06/06/1990 to 01/30/2017.**

## 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 1 type of business.**

### Types of Business

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 not refer or introduce customers to other brokers and dealers.**

## Firm Operations

### Industry Arrangements



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

**Name:** ALLY FINANCIAL INC.

**Business Address:** 200 RENAISSANCE CENTER  
P.O. BOX 200  
DETROIT, MI 48265-2000

**Effective Date:** 05/10/2010

**Description:** ALLY SECURITIES LLC (FKA RESIDENTIAL FUNDING SECURITIES, LLC) HAS SOME OF ITS BOOKS AND RECORDS HELD OR MAINTAINED BY THE FINANCE DEPARTMENT OF ITS PARENT, ALLY FINANCIAL INC.

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

**Name:** STATE STREET BANK AND TRUST COMPANY

**Business Address:** TWO WORLD FINANCIAL CENTER  
225 LIBERTY STREET, 24TH FLOOR  
NEW YORK, NY 10281

**Effective Date:** 06/23/1997

**Description:** ALLY SECURITIES LLC (FKA RESIDENTIAL FUNDING SECURITIES, LLC) MAINTAINS A CUSTODY AGREEMENT WITH STATE STREET BANK & TRUST.

**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.

**TRADEKING is under common control with the firm.**

<b>CRD #:</b>	136131
<b>Business Address:</b>	888 E. LAS OLAS BLVD. SUITE 300 FORT LAUDERDALE, FL 33301
<b>Effective Date:</b>	06/01/2016
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	ALLY FINANCIAL, PARENT TO ALLY SECURITIES, LLC PURCHASED THE BROKER-DEALER TRADEKING. TRADEKING IS A DIGITAL WEALTH MANAGEMENT COMPANY WITH AN ONLINE BROKER/DEALER, DIGITAL PORTFOLIO MANAGEMENT PLATFORM, AND EDUCATIONAL CONTENT AND SOCIAL COLLABORATION CHANNELS.

**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

**ALLY FINANCIAL INC. is a Bank Holding Company and controls the firm.**

Firm Operations



Organization Affiliates (continued)

Business Address:	200 RENAISSANCE CENTER P.O. BOX 200 DETROIT, MI 48265-2000
Effective Date:	05/10/2010
Description:	PARENT CORPORATION

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**End of Report**



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