

BrokerCheck Report

FIRST BUSEY SECURITIES, INC.

CRD# 27439

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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



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.

**FIRST BUSEY SECURITIES, INC.**

CRD# 27439

SEC# 8-43113

Main Office Location502 W. WINDSOR ROAD
CHAMPAIGN, IL 61820**Mailing Address**502 W. WINDSOR ROAD
CHAMPAIGN, IL 61820**Business Telephone Number**

217-365-4800

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 Illinois on 04/13/1990.

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: 12/31/2007

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



Firm Profile

This firm is classified as a corporation.

This firm was formed in Illinois on 04/13/1990.

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.

FIRST BUSEY SECURITIES, INC.

Doing business as FIRST BUSEY SECURITIES, INC.

CRD# 27439

SEC# 8-43113

Main Office Location

502 W. WINDSOR ROAD
CHAMPAIGN, IL 61820

Mailing Address

502 W. WINDSOR ROAD
CHAMPAIGN, IL 61820

Business Telephone Number

217-365-4800



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):	BUSEY INVESTMENT GROUP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	01/2001
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MILLS, DOUGLAS CULVER 2100396
Is this a domestic or foreign entity or an individual?	Individual
Position	INDIRECT SHAREHOLDER
Position Start Date	04/1990
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ANDERSON, CURT ARTHUR 1710464
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT, (COMPLIANCE OFFICER IA ONLY)
Position Start Date	04/1990

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): BANKS, SAMUEL P
2597194

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

Position DIRECTOR

Position Start Date 02/1995

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): CARR, STARLA S
2553688

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

Position VICE PRESIDENT

Position Start Date 06/2000

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): DAWSON, THOMAS O

Firm Profile



Direct Owners and Executive Officers (continued)

	2472315
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	02/1994
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):	DYE, DALE LINELL
Is this a domestic or foreign entity or an individual?	Individual
Position	SECRETARY
Position Start Date	07/2001
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):	FELDMAN, VICTOR F 2597195
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	02/1995
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): FITZGERALD, PATRICK

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

Position DIRECTOR

Position Start Date 04/2004

Percentage of Ownership Less than 5%

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

Is this a public reporting company?

Legal Name & CRD# (if any): GEUBELLE, NANCY
2623283

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

Position COMPLIANCE OFFICER, (BD ONLY)

Position Start Date 12/2004

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): HARRINGTON, BARBARA JOANN
2996949

Firm Profile



Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	PRIMARY FINANCIAL OPERATIONS PRINCIPAL
Position Start Date	04/1998
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): HENDREN, KENNETH M
2752980

Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	04/1996
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): KNOX, E PHILLIPS
2231983

Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	03/1992
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): KUHL, P DAVID
2597197

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

Position DIRECTOR

Position Start Date 02/1995

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): LEE, CHARLES OTA
1709541

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

Position VICE PRESIDENT

Position Start Date 03/1995

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): LEISTER, V B JR
2597198



Firm Profile

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	02/1995
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):	MACADAM, ROBERT SCOTT
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	02/1995
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	
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Legal Name & CRD# (if any):	MILLS, DAVID
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	01/2003
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Firm Profile



Direct Owners and Executive Officers (continued)

Legal Name & CRD# (if any): PAINE, GLEN CHARLES
2332476

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

Position DIRECTOR

Position Start Date 02/1995

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): SCHARLAW, EDWIN ALFRED II
2100384

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

Position DIRECTOR/CHAIRMAN

Position Start Date 04/1990

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): THIES, DAVID C
2597237

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

Position DIRECTOR

Position Start Date 02/1995

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):	WANNEMACHER, STEVEN JOSEPH
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	04/2004
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	
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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):	FIRST BUSEY CORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	BUSEY INVESTMENT GROUP
Relationship to Direct Owner	INDIRECT SHAREHOLDER
Relationship Established	01/2001
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

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 03/14/1991 to 01/02/2008.

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
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Investment advisory services
Broker or dealer involved in a networking, kiosk or similar arrangment with a: bank, savings bank or association, or credit union

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:	NATIONAL FINANCIAL SERVICES LLC
CRD #:	13041
Business Address:	WORLD TRADE CENTER 200 SEAPORT BOULEVARD BOSTON, MA 02210
Effective Date:	07/25/2005
Description:	THE FIRM WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH NATIONAL FINANCIAL SERVICES, LLC

Firm Operations

Industry Arrangements



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

Name: NATIONAL FINANCIAL SERVICES LLC

CRD #: 13041

Business Address: WORLD TRADE CENTER
200 SEAPORT BOULEVARD
BOSTON, MA 02210

Effective Date: 07/25/2005

Description: THE FIRM WILL OPERATE PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES.

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

Name: NATIONAL FINANCIAL SERVICES LLC

CRD #: 13041

Business Address: WORLD TRADE CENTER
200 SEAPORT BOULEVARD
BOSTON, MA 02210

Effective Date: 07/25/2005

Description: THE FIRM WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH FISERV SECURITIES, INC.

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

Name: NATIONAL FINANCIAL SERVICES LLC

CRD #: 13041

Business Address: WORLD TRADE CENTER
200 SEAPORT BOULEVARD
BOSTON, MA 02210

Effective Date: 07/25/2005

Description: THE FIRM WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH FISERV SECURITIES, INC.

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

Industry Arrangements (continued)





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 not, 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.**

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

BUSEY BANK is a State Non Member Bank and controls the firm.

Business Address: 201 W MAIN ST
URBANA, IL 61801

Effective Date: 02/01/2001

Description: BUSEY BANK IS OWNED BY THE PARENT COMPANY, FIRST BUSEY CORPORATION. THE BANK IS NOT IN THE DIRECT LINE OF OWNERSHIP OF FIRST BUSEY SECURITIES, INC. FIRST BUSEY SECURITIES, INC. IS OWNED BY BUSEY INVESTMENT GROUP WHICH IS A SUBSIDIARY OF FIRST BUSEY CORPORATION.

End of Report



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