

## BrokerCheck Report

### ALLARIA SECURITIES, LLC

CRD# 286504

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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)

**ALLARIA SECURITIES, LLC**

CRD# 286504

SEC# 8-69891

**Main Office Location**

1110 BRICKELL AVENUE  
SUITE 603  
MIAMI, FL 33131  
Regulated by FINRA Florida Office

**Mailing Address**

1110 BRICKELL AVENUE  
SUITE 603  
MIAMI, FL 33131

**Business Telephone Number**

786-686-5400

**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 Florida on 11/10/2016.

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
- 9 U.S. states and territories

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

This firm conducts 10 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**



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Florida on 11/10/2016.

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.

### ALLARIA SECURITIES, LLC

Doing business as ALLARIA SECURITIES, LLC

CRD# 286504

SEC# 8-69891

### Main Office Location

1110 BRICKELL AVENUE  
SUITE 603  
MIAMI, FL 33131

Regulated by FINRA Florida Office

### Mailing Address

1110 BRICKELL AVENUE  
SUITE 603  
MIAMI, FL 33131

### Business Telephone Number

786-686-5400



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	ALLARIA LATAM INVESTMENT SERVICES, INC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	MEMBER
<b>Position Start Date</b>	11/2016
<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>	CATOGGIO, STELLA M 2987511
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CHIEF EXECUTIVE OFFICER
<b>Position Start Date</b>	01/2025
<b>Percentage of Ownership</b>	Less than 5%
<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>	GONZALES, PHILIPPE ROGER 5667179
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CHIEF COMPLIANCE OFFICER
<b>Position Start Date</b>	06/2025

## 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):** RODRIGUEZ, AARON NETZAHUALCOYOTL  
5421965

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

**Position** FINOP

**Position Start Date** 12/2017

**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):** ROWE, KEVIN ANTHONY  
4641264

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

**Position** DIRECTOR OF REGULATORY AFFAIRS

**Position Start Date** 06/2025

**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

<b>Legal Name &amp; CRD# (if any):</b>	ALLARIA LATAM INVERSIONES, S.A.
<b>Is this a domestic or foreign entity or an individual?</b>	Foreign Entity
<b>Company through which indirect ownership is established</b>	ALLARIA LATAM INVT. SVCS, INC
<b>Relationship to Direct Owner</b>	OWNER
<b>Relationship Established</b>	11/2015
<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>	ALLARIA, ERNESTO 5458428
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	ALLARIA LATAM INVERSIONES, SA
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	06/2015
<b>Percentage of Ownership</b>	25% but less than 50%
<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>	POLITI, JUAN FRANCISCO 7895336
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Firm Profile



Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ALLARIA LATAM INVERSIONES, SA
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	12/2024
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





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 9 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	01/26/2018

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	01/26/2018

## Firm Operations



### Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	01/16/2019
Colorado	Approved	12/23/2019
Connecticut	Approved	11/21/2018
Florida	Approved	03/01/2018
Iowa	Approved	10/10/2018
Massachusetts	Approved	02/14/2019
New Mexico	Approved	11/20/2018
New York	Approved	10/15/2018
Texas	Approved	01/02/2019



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 10 types of businesses.**

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities broker
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Other - RULE 15A-6 - CHAPERONING ACTIVITIES

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.  
This firm does engage in other non-securities business.

Non-Securities Business Description: RULE 15A-6 - CHAPERONING ACTIVITIES

## 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>	PERSHING LLC
<b>CRD #:</b>	7560
<b>Business Address:</b>	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
<b>Effective Date:</b>	03/03/2017
<b>Description:</b>	THE FIRM WILL OPERATE PURSUANT TO A CLEARING AGREEMENT WITH PERSHING, LLC

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## Firm Operations

### Industry Arrangements



**This firm does not have books or records maintained by a third party.**

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

**Name:** PERSHING LLC  
**CRD #:** 7560  
**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, FL 07399  
**Effective Date:** 03/03/2017  
**Description:** THE FIRM WILL OPERATE PURSUANT TO A CLEARING AGREEMENT  
WITH PERSHING, LLC

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**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, FL 07399  
**Effective Date:** 03/03/2017  
**Description:** THE FIRM WILL OPERATE PURSUANT TO A CLEARING AGREEMENT  
WITH PERSHING, LLC

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### 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.**

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

<b>CRD #:</b>	287513
<b>Business Address:</b>	1110 BRICKELL AVENUE SUITE 603 MIAMI, FL 33131
<b>Effective Date:</b>	11/10/2016
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	ALLARIA SECURITIES, LLC AND ALLARIA ASSET MANAGEMENT, LLC ARE UNDER COMMON OWNERSHIP BY WAY OF ALLARIA LATAM INVESTMENT SERVICES, INC.

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**ALLARIA S.A. is under common control with the firm.**

<b>Business Address:</b>	25 DE MAYO 359 PISO 12 CP (C1002ABG) CABA, ARGENTINA
<b>Effective Date:</b>	10/19/1994
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	ARGENTINA
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	APPLICANT AND ALLARIA S.A. (FORMERLY KOWN AS ALLARIA LEDESMA Y

## Firm Operations



### Organization Affiliates (continued)

CIA S.A.) ARE UNDER COMMON CONTROL VIA ERNESTO ALLARIA AND JUAN FRANCISCO POLITI.

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#### INVERSIONES DEL RIO DE LA PLATA CASA DE VALORES SA is under common control with the firm.

<b>Business Address:</b>	CALLE 50, TORRE GLOBAL BANK, PISO 13 OFICINA 1303 REP. DE PANAMA, PANAMA
<b>Effective Date:</b>	09/07/2012
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	PANAMA
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	APPLICANT AND INVERSIONES DEL RIO DE LA PLATA S.A. ARE UNDER COMMON CONTROL VIA ERNESTO ALLARIA AND JUAN FRANCISCO POLITI.

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#### RIO DE LA PLATA AGENTE DE VALORES S.A. is under common control with the firm.

<b>Business Address:</b>	PARAGUAY 2141, PISO 10 OFICINA 1002 MONTEVIDEO, URUGUAY 11800
<b>Effective Date:</b>	12/31/2004
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	URUGUAY
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	APPLICANT AND RIO DE LA PLATA AGENTE DE VALORES S.A. ARE UNDER COMMON CONTROL VIA ERNESTO ALLARIA AND JUAN FRANCISCO POLITI.

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



## Firm Operations



### Organization Affiliates (continued)

- credit union
- or foreign bank

**End of Report**



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