

BrokerCheck Report **TCBI SECURITIES, INC.**

CRD# 313304

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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.

**TCBI SECURITIES, INC.**

CRD# 313304

SEC# 8-70682

Main Office Location

2000 MCKINNEY AVENUE
SUITE 700
DALLAS, TX 75201
Regulated by FINRA Dallas Office

Mailing Address

2000 MCKINNEY AVENUE
SUITE 700
DALLAS, TX 75201

Business Telephone Number

214-932-6671

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 Texas on 03/03/2021.

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
- 2 Self-Regulatory Organizations
- 53 U.S. states and territories

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

This firm conducts 17 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 corporation.
This firm was formed in Texas on 03/03/2021.
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.

TCBI SECURITIES, INC.
Doing business as TCBI SECURITIES, INC.
CRD# 313304
SEC# 8-70682

Main Office Location

2000 MCKINNEY AVENUE
SUITE 700
DALLAS, TX 75201

Regulated by FINRA Dallas Office

Mailing Address

2000 MCKINNEY AVENUE
SUITE 700
DALLAS, TX 75201

Business Telephone Number

214-932-6671

Other Names of this Firm

Name	Where is it used
TEXAS CAPITAL SECURITIES	AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX,

UT, VA, VI, VT, WA,
WI, WV, WY



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): TEXAS CAPITAL BANCSHARES, INC.

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

Position OWNER

Position Start Date 01/2025

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

Legal Name & CRD# (if any): ALVARADO, ANNA MARIA
4433966

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

Position DIRECTOR

Position Start Date 12/2021

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): COLPITTS, JOEL BRIAN
2376942

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

Position PRINCIPAL FINANCIAL OFFICER AND FIN/OP

Position Start Date 01/2022

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): GENYK, STEVEN
2324120

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

Position MUNICIPAL SECURITIES PRINCIPAL

Position Start Date 08/2024

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): HOLMES, ROBERT C
2948416

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

Position DIRECTOR

Position Start Date 12/2021

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): HOVERMAN, DANIEL STEPHENS

Firm Profile



Direct Owners and Executive Officers (continued)

	5281289
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR, PRESIDENT
Position Start Date	09/2021
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
<hr/>	
Legal Name & CRD# (if any):	OMAN, DAVID 5685397
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	07/2024
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
<hr/>	
Legal Name & CRD# (if any):	RIVERA, JASON 5010925
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	01/2022
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?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

SCURLOCK, JOHN MATTHEW

7521986

Is this a domestic or foreign entity or an individual?

Individual

Position

DIRECTOR

Position Start Date

12/2021

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

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 currently registered with the SEC, 2 SROs and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	12/21/2021

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	12/21/2021
Nasdaq Stock Market	Approved	09/02/2025



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	04/12/2022
Alaska	Approved	12/21/2021
Arizona	Approved	02/18/2022
Arkansas	Approved	01/11/2022
California	Approved	01/04/2022
Colorado	Approved	01/20/2022
Connecticut	Approved	01/06/2022
Delaware	Approved	01/12/2022
District of Columbia	Approved	08/09/2022
Florida	Approved	03/18/2022
Georgia	Approved	03/04/2022
Hawaii	Approved	04/28/2022
Idaho	Approved	01/04/2022
Illinois	Approved	08/12/2022
Indiana	Approved	01/28/2022
Iowa	Approved	01/10/2022
Kansas	Approved	01/19/2022
Kentucky	Approved	01/06/2022
Louisiana	Approved	01/20/2022
Maine	Approved	01/11/2022
Maryland	Approved	01/04/2022
Massachusetts	Approved	04/12/2022
Michigan	Approved	01/05/2022
Minnesota	Approved	06/06/2022
Mississippi	Approved	01/04/2022
Missouri	Approved	03/22/2021
Montana	Approved	01/12/2022
Nebraska	Approved	01/28/2022
Nevada	Approved	01/28/2022
New Hampshire	Approved	02/04/2022
New Jersey	Approved	03/17/2022
New Mexico	Approved	02/07/2022
New York	Approved	01/26/2022

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	01/13/2022
North Dakota	Approved	01/21/2022
Ohio	Approved	01/02/2022
Oklahoma	Approved	01/12/2022
Oregon	Approved	01/18/2022
Pennsylvania	Approved	01/07/2022
Puerto Rico	Approved	07/15/2022
Rhode Island	Approved	12/23/2021
South Carolina	Approved	01/07/2022
South Dakota	Approved	01/18/2022
Tennessee	Approved	02/03/2022
Texas	Approved	01/03/2022
Utah	Approved	01/05/2022
Vermont	Approved	01/06/2022
Virgin Islands	Approved	08/09/2022
Virginia	Approved	03/01/2022
Washington	Approved	01/12/2022
West Virginia	Approved	01/24/2022
Wisconsin	Approved	01/31/2022
Wyoming	Approved	02/22/2022



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 17 types of businesses.

Types of Business

Broker or dealer making inter-dealer markets in corporation securities over-the-counter
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 dealer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
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
Broker or dealer selling interests in mortgages or other receivables
Other - MERGERS AND ACQUISITIONS ADVISORY EQUITY RESEARCH MUNICIPAL SECURITIES ADVISER SOFT DOLLAR EXECUTION SERVICES REPURCHASE/REVERSE REPURCHASE TRANSACTIONS SECURITIES CLEARING AND SETTLEMENT FOR THE FIRM'S TBA AND SPECIFIED POOL BUSINESS

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 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:	12/01/2021
Description:	PERSHING IS THE FIRM'S CLEARING AGENT PROVIDING SETTLEMENT, CUSTODIAL AND BACK OFFICE SERVICES ON A FULLY DISCLOSED BASIS

Firm Operations

Industry Arrangements



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

Name: PERSHING LLC
CRD #: 7560
Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399
Effective Date: 12/01/2021
Description: PERSHING WILL ACT AS THE CLEARING FIRM FOR TCBI SECURITIES, INC., AND WILL MAINTAIN THE FIRM'S AND ITS CUSTOMERS' FUNDS AND SECURITIES. PERSHING WILL PRODUCE AND MAINTAIN CERTAIN BOOKS AND RECORDS FOR TCBI SECURITIES, INC.

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, NJ 07399
Effective Date: 12/01/2021
Description: PERSHING WILL ACT AS THE CLEARING FIRM FOR TCBI SECURITIES, INC., AND WILL MAINTAIN THE FIRM'S AND ITS CUSTOMERS' FUNDS AND SECURITIES. PERSHING WILL PRODUCE AND MAINTAIN CERTAIN BOOKS AND RECORDS FOR TCBI SECURITIES, INC.

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: 12/01/2021
Description: PERSHING WILL ACT AS THE CLEARING FIRM FOR TCBI SECURITIES, INC., AND WILL MAINTAIN THE FIRM'S AND ITS CUSTOMERS' FUNDS AND SECURITIES. PERSHING WILL PRODUCE AND MAINTAIN CERTAIN BOOKS AND RECORDS FOR TCBI SECURITIES, INC.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

Firm Operations

Industry Arrangements (continued)



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.

TEXAS CAPITAL BANK PRIVATE WEALTH ADVISORS is under common control with the firm.

CRD #:	298422
Business Address:	2000 MCKINNEY AVENUE SUITE 1800 DALLAS, TX 75201
Effective Date:	03/03/2021
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	TEXAS CAPITAL BANK OWNS TEXAS CAPITAL BANK PRIVATE WEALTH ADVISORS, AN SEC REGISTERED INVESTMENT ADVISER.

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

TEXAS CAPITAL BANCSHARES, INC is a Bank Holding Company and controls the firm.

Business Address:	2000 MCKINNEY AVENUE SUITE 700 DALLAS, TX 75201
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Firm Operations



Organization Affiliates (continued)

Effective Date: 03/03/2021

Description: TEXAS CAPITAL BANCSHARES, INC. OWNS TEXAS CAPITAL BANK AND TCBI SECURITIES.

TEXAS CAPITAL BANK is a State Member Bank of the Federal Reserve System and controls the firm.

Business Address: 2000 MCKINNEY AVENUE
SUITE 700
DALLAS, TX 75201

Effective Date: 03/03/2021

Description: TEXAS CAPITAL BANCSHARES, INC. OWNS TEXAS CAPITAL BANK AND TCBI SECURITIES.

End of Report



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