

BrokerCheck Report

U.S. STERLING SECURITIES, INC.

CRD# 35912

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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.

**U.S. STERLING SECURITIES, INC.**

CRD# 35912

SEC# 8-47052

Main Office Location

1393 VETERANS MEMORIAL HIGHWAY UNIT
412N
HAUPPAUGE, NY 11788
Regulated by FINRA Long Island Office

Mailing Address

1393 VETERANS MEMORIAL HIGHWAY UNIT
412N
HAUPPAUGE, NY 11788

Business Telephone Number

631-360-2829

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 New York on 03/10/1992.

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
- 43 U.S. states and territories

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

This firm conducts 16 types of businesses.

This firm is not affiliated with any 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 New York on 03/10/1992.

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.

U.S. STERLING SECURITIES, INC.

Doing business as U.S. STERLING SECURITIES, INC.

CRD# 35912

SEC# 8-47052

Main Office Location

1393 VETERANS MEMORIAL HIGHWAY UNIT 412N
HAUPPAUGE, NY 11788

Regulated by FINRA Long Island Office

Mailing Address

1393 VETERANS MEMORIAL HIGHWAY UNIT 412N
HAUPPAUGE, NY 11788

Business Telephone Number

631-360-2829



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):	U. S. STERLING CAPITAL CORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	DOMESTIC ENTITY SHAREHOLDER
Position Start Date	11/2002
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GOLDMAN, GEORGE ROBERT 1315513
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP/CO-CCO/ROP/VP FINANCE
Position Start Date	10/2009
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):	ORR, BRIAN JUSTIN 4030228
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING DIRECTOR/EXECUTIVE VP
Position Start Date	10/2010

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

Legal Name & CRD# (if any): ORR, HERBERT ARTHUR JR
2124439

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

Position PRESIDENT/CEO/CCO

Position Start Date 03/1992

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): ORR, SHAWN WILLIAM
4543396

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

Position EXECUTIVE VICE PRESIDENT/CCO

Position Start Date 02/2012

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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	U.S. STERLING, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	US STERLING CAPITAL CORP.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	07/2019
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

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 43 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/06/1994

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	09/06/1994



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	04/01/2010
Arizona	Approved	10/26/2016
Arkansas	Approved	05/01/2012
California	Approved	11/18/2002
Colorado	Approved	02/16/2017
Connecticut	Approved	03/13/2003
District of Columbia	Approved	01/12/2010
Florida	Approved	10/01/2010
Georgia	Approved	03/05/2010
Hawaii	Approved	05/18/2005
Idaho	Approved	12/07/2011
Illinois	Approved	05/21/2004
Indiana	Approved	01/09/2009
Iowa	Approved	05/11/2010
Kansas	Approved	05/03/2010
Kentucky	Approved	08/01/2011
Louisiana	Approved	12/02/2009
Maine	Approved	02/04/2010
Maryland	Approved	02/18/2010
Massachusetts	Approved	05/28/2003
Michigan	Approved	05/19/2004
Minnesota	Approved	06/21/2011
Mississippi	Approved	02/03/2012
Missouri	Approved	03/01/2011
Montana	Approved	11/29/2010
Nebraska	Approved	04/22/2010
New Jersey	Approved	02/09/2010
New Mexico	Approved	01/18/2012
New York	Approved	12/28/1994
North Carolina	Approved	12/01/2010
North Dakota	Approved	02/01/2011
Ohio	Approved	07/02/2003
Oklahoma	Approved	02/03/2004

U.S. States & Territories	Status	Date Effective
Pennsylvania	Approved	06/02/2003
South Dakota	Approved	04/07/2009
Tennessee	Approved	11/08/2012
Texas	Approved	03/22/2010
Utah	Approved	01/31/2017
Vermont	Approved	02/08/2010
Washington	Approved	11/23/2011
West Virginia	Approved	01/13/2010
Wisconsin	Approved	06/10/2003
Wyoming	Approved	03/01/2012



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 16 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 dealer
U S. government securities broker
Municipal securities broker
Solicitor of time deposits in a financial institution
Real estate syndicator
Broker or dealer selling oil and gas interests
Put and call broker or dealer or option writer
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Broker or dealer selling tax shelters or limited partnerships in the secondary market
Trading securities for own account
Private placements of securities
Broker or dealer selling interests in mortgages or other receivables
Other - U.S. STERLING MAY VENDOR CMOS, FEDERAL OR STATE ISSUES, CURRENCY OR GOLD BACK ISSUES OR PRODUCTS PROVIDE FAIRNESS OPINIONS VALUATIONS, LIMITED BUSINESS ADVISORY OR OTHERWISE PROVIDE OTHER LIMITED INVESTMENT BANKING OR BANKING SERVICES TO INSTITUTIONAL INVESTORS, QIBS OR QUALIFIED ENTITIES.

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:	HILLTOP SECURITIES INC.
CRD #:	6220
Business Address:	1201 ELM STREET SUITE 3500 DALLAS, TX 75270
Effective Date:	02/02/1992
Description:	HILLTOP SECURITIES/SOUTHWEST HOLDS ALL CUSTOMER ACCOUNTS, FUNDS AND SECURITIES AS A CLEARING FIRM UNDER A FULLY DISCLOSED ARRANGEMENT WITH U.S. STERLING SECURITIES.

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: HILLTOP SECURITIES INC.
CRD #: 6220
Business Address: 1201 ELM STREET
SUITE 3500
DALLAS, TX 75270
Effective Date: 02/02/1992
Description: HILLTOP SECURITIES HOLDS ALL CUSTOMER ACCOUNTS, FUNDS AND SECURITIES FOR U. S. STERLING SECURITIES UNDER A FULLY DISCLOSED CLEARING AGREEMENT.

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

Name: HILLTOP SECURITIES INC.
CRD #: 6220
Business Address: 1201 ELM STREET
SUITE 3500
DALLAS, TX 75270
Effective Date: 02/02/1992
Description: HILLTOP SECURITIES HOLDS ALL CUSTOMER ACCOUNTS, FUNDS AND SECURITIES AS A CLEARING FIRM FOR U.S. STERLING SECURITIES UNDER A FULLY DISCLOSED CLEARING AGREEMENT

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 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 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
- credit union
- or foreign bank

End of Report



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