

BrokerCheck Report

CORRELL CO. INVESTMENT SERVICES CORP.

CRD# 38995

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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:
 - o 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
 - o 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.



CORRELL CO. INVESTMENT SERVICES CORP.

CRD# 38995

SEC# 8-48507

Main Office Location

9655 SOUTH 78TH AVENUE
HICKORY HILLS, IL 60457-2211
Regulated by FINRA Chicago Office

Mailing Address

9655 SOUTH 78TH AVENUE
HICKORY HILLS, IL 60457-2211

Business Telephone Number

708-599-2900

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

<https://www.adviserinfo.sec.gov>

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 12/26/1995.

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
- 16 U.S. states and territories

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

This firm conducts 7 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 Illinois on 12/26/1995.

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.

CORRELL CO. INVESTMENT SERVICES CORP.

Doing business as CORRELL CO. INVESTMENT SERVICES CORP.

CRD# 38995

SEC# 8-48507

Main Office Location

9655 SOUTH 78TH AVENUE
HICKORY HILLS, IL 60457-2211

Regulated by FINRA Chicago Office

Mailing Address

9655 SOUTH 78TH AVENUE
HICKORY HILLS, IL 60457-2211

Business Telephone Number

708-599-2900



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): CORRELL, EARL FRANKLIN III

3151321

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

Position SHAREHOLDER

Position Start Date 10/1999

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

Legal Name & CRD# (if any): CORRELL, JAMES CHARLES

2728531

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

Position SHAREHOLDER & CHIEF EXECUTIVE OFFICER

Position Start Date 10/1999

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

Legal Name & CRD# (if any): CORRELL, MELODY NICOLE

2256664

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

Position CHIEF FINANCIAL OFFICER/FINOP & CHIEF COMPLIANCE OFFICER



Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date 06/2002

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): LUCENTE, DEBRA JEAN
2644948

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

Position SECRETARY

Position Start Date 07/1995

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

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, 1 SRO and 16 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/17/1996

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	05/17/1996

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	03/25/2002
Arkansas	Approved	12/22/2010
California	Approved	05/29/1996
Colorado	Approved	12/22/2020
Florida	Approved	07/01/1996
Georgia	Approved	02/07/2023
Idaho	Approved	01/12/2023
Illinois	Approved	05/23/1996
Indiana	Approved	08/22/1997
Iowa	Approved	10/09/2017
Michigan	Approved	07/09/1996
Minnesota	Approved	06/03/1996
Missouri	Approved	10/20/2017
New York	Approved	02/13/1996
Texas	Approved	04/11/1996
Wisconsin	Approved	05/28/1996

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 7 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

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 ST, SUITE 3500 DALLAS, TX 75270
Effective Date:	03/31/2005
Description:	CORRELL CO. INVESTMENT SERVICES CORP. ("CCISC") EMPLOYES THE CLEARING SERVICES OF HILLTOP SECURITIES, INC. ALL CCISC CUSTOMER BROKERAGE ACCOUNTS, NETWORKED MUTUAL FUNDS AND SECURITIES ARE HELD AND MAINTAINED BY HILLTOP SECURITIES, INC.

Firm Operations

Industry Arrangements



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

Name: HILLTOP SECURITIES INC.

CRD #: 6220

Business Address: 1201 ELM ST, SUITE 3500
DALLAS, TX 75270

Effective Date: 03/31/2005

Description: CORRELL CO. INVESTMENT SERVICES CORP. ("CCISC") EMPLOYES THE CLEARING SERVICES OF HILLTOP SECURITIES, INC. ALL CCISC CUSTOMER BROKERAGE ACCOUNTS, NETWORKED MUTUAL FUNDS AND SECURITIES ARE HELD AND MAINTAINED BY HILLTOP SECURITIES, INC.

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: 03/31/2005

Description: CORRELL CO. INVESTMENT SERVICES CORP. ("CCISC") EMPLOYES THE CLEARING SERVICES OF HILLTOP SECURITIES, INC. ALL CCISC CUSTOMER BROKERAGE ACCOUNTS, NETWORKED MUTUAL FUNDS AND SECURITIES ARE HELD AND MAINTAINED BY HILLTOP SECURITIES, INC.

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: 03/31/2005

Description: CORRELL CO. INVESTMENT SERVICES CORP. ("CCISC") EMPLOYES THE CLEARING SERVICES OF HILLTOP SECURITIES, INC. ALL CCISC CUSTOMER BROKERAGE ACCOUNTS, NETWORKED MUTUAL FUNDS AND SECURITIES ARE HELD AND MAINTAINED BY HILLTOP SECURITIES, INC.

Firm Operations



Industry Arrangements (continued)

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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