

BrokerCheck Report

FIBRA SECURITIES INC.

CRD# 39680

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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.

**FIBRA SECURITIES INC.**

CRD# 39680

SEC# 8-48789

Main Office Location375 PARK AVENUE 13TH FLOOR
NEW YORK, NY 10152**Mailing Address**375 PARK AVENUE 13TH FLOOR
NEW YORK, NY 10152**Business Telephone Number**

212-317-0028

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 Delaware on 10/06/1995.

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 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: 06/05/2000

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 Delaware on 10/06/1995.

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.

FIBRA SECURITIES INC.

Doing business as FIBRA SECURITIES INC.

CRD# 39680

SEC# 8-48789

Main Office Location

375 PARK AVENUE 13TH FLOOR
NEW YORK, NY 10152

Mailing Address

375 PARK AVENUE 13TH FLOOR
NEW YORK, NY 10152

Business Telephone Number

212-317-0028



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): CIDADE AZUL, S.A.

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

Position SOLE SHAREHOLDER

Position Start Date 10/1995

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): BURNS, ROSEMARY ANN

2228853

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

Position FINOP

Position Start Date 04/1996

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): THOMSON, STELA MARIA FERRAZ ALVIM

1580009

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

Position MANAGING DIRECTOR

Position Start Date 02/1999

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
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Does this owner direct the management or policies of the firm?	Yes
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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

Legal Name & CRD# (if any):	BANCO FIBRA S.A.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	PEDRA GRANDE SERVICOS E PAARTICIPACOES
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	09/1990
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):	COMPANHIA TAQUARI DE INVESTIMENTO
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	BANCO FIBRA, S.A.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	12/1987
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	ELIEZER STEINBRUCH
Is this a domestic or foreign entity or an individual?	Foreign Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established CFL PARTICIPACOES

Relationship to Direct Owner SHAREHOLDER

Relationship Established 12/1988

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): ELIZABETH S.A. INDUSTRIA TEXTIL

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

Company through which indirect ownership is established COMPANHIA TAQUARI DE INVESTIMENTO

Relationship to Direct Owner SHAREHOLDER

Relationship Established 09/1987

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): ESTATE OF MENDEL STEINBRUCH

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

Company through which indirect ownership is established RIO PURUS PARTICIPACOES

Relationship to Direct Owner SHAREHOLDER

Relationship Established 12/1988

Firm Profile



Indirect Owners (continued)

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): PEDRA GRAMDE SERVICOS E PARTICIPACOESS

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

Company through which indirect ownership is established CIDADE AZUL S.A.

Relationship to Direct Owner SHAREHOLDER

Relationship Established 08/1993

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): RIO PURUS PARTICIPACOES

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

Company through which indirect ownership is established ELIZABETH S.A. INDUSTRIA TEXTILL

Relationship to Direct Owner SHAREHOLDER

Relationship Established 12/1988

Percentage of Ownership 50% but less than 75%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile



Indirect Owners (continued)
company?

Legal Name & CRD# (if any):	CFL PARTICIPACOE
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	ELIZABETH S.A. INDUSTRIA TEXTIL
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	12/1988
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

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 11/06/1996 to 07/06/2000.



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

Underwriter or selling group participant (corporate securities other than mutual funds)

Investment advisory services

Non-exchange member arranging for transactions in listed securities by exchange member

Private placements of securities

Other - 10Y THE APPLICANT MAY ENGAGE IN THE STRUCTURING OF CORPORATE FINANCE ACTIVITIES WHICH MAY INCLUDE, AMONG OTHER THINGS, PRIVATE PLACEMENTS OF DEBT AND EQUITY SECURITIES. IN ADDITION, THE APPLICANT MAY CONDUCT EXECUTION OF SECURITIES LISTED ON VARIOUS EXC

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:	OPPENHEIMER & CO., INC
Business Address:	OPPENHEIMER TOWER WORLD FINANCIAL CENTER NEW YORK, NY 10281
Effective Date:	05/29/1996
Description:	THE APPLICANT HAS ENTERED INTO A FULLY-DISCLOSED CLEARING ARRANGEMENT FOR THE CLEARANCE AND SETTLEMENT OF TRANSACTIONS IN SECURITIES. ALL OF THE APPLICANTS BOOKS AND RECORDS WILL BE AVAILABLE AT THE NEW YORK OFFICES OF THE APPLICANT.

Firm Operations

Industry Arrangements



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

Name: OPPENHEIMER & CO., INC

Business Address: OPPENHEIMER TOWER
WORLD FINANCIAL CENTER
NEW YORK, NY 10281

Effective Date: 05/29/1996

Description: THE APPLICANT HAS ENTERED INTO A FULLY-DISCLOSED CLEARING ARRANGEMENT FOR THE CLEARANCE AND SETTLEMENT OF TRANSACTIONS IN SECURITIES. ALL OF THE APPLICANTS BOOKS AND RECORDS WILL BE AVAILABLE AT THE NEW YORK OFFICES OF THE APPLICANT

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

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.

BANCO FIBRA S.A. controls the firm.

Business Address:	RUA JORGE COELHO, 16 ITAIM - SAO PAULO, SP, BRAZIL 01451-02010
Effective Date:	10/06/1995
Foreign Entity:	Yes
Country:	BRAZIL
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	BANCO FIBRA S.A., AN AFFILAITE OF THE APPLICANT, IS ENGAGED IN THE SECURITIES BUSINESS IN BRAZIL. IT OWNS 100% OF THE STOCK OF PEDRA GRANDE SERVICOS E PARTICIPACOES, WHICH OWNS 100% OF CIDADE AZUL S.A., WHICH OWNS 100% OF THE APPLICANT.

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

BANCO FIBRA S.A. is a Foreign Bank and controls the firm.

Business Address:	RUA JORGE COELHO 16 - 17TH FL ITAIM - SAO PAULO, SP ITAIM - SAO PAAULO, BRAZIL 01451-020
Effective Date:	10/06/1995

Firm Operations



Organization Affiliates (continued)

Description: BANCO FIBRA S.A., AN AFFILIATE OF THE APPLICANT, IS ENGAGED IN THE SECURITIES BUSINESS IN BRAZIL. IT OWNS 100% OF PEDRA GRANDE SERVICOS E PARTICIPACOES, WHICH OWNS 100% OF CIDADE AZUL S.A., WHICH OWNS 100% OF THE APPLICANT.

End of Report



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