

BrokerCheck Report

GLOBAL SECURITIES (USA), INC.

CRD# 39962

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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.

**GLOBAL SECURITIES (USA), INC.**

CRD# 39962

SEC# 8-48913

Main Office Location

101 EAST 52 STREET
14TH FLOOR
NEW YORK, NY 10022

Mailing Address

101 EAST 52 STREET
14TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-317-9797

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 08/31/1995.

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: 03/13/2009

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 New York on 08/31/1995.

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.

GLOBAL SECURITIES (USA), INC.

Doing business as GLOBAL SECURITIES (USA), INC.

CRD# 39962

SEC# 8-48913

Main Office Location

101 EAST 52 STREET
14TH FLOOR
NEW YORK, NY 10022

Mailing Address

101 EAST 52 STREET
14TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-317-9797



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):	GLOBAL MENKUL DEGERLER A.S.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Position	SOLE SHAREHOLDER
Position Start Date	08/2005
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):	GOKER, CIGDEM GAYE 3117201
Is this a domestic or foreign entity or an individual?	Individual
Position	SECRETARY, CEO AND CCO
Position Start Date	09/2007
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):	GOKER, CIGDEM GAYE 3117201
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, CFO
Position Start Date	02/2005



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): KUTMAN, MEHMET
3158807

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

Position CHAIRMAN OF THE BOARD & DIRECTOR

Position Start Date 09/1998

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): OZER, GOKHAN
5406243

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

Position DIRECTOR

Position Start Date 08/2007

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

Legal Name & CRD# (if any):	GLOBAL YATIRIM HOLDING A.S.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	GLOBAL MENKUL DEGERLER A.S.
Relationship to Direct Owner	SOLE SHAREHOLDER
Relationship Established	08/2005
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 no longer registered.

The firm's registration was from 08/12/1996 to 05/12/2009.



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 5 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities

U S. government securities broker

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

Other - THE FIRM RETAILS FOREIGN SECURITIES (INCLUDING DEBT) AND PROVIDES CORPORATE FINANCIAL ADVICE ABOUT THE STRUCTURE OF INVESTMENTS AND FINANCINGS IN OTHER CORPORATE TRANSACTIONS.

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:	GLOBAL MENKUL DEGERLER A.S.
Business Address:	RIHTIM CAD NO. 57 KARAKOY, ISTANBUL, TURKEY 34425
Effective Date:	08/16/1996
Description:	THE FIRM HAS ENTERED INTO A CLEARING AGENCY AGREEMENT WITH ITS SOLE SHAREHOLDER, GLOBAL MENKUL DEGERLER A.S. ("GLOBAL MENKUL"), UNDER WHICH THE FIRM REFERS CUSTOMER ACCOUNTS TO GLOBAL MENKUL FOR CLEARANCE. GLOBAL MENKUL IS A MEMBER OF THE TURKISH STOCK EXCHANGE.

Name:	E*TRADE SECURITIES LLC
CRD #:	29106
Business Address:	535 MADISON AVENUE, 35TH FLOOR NEW YORK, NY 10022
Effective Date:	03/20/2003
Description:	THE FIRM HAS ENTERED INTO A COMMISSION SHARING ARRANGEMENT WITH E*TRADE SECURITIES LLC ("E*TRADE") UNDER WHICH THE FIRM REFERS TO E-TRADE CERTAIN CUSTOMERS OF THE FIRM WISHING TO MAKE U.S. SECURITIES TRANSACTIONS. IN TURN E*TRADE SHARES WITH THE FIRM A PORTION OF THE COMMISSIONS CHARGED TO THOSE CLIENTS.

Firm Operations

Industry Arrangements



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

Name: GLOBAL MENKUL DEGERLER A.S.

Business Address: RIHTIM CAD NO. 57
KARAKOY, ISTANBUL, TURKEY 34425

Effective Date: 08/16/1996

Description: THE FIRM HAS ENTERED INTO A CLEARING AGENCY AGREEMENT WITH ITS SOLE SHAREHOLDER, GLOBAL MENKUL DEGERLER A.S. ("GLOBAL MENKUL"), UNDER WHICH GLOBAL MENKUL PERFORMS CLEARING FUNCTIONS FOR THE FIRM. THEREFORE, GLOBAL MENKUL MAINTAINS CERTAIN RECORDS OF THE FIRM.

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.

GLOBAL CAPITAL GROUP SAE (EGYPT) is under common control with the firm.

Business Address:	13, EL KHALIFA EL MAAMOUN STREET HELIOPOLIS, CAIRO, EGYPT
Effective Date:	03/11/1999
Foreign Entity:	Yes
Country:	EGYPT
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE SOLE SHAREHOLDER OF THE FIRM, IS AN OWNER OF GLOBAL CAPITAL GROUP S.A.E.

INVESTMENT INTERMEDIARY GLOBAL AD (BULGARIA) is under common control with the firm.

Business Address:	96 G.S. RAKOVSKI STREET SOFIA, BULGARIA 1000
Effective Date:	07/17/1998
Foreign Entity:	Yes
Country:	BULGARIA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE SOLE SHAREHOLDER OF THE FIRM IS AN OWNER OF INVESTMENT INTERMEDIARY GLOBAL AD.

GLOBAL INVESTMENT MANAGEMENT LIMITED N.V. is under common control with the firm.

Business Address:	14, JOHN B. GORSIRAWEG, P.O. BOX 3889
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Firm Operations



Organization Affiliates (continued)

	WILLEMSTAD, CURACAO, NETHERLAND ANTILLES
Effective Date:	03/04/1999
Foreign Entity:	Yes
Country:	NETHERLAND ANTILLES
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE SOLE SHAREHOLDER OF THE FIRM, IS THE PARENT OF GLOBAL INVESTMENT MANAGEMENT LIMITED N.V.

ROMANIAN GROWTH FUND is under common control with the firm.

Business Address:	EUROPA HOUSE, HARCOURT CENTRE, HARCOURT STREET DUBLIN, IRELAND 2
Effective Date:	05/01/1997
Foreign Entity:	Yes
Country:	IRELAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE SOLE SHAREHOLDER OF THE FIRM IS THE PARENT OF GLOBAL EURO-ASIA INVESTMENT MANAGEMENT (DUBLIN) LIMITED, WHICH IS INVESTMENT MANAGER OF ROMANIAN GROWTH FUND PLC.

GLOBAL EURO-ASIA INVESTMENT MANAGEMENT (DUBLIN) LIMITED is under common control with the firm.

Business Address:	EUROPA HOUSE, HARCOURT CENTRE, HARCOURT STREET DUBLIN, IRELAND 2
Effective Date:	01/02/1997
Foreign Entity:	Yes
Country:	IRELAND
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE SOLE SHAREHOLDER OF THE FIRM IS THE PARENT OF GLOBAL EURO-

Firm Operations



Organization Affiliates (continued)

ASIA INVESTMENT MANAGEMENT (DUBLIN) LIMITED.

PERA CLOSED END FUND is under common control with the firm.

Business Address: RIHTIM CAD NO. 57
KARAKOY, ISTANBUL, TURKEY 34425

Effective Date: 01/21/1992

Foreign Entity: Yes

Country: TURKEY

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE SOLE SHAREHOLDER OF THE FIRM IS THE PARENT OF GLOBAL PORTFOY YONETIMI A.S., WHICH IS INVESTMENT MANAGER OF PERA CLOSED END FUND.

TURKISH EQUITY FUND (GLOBAL A TYPE INDEX FUND) is under common control with the firm.

Business Address: RIHTIM CAD NO. 57
KARAKOY, ISTANBUL, TURKEY 34425

Effective Date: 07/19/2000

Foreign Entity: Yes

Country: TURKEY

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE SOLE SHAREHOLDER OF THE FIRM IS THE PARENT OF GLOBAL PORTFOY YONETIMI A.S., WHICH IS INVESTMENT MANAGER OF TURKISH EQUITY FUND (GLOBAL A TYPE INDEX FUND).

TURKISH EQUITY FUND (GLOBAL A TYPE MIXED FUND) is under common control with the firm.

Business Address: RIHTIM CAD NO. 57
KARAKOY, ISTANBUL, TURKEY 34425

Effective Date: 02/09/2000

Foreign Entity: Yes

Country: TURKEY

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE PARENT OF GLOBAL PORTFOY YONETIMI A.S., WHICH IS INVESTMENT MANAGER OF TURKISH EQUITY FUND (GLOBAL A TYPE MIXED FUND).

TURKISH BOND FUND (GLOBAL B TYPE FUND) is under common control with the firm.

Business Address:	RIHTIM CAD NO. 57 KARAKOY, ISTANBUL, TURKEY 34425
Effective Date:	07/16/1999
Foreign Entity:	Yes
Country:	TURKEY
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE SOLE SHAREHOLDER OF THE FIRM IS THE PARENT OF GLOBAL PORTFOY YONETIMI A.S., WHICH IS INVESTMENT MANAGER OF TURKISH BOND FUND (GLOBAL B TYPE FUND).

TURKISH EQUITY AND BOND FUND (GLOBAL A TYPE FUND) is under common control with the firm.

Business Address:	RIHTIM CAD NO. 57 KARAKOY, ISTANBUL, TURKEY 34425
Effective Date:	04/28/1993
Foreign Entity:	Yes
Country:	TURKEY
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE SOLE SHAREHOLDER OF THE FIRM IS THE PARENT OF GLOBAL PORTFOY YONETIMI A.S., WHICH IS INVESTMENT MANAGER OF TURKISH EQUITY AND BOND FUND (GLOBAL A TYPE FUND).

GLOBAL EURO-ASIA INVESTMENT MANAGEMENT (CAYMAN) LIMITED is under common control with the firm.

Business Address:	P.O. BOX 309
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Firm Operations



Organization Affiliates (continued)

	GRAND CAYMAN, CAYMAN ISLANDS, BWI
Effective Date:	01/01/2000
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE SOLE SHAREHOLDER OF THE FIRM, IS THE PARENT OF GLOBAL EURO-ASIA INVESTMENT MANAGEMENT (CAYMAN) LIMITED).

TURKEI 75 PLUS is under common control with the firm.

Business Address:	308, ROUTE D'ESCH LUXEMBOURG, LUXEMBOURG L-1471
Effective Date:	12/01/1999
Foreign Entity:	Yes
Country:	LUXEMBOURG
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE SOLE SHAREHOLDER OF THE FIRM IS CO-INVESTMENT MANAGER OF TURKEI 75 PLUS.

TURKEY MILLENNIUM FUND is under common control with the firm.

Business Address:	P.O. BOX 309 GRAND CAYMAN, CAYMAN ISLANDS
Effective Date:	02/01/2000
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS, BWI
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE SOLE SHAREHOLDER OF THE FIRM IS THE PARENT OF GLOBAL EURO-ASIA INVESTMENT MANAGEMENT (CAYMAN) LIMITED, INVESTMENT

Firm Operations



Organization Affiliates (continued)

MANAGER OF TURKEY MILLENNIUM FUND LIMITED, AND THE PARENT OF GLOBAL INVESTMENT MANAGEMENT LIMITED, INVESTMENT ADVISER OF TURKEY MILLENNIUM FUND LIMITED.

GLOBAL PORTFOY YONETIMI A.S. is under common control with the firm.

Business Address: RIHTIM CAD NO. 57
KARAKOY, ISTANBUL, TURKEY 34425

Effective Date: 10/09/1998

Foreign Entity: Yes

Country: TURKEY

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: THE SOLE SHAREHOLDER OF THE FIRM IS THE PARENT OF GLOBAL PORTFOY YONETIMI A.S.

GLOBAL VALORI MOBILIARE S.A. is under common control with the firm.

Business Address: 12 BIS DR. DRAGHIESCU STREET, SECTOR 5
BUCHAREST, ROMANIA

Effective Date: 05/31/1996

Foreign Entity: Yes

Country: ROMANIA

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: THE SOLE SHAREHOLDER OF THE FIRM IS THE PARENT OF GLOBAL VALORI MOBILIARE S.A.

GLOBAL SECURITIES (KAZAKHSTAN) SJSC is under common control with the firm.

Business Address: 76A MAMETOV STREET, 5TH FLOOR
ALMATY, KAZAKHSTAN 480004

Effective Date: 03/06/1998

Foreign Entity: Yes

Country: KAZAKHSTAN

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE SOLE SHAREHOLDER OF THE FIRM IS PARENT OF GLOBAL SECURITIES (KAZAKHSTAN) SJSC.

GLOBAL YATIRIM HOLDING A.S. controls the firm.

Business Address:	RIHTIM CAD NO. 57 KARAKOY, ISTANBUL, TURKEY 34425
Effective Date:	12/11/1995
Foreign Entity:	Yes
Country:	TURKEY
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	GLOBAL YATIRIM HOLDING A.S. IS THE PARENT THE SOLE SHAREHOLDER OF THE FIRM.

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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