BrokerCheck Report

LEON EDWARD MONTANA

CRD# 2287378

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.
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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.

LEON E. MONTANA

CRD# 2287378

Currently employed by and registered with the following Firm(s):

B **QUATTRO M SECURITIES INC.**
501 FIFTH AVENUE
15TH FLOOR
NEW YORK, NY 10017
CRD# 39289
Registered with this firm since: 05/12/2011

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 3 Self-Regulatory Organizations
- 3 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

B **JEFFERIES EXECUTION SERVICES, INC.**
CRD# 867
NEW YORK, NY
06/2007 - 05/2011

B **MONACO BROKERAGE CORPORATION**
CRD# 33151
MT. KISCO, NY
10/2006 - 06/2007

B **FAGENSON & CO., INC.**
CRD# 1781
NEW YORK, NY
07/2005 - 11/2006

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Judgment/Lien	10

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 3 SROs and is licensed in 3 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **QUATTRO M SECURITIES INC.**

Main Office Address: **501 FIFTH AVENUE**
15TH FLOOR
NEW YORK, NY 10017

Firm CRD#: **39289**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/12/2011
B	FINRA	Securities Trader	Approved	01/04/2016
B	NYSE American LLC	General Securities Representative	Approved	05/12/2011
B	NYSE American LLC	Securities Trader	Approved	01/04/2016
B	New York Stock Exchange	General Securities Representative	Approved	05/12/2011
B	New York Stock Exchange	Member Exchange (NYSE)	Approved	05/16/2011
B	New York Stock Exchange	Securities Trader	Approved	01/04/2016

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	11/17/2020
B	New York	Agent	Approved	05/12/2011
B	Texas	Agent	Approved	04/27/2017

Branch Office Locations

QUATTRO M SECURITIES INC.

Broker Qualifications

Employment 1 of 1, continued

501 FIFTH AVENUE
15TH FLOOR
NEW YORK, NY 10017

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam	Series 57TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	NYSE Trading Assistant Examination	Series 25	04/06/2004
B	Limited Representative-Equity Trader Exam	Series 55	02/29/2000
B	General Securities Representative Examination	Series 7	11/27/1995

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	02/20/2002

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	06/2007 - 05/2011	JEFFERIES EXECUTION SERVICES, INC.	867	NEW YORK, NY
B	10/2006 - 06/2007	MONACO BROKERAGE CORPORATION	33151	MT. KISCO, NY
B	07/2005 - 11/2006	FAGENSON & CO., INC.	1781	NEW YORK, NY
B	11/2003 - 10/2006	RAVEN SECURITIES CORP.	35201	NEW YORK, NY
B	03/2003 - 11/2003	ASSENT LLC	104162	BOLINGBROOK, IL
B	01/2002 - 03/2003	ANDOVER BROKERAGE, L.L.C.	33848	MONTEBELLO, NY
B	11/1995 - 01/2002	PERSHING TRADING COMPANY, L.P.	36671	JERSEY CITY, NJ

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
05/2011 - Present	QUATTRO M SECURITIES, INC	MEMBER	Y	POUND RIDGE, NY, United States
06/2007 - Present	JEFFERIES EXECUTION SERVICES INC.	CLERK	Y	NEW YORK, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

Mr. Montana is 100% owner of MGI, NY INC.
Address 178 Priscilla Drive, Lincroft NJ 07738
Manager duties do not interfere with trading hours.
Not an Investment Related Business

Registration and Employment History

Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Judgment/Lien	10	N/A	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$468,030.67
Judgment/Lien Type:	Tax
Date Filed with Court:	07/15/2025
Date Individual Learned:	10/03/2025
Type of Court:	State Court
Name of Court:	State Court
Location of Court:	Monmouth County, Freehold, NJ
Docket/Case #:	2025055125
Judgment/Lien Outstanding?	Yes
Broker Statement	Individual has been approved to pay taxes in installements commencing 11/10/2025 Toatal amount owed is $468,030.67 This includes $73,513.54 lein on 07/15/2025

Disclosure 2 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$138,933.67

Judgment/Lien Type:	Tax
Date Filed with Court:	04/03/2024
Date Individual Learned:	05/03/2024
Type of Court:	State Court
Name of Court:	Monmouth
Location of Court:	Freehold, NJ
Docket/Case #:	2024021498
Judgment/Lien Outstanding?	Yes
Broker Statement	August 16, 2011, Leon Montana was notified by the IRS that he owed back taxes. Mr. Montana has set up a payment plan with the IRS that he pays each month. Each year the amount owed to the IRS is updated and the case number is updated. The case number this year is 2024021498. This is from the same lien in 2011. We will continue to receive these notifications until Mr. Montana pays off his debt. Please understand this is the same lien that changes due to payments, interest and penalties. This is not a new lien.

Disclosure 3 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$100,827.81
Judgment/Lien Type:	Tax
Date Filed with Court:	02/17/2022
Date Individual Learned:	03/28/2022
Type of Court:	State Court
Name of Court:	Monmouth County Superior Court
Location of Court:	71 Monument St, Freehold, NJ 07728
Docket/Case #:	2022019450
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 10

Reporting Source:	Broker

Judgment/Lien Holder:	FEDERAL LIEN IRS
Judgment/Lien Amount:	$21,199.04
Judgment/Lien Type:	Tax
Date Filed with Court:	06/24/2019
Date Individual Learned:	08/02/2019
Type of Court:	State Court
Name of Court:	MONMOUTH, NJ, COURT
Location of Court:	MONMOUTH NEW JERSEY
Docket/Case #:	2019055324
Judgment/Lien Outstanding?	Yes
Broker Statement	This lien is IRS from Mr. Montana's 2018 tax year. There is an installment agreement in place as of 6/14/2019 to make payments.

Disclosure 5 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	FEDERAL LIEN IRS
Judgment/Lien Amount:	$51,614.21
Judgment/Lien Type:	Tax
Date Filed with Court:	07/03/2018
Date Individual Learned:	11/26/2018
Type of Court:	State Court
Name of Court:	MOMOUTH COUNTY NJ COURT
Location of Court:	MONMOUTH, NEW JERSEY
Docket/Case #:	2018065687
Judgment/Lien Outstanding?	Yes
Broker Statement	This lien his from Mr. Montana's 2015 & 2016 tax year. He has been working with an individual at the IRS to resolve this for sometime and was not aware that a lien was filed. They are in the process of setting up a payment plan. He has been attempting to find out if the Lien is still outstanding or when it is expected to be resolved. Currently this area of the government is shut down and he is wait until it resumes full function to supply more information.

Disclosure 6 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	FEDERAL LIEN IRS
Judgment/Lien Amount:	$36,977.70
Judgment/Lien Type:	Tax
Date Filed with Court:	07/02/2018
Date Individual Learned:	11/26/2018
Type of Court:	State Court
Name of Court:	MONMOUTH NJ COUNTY COURT
Location of Court:	MONMOUTH, NEW JERSEY
Docket/Case #:	2018065214
Judgment/Lien Outstanding?	Yes
Broker Statement	This lien his from Mr. Montana's 2017 tax year. He has been working with an individual at the IRS to resolve this for sometime and was not aware that a lien was filed. They are in the process of setting up a payment plan. He has been attempting to find out if the Lien is still outstanding or when it is expected to be resolved. Currently this area of the government is shut down and he is wait until it resumes full function to supply more information.

Disclosure 7 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	Federal Lien IRS
Judgment/Lien Amount:	$18,241.00
Judgment/Lien Type:	Tax
Date Filed with Court:	09/20/2010
Date Individual Learned:	04/05/2010
Type of Court:	State Court
Name of Court:	Monmouth NJ Court
Location of Court:	Monmouth New Jersey

Judgment/Lien Outstanding?	Yes
Resolution:	Removed
Broker Statement	IRS sent Leon Montana a letter dated 10/03/2014 that all taxes owed from 2008 through 2012 are temporarily closed. the IRS has determined that currently he does not have the ability to pay. He still owes the IRS and they may reopen in the future if his financial situation improves.

Disclosure 8 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	Federal Lien IRS
Judgment/Lien Amount:	$23,172.18
Judgment/Lien Type:	Tax
Date Filed with Court:	09/01/2010
Date Individual Learned:	04/15/2009
Type of Court:	State Court
Name of Court:	Monmouth NJ Court
Location of Court:	Monmouth New Jersey
Docket/Case #:	43999
Judgment/Lien Outstanding?	Yes
Resolution:	Removed
Broker Statement	The IRS sent Leon Montana a letter dated 10/03/2014 that all taxes owed from 2008 through 2012 are temporarily closed. the IRS has determined that currently he does not have the ability to pay. He still owes the IRS and they may reopen in the future if his financial situation improves.

Disclosure 9 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	Federal Lien IRS
Judgment/Lien Amount:	$8,063.00
Judgment/Lien Type:	Tax
Date Filed with Court:	08/09/2010

Date Individual Learned:	04/15/2008
Type of Court:	State Court
Name of Court:	Monmouth NJ Court
Location of Court:	Monmouth New Jersey
Judgment/Lien Outstanding?	Yes
Resolution:	Removed
Broker Statement	The IRS sent Leon Montana a letter dated 10/03/2014 that all taxes owed from 2008 through 2012 are temporarily closed. the IRS has determined that currently he does not have the ability to pay. He still owes the IRS and they may reopen in the future if his financial situation improves.

Disclosure 10 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	Federal Lien IRS
Judgment/Lien Amount:	$24,213.00
Judgment/Lien Type:	Tax
Date Filed with Court:	08/16/2011
Date Individual Learned:	04/15/2011
Type of Court:	State Court
Name of Court:	Monmouth NJ Court
Location of Court:	Monmouth New Jersey
Judgment/Lien Outstanding?	Yes
Resolution:	Removed
Broker Statement	The IRS sent Leon Montana a letter dated 10/03/2014 that all taxes owed from 2008 through 2012 are temporarily closed. the IRS has determined that currently he does not have the ability to pay. He still owes the IRS and they may reopen in the future if his financial situation improves.

End of Report

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