

BrokerCheck Report
NICOLAS J GUERIN
 CRD# 4304247

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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.



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:

- 23 Self-Regulatory Organizations
- 52 U.S. states and territories

This broker has passed:

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

Registration History

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

No information reported.

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
Customer Dispute	1

NICOLAS J. GUERIN

CRD# 4304247

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

- B

SG AMERICAS SECURITIES, LLC

245 PARK AVENUE

NEW YORK, NY 10167

CRD# 128351

Registered with this firm since: 01/01/2005



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 23 SROs and is licensed in 52 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SG AMERICAS SECURITIES, LLC**

Main Office Address: **245 PARK AVENUE
NEW YORK, NY 10167**

Firm CRD#: **128351**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	06/01/2012
B	BOX Exchange LLC	General Securities Representative	Approved	06/01/2012
B	BOX Exchange LLC	Securities Trader Principal	Approved	06/03/2015
B	BOX Exchange LLC	Securities Trader	Approved	01/04/2016
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	11/15/2011
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/15/2011
B	Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	06/03/2015
B	Cboe BYX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/24/2008
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	07/30/2010
B	Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	06/03/2015
B	Cboe BZX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	06/03/2015
B	Cboe C2 Exchange, Inc.	Securities Trader Principal	Approved	06/03/2015
B	Cboe C2 Exchange, Inc.	Securities Trader	Approved	01/04/2016

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	07/16/2021
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/28/2010
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	12/14/2010
B	Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	06/03/2015
B	Cboe EDGA Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/28/2010
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	12/14/2010
B	Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	06/03/2015
B	Cboe EDGX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/01/2005
B	Cboe Exchange, Inc.	Securities Trader Principal	Approved	10/07/2011
B	Cboe Exchange, Inc.	Securities Trader	Approved	01/04/2016
B	Cboe Exchange, Inc.	General Securities Principal	Approved	07/16/2021
B	FINRA	General Securities Representative	Approved	01/01/2005
B	FINRA	Investment Banking Representative	Approved	04/13/2010
B	FINRA	General Securities Principal	Approved	07/30/2010
B	FINRA	Operations Professional	Approved	11/11/2011
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Securities Trader Principal	Approved	02/23/2016
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Investors' Exchange LLC	General Securities Principal	Approved	08/16/2016
B	Investors' Exchange LLC	General Securities Representative	Approved	08/16/2016

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Investors' Exchange LLC	Securities Trader	Approved	08/16/2016
B Investors' Exchange LLC	Securities Trader Principal	Approved	08/16/2016
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	03/23/2024
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	03/23/2024
B Long-Term Stock Exchange, Inc.	Securities Trader	Approved	03/23/2024
B Long-Term Stock Exchange, Inc.	Securities Trader Principal	Approved	03/23/2024
B MEMX LLC	General Securities Principal	Approved	08/01/2023
B MEMX LLC	General Securities Representative	Approved	08/01/2023
B MEMX LLC	Securities Trader	Approved	08/01/2023
B MEMX LLC	Securities Trader Principal	Approved	08/01/2023
B MIAx PEARL, LLC	General Securities Principal	Approved	03/23/2024
B MIAx PEARL, LLC	General Securities Representative	Approved	03/23/2024
B MIAx PEARL, LLC	Securities Trader	Approved	03/23/2024
B MIAx PEARL, LLC	Securities Trader Principal	Approved	03/23/2024
B NYSE American LLC	General Securities Representative	Approved	01/01/2005
B NYSE American LLC	General Securities Principal	Approved	07/30/2010
B NYSE American LLC	Securities Trader Principal	Approved	06/03/2015
B NYSE American LLC	Securities Trader	Approved	01/04/2016
B NYSE Arca, Inc.	General Securities Representative	Approved	01/01/2005
B NYSE Arca, Inc.	General Securities Principal	Approved	07/30/2010
B NYSE Arca, Inc.	Securities Trader Principal	Approved	06/03/2015
B NYSE Arca, Inc.	Securities Trader	Approved	01/04/2016

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE National, Inc.	General Securities Principal	Approved	10/08/2018
B	NYSE National, Inc.	General Securities Representative	Approved	10/08/2018
B	NYSE National, Inc.	Securities Trader	Approved	10/08/2018
B	NYSE National, Inc.	Securities Trader Principal	Approved	10/08/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	01/01/2005
B	NYSE Texas, Inc.	General Securities Principal	Approved	07/30/2010
B	NYSE Texas, Inc.	Securities Trader Principal	Approved	06/03/2015
B	NYSE Texas, Inc.	Securities Trader	Approved	01/04/2016
B	Nasdaq BX, Inc.	General Securities Representative	Approved	01/01/2005
B	Nasdaq BX, Inc.	General Securities Principal	Approved	07/30/2010
B	Nasdaq BX, Inc.	Securities Trader Principal	Approved	11/11/2011
B	Nasdaq BX, Inc.	Securities Trader	Approved	01/04/2016
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	06/03/2015
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	06/03/2015
B	Nasdaq GEMX, LLC	Securities Trader Principal	Approved	06/03/2015
B	Nasdaq GEMX, LLC	Securities Trader	Approved	01/04/2016
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/01/2005
B	Nasdaq ISE, LLC	General Securities Principal	Approved	10/07/2011
B	Nasdaq ISE, LLC	Securities Trader Principal	Approved	10/07/2011
B	Nasdaq ISE, LLC	Securities Trader	Approved	01/04/2016
B	Nasdaq MRX, LLC	General Securities Principal	Approved	01/20/2017
B	Nasdaq MRX, LLC	General Securities Representative	Approved	01/20/2017

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Nasdaq MRX, LLC	Securities Trader	Approved	01/20/2017
B	Nasdaq MRX, LLC	Securities Trader Principal	Approved	01/20/2017
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/01/2005
B	Nasdaq PHLX LLC	General Securities Principal	Approved	07/30/2010
B	Nasdaq PHLX LLC	Securities Trader Principal	Approved	06/01/2012
B	Nasdaq PHLX LLC	Securities Trader	Approved	01/04/2016
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Principal	Approved	07/30/2010
B	Nasdaq Stock Market	Securities Trader Principal	Approved	11/11/2011
B	Nasdaq Stock Market	Securities Trader	Approved	01/04/2016
B	New York Stock Exchange	General Securities Representative	Approved	01/01/2005
B	New York Stock Exchange	General Securities Principal	Approved	07/30/2010
B	New York Stock Exchange	Securities Trader	Approved	02/23/2016
B	New York Stock Exchange	Securities Trader Principal	Approved	02/23/2016

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	05/18/2007
B	Alaska	Agent	Approved	05/18/2007
B	Arizona	Agent	Approved	05/18/2007
B	Arkansas	Agent	Approved	05/18/2007
B	California	Agent	Approved	05/18/2007
B	Colorado	Agent	Approved	05/18/2007

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	05/18/2007
B	Delaware	Agent	Approved	05/18/2007
B	District of Columbia	Agent	Approved	05/18/2007
B	Florida	Agent	Approved	05/18/2007
B	Georgia	Agent	Approved	05/18/2007
B	Hawaii	Agent	Approved	05/18/2007
B	Idaho	Agent	Approved	05/18/2007
B	Illinois	Agent	Approved	05/18/2007
B	Indiana	Agent	Approved	05/18/2007
B	Iowa	Agent	Approved	05/18/2007
B	Kansas	Agent	Approved	05/18/2007
B	Kentucky	Agent	Approved	05/18/2007
B	Louisiana	Agent	Approved	05/18/2007
B	Maine	Agent	Approved	05/18/2007
B	Maryland	Agent	Approved	05/18/2007
B	Massachusetts	Agent	Approved	05/18/2007
B	Michigan	Agent	Approved	05/18/2007
B	Minnesota	Agent	Approved	05/18/2007
B	Mississippi	Agent	Approved	05/18/2007
B	Missouri	Agent	Approved	05/18/2007
B	Montana	Agent	Approved	05/18/2007

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	05/18/2007
B	Nevada	Agent	Approved	05/18/2007
B	New Hampshire	Agent	Approved	05/18/2007
B	New Jersey	Agent	Approved	05/18/2007
B	New Mexico	Agent	Approved	05/18/2007
B	New York	Agent	Approved	05/27/2005
B	North Carolina	Agent	Approved	05/21/2007
B	North Dakota	Agent	Approved	05/18/2007
B	Ohio	Agent	Approved	05/21/2007
B	Oklahoma	Agent	Approved	05/18/2007
B	Oregon	Agent	Approved	05/18/2007
B	Pennsylvania	Agent	Approved	05/18/2007
B	Puerto Rico	Agent	Approved	05/18/2007
B	Rhode Island	Agent	Approved	05/18/2007
B	South Carolina	Agent	Approved	05/18/2007
B	South Dakota	Agent	Approved	05/18/2007
B	Tennessee	Agent	Approved	05/18/2007
B	Texas	Agent	Approved	05/18/2007
B	Utah	Agent	Approved	05/18/2007
B	Vermont	Agent	Approved	05/18/2007
B	Virginia	Agent	Approved	05/18/2007



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	05/18/2007
B	West Virginia	Agent	Approved	05/18/2007
B	Wisconsin	Agent	Approved	05/18/2007
B	Wyoming	Agent	Approved	05/18/2007

Branch Office Locations

SG AMERICAS SECURITIES, LLC
245 PARK AVENUE
NEW YORK, NY 10167



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 1 principal/supervisory exam, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	07/29/2010

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Trader Exam	Series 57TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/23/2004

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/26/2005

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
No information reported.			

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
12/2021 - Present	Societe Generale	Head of CSF FI Origination	Y	New York, NY, United States
08/2004 - Present	SG AMERICAS SECURITIES, LLC	INTERMEDIATE SALESPERSON / V.P.	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.

No information reported.

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.
 -
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
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SG AMERICAS SECURITIES, LLC
Allegations:	THE REGISTERED REPRESENTATIVE WAS ONE OF THE SUBJECTS OF A 2013 FINRA ARBITRATION FILED BY THE PURCHASER OF HEDGE-FUND-LINKED WARRANTS. THE WARRANTS WERE PURCHASED IN MAY 2007 AND EXPIRED JULY 2012. THE PURCHASER (A SOPHISTICATED FAMILY OFFICE) ALLEGED IT HAD SUFFERED CERTAIN LOSSES IN THE VALUE OF THE WARRANTS BECAUSE, AMONG OTHER CLAIMS, AFFILIATES OF SGAS DID NOT IMPLEMENT THE DYNAMIC LEVERAGE POLICY IN THE UNDERLYING FUND LINKED TO THE WARRANTS ACCORDING TO THE TERMS OF THE WARRANTS AND REPRESENTATIONS ALLEGEDLY MADE BY THE SGAS REGISTERED REPRESENTATIVE.
Product Type:	Derivative Options
Alleged Damages:	\$10,200,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT SOUGHT ITS NET LOSS ON ITS INVESTMENT PLUS INTEREST, ATTORNEYS FEES, AND PUNITIVE DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	No



**Is this an arbitration/CFTC
reparation or civil litigation?**

Yes

**Arbitration/Reparation forum
or court name and location:**

FINRA DISPUTE RESOLUTION

Docket/Case #:

13-01297

**Filing date of
arbitration/CFTC reparation
or civil litigation:**

05/03/2013

Customer Complaint Information

Date Complaint Received:

05/20/2013

Complaint Pending?

No

Status:

Settled

Status Date:

07/29/2014

Settlement Amount:

\$1,375,000.00

**Individual Contribution
Amount:**

\$0.00

Broker Statement

THE ALLEGATIONS ARE DISPUTED AND ALL LIABILITY WAS AND IS DENIED.

End of Report



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