BrokerCheck Report

Lorena Souza Brasil

CRD# 7212945

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.

Lorena Souza Brasil

CRD# 7212945

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

B **THE BENCHMARK COMPANY, LLC**
150 E 58th Street
17th Floor
NEW YORK, NY 10155
CRD# 22982
Registered with this firm since: 09/05/2025

B **R.J. O'BRIEN SECURITIES, LLC**
329 PARK AVENUE NORTH
SUITE 350
WINTER PARK, FL 32789
CRD# 143624
Registered with this firm since: 09/05/2025

B **STONEX SECURITIES INC.**
329 PARK AVENUE N.
SUITE 350
WINTER PARK, FL 32789
CRD# 18456
Registered with this firm since: 10/04/2022

B **STONEX FINANCIAL INC.**
329 PARK AVENUE NORTH
SUITE 350
WINTER PARK, FL 32789
CRD# 45993
Registered with this firm since: 09/23/2022

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:

- 2 Self-Regulatory Organizations
- 0 U.S. states and territories

This broker has passed:

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

Registration History

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

B **STONEX OUTSOURCED SERVICES LLC**
CRD# 30773
WINTER PARK, FL
10/2022 - 12/2024

B **TRADESTATION SECURITIES, INC.**
CRD# 39473
PLANTATION, FL
03/2022 - 09/2022

B **AVENUE SECURITIES LLC**
CRD# 292589
MIAMI, FL
06/2020 - 03/2022

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
Financial	4

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

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 2 SROs and is licensed in 0 U.S. states and territories through his or her employer.

Employment 1 of 4

Firm Name: **R.J. O'BRIEN SECURITIES, LLC**

Main Office Address: **222 SOUTH RIVERSIDE PLAZA, SUITE 1200**
CHICAGO, IL 60606

Firm CRD#: **143624**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/05/2025
B	FINRA	General Securities Representative	Approved	09/05/2025

Branch Office Locations

R.J. O'BRIEN SECURITIES, LLC
329 PARK AVENUE NORTH
SUITE 350
WINTER PARK, FL 32789

Employment 2 of 4

Firm Name: **STONEX FINANCIAL INC.**

Main Office Address: **329 PARK AVENUE NORTH**
SUITE 350
WINTER PARK, FL 32789

Firm CRD#: **45993**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/23/2022
B	FINRA	General Securities Representative	Approved	09/23/2022
B	Nasdaq Stock Market	General Securities Principal	Approved	06/27/2025

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

Broker Qualifications

Employment 2 of 4, continued

	SRO	Category	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	06/27/2025

Branch Office Locations

STONEX FINANCIAL INC.
329 PARK AVENUE NORTH
SUITE 350
WINTER PARK, FL 32789

Employment 3 of 4

Firm Name: **STONEX SECURITIES INC.**

Main Office Address: **2 PERIMETER PARK SOUTH**
SUITE 500 WEST
BIRMINGHAM, AL 35243

Firm CRD#: **18456**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/04/2022
B	FINRA	General Securities Representative	Approved	10/04/2022

Branch Office Locations

STONEX SECURITIES INC.
329 PARK AVENUE N.
SUITE 350
WINTER PARK, FL 32789

Employment 4 of 4

Firm Name: **THE BENCHMARK COMPANY, LLC**

Main Office Address: **150 E 58TH STREET**
17TH FLOOR
NEW YORK, NY 10155

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

Broker Qualifications

Employment 4 of 4, continued

Firm CRD#: **22982**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/05/2025
B	FINRA	General Securities Representative	Approved	09/05/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	09/05/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	09/05/2025

Branch Office Locations

THE BENCHMARK COMPANY, LLC
150 E 58th Street
17th Floor
NEW YORK, NY 10155

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

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, 3 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	09/08/2020

General Industry/Product Exams

	Exam	Category	Date
B	National Commodity Futures Examination	Series 3	04/11/2022
B	General Securities Representative Examination	Series 7TO	06/12/2020
B	Securities Industry Essentials Examination	SIE	01/24/2020

State Securities Law Exams

Exam	Category	Date
No information reported.		

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/.

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

Broker Qualifications

Professional Designations

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

No information reported.

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	10/2022 - 12/2024	STONEX OUTSOURCED SERVICES LLC	30773	WINTER PARK, FL
B	03/2022 - 09/2022	TRADESTATION SECURITIES, INC.	39473	PLANTATION, FL
B	06/2020 - 03/2022	AVENUE SECURITIES LLC	292589	MIAMI, FL

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
09/2025 - Present	RJ OBRIEN ASSOCIATES LLC	REGISTERED REP	Y	WINTER PARK, FL, United States
09/2025 - Present	THE BENCHMARK COMPANY LLC	REGISTERED REP	Y	WINTER PARK, FL, United States
09/2022 - Present	STONEX FINANCIAL INC.	Assistant Vice President - Regulatory Affairs	Y	WINTER PARK, FL, United States
09/2022 - Present	STONEX GROUP INC.	EMPLOYEE	Y	WINTER PARK, FL, United States
09/2022 - Present	STONEX SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	WINTER PARK, FL, United States
09/2022 - 12/2024	STONEX OUTSOURCED SERVICES LLC	Registered Representative	Y	WINTER PARK, FL, United States
03/2022 - 09/2022	TradeStation Securities Inc	Compliance - Regulatory Coordinator	Y	MIAMI, FL, United States
07/2020 - 02/2022	AVENUE GLOBAL ADVISORS, LLC	Registered Representative	Y	MIAMI, FL, United States
12/2019 - 02/2022	Avenue Securities, LLC.	Compliance Coordinator	Y	Miami, FL, United States

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2019 - 12/2019	Club Med Inc.	Legal Intern	N	Miami, FL, United States
07/2015 - 12/2019	Green & Piotrkowski, PLLC	Paralegal & Bookkeeper	N	Miami, FL, 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.

1) Name of Firm: Green & Piotrkowski, PLLC
Investment Related: No
Address: 317 71st Street, Miami, FL 33141
Nature of Business: Law Firm
Position: Bookkeeper
Hours Devoted Weekly: 5 hours
Duties: Reconciliation of bank related transactions
Start Date: 07/13/2015
Hours Devoted Weekly: 20 hours weekly

2) Registered Representative may be coded as employee of parent or an affiliate of the parent. The employee may also have various roles for the Firm's affiliates including but not limited to Board positions, please refer to Item 12, employment section, of the U4 for information. Hours may vary as dictated by corporate needs.

3) LIFESTYLE INTERNATIONAL REALTY LLC - 8300 NW 53rd St Suite 404, Doral, FL 33166
Nature of Business: It is a real estate brokerage firm and I am getting affiliated to the firm for the purpose of getting a commission on a transaction I am referring to another real estate agent.
Investment Related: No
Business Position: Real Estate Sales Associate
Business Duties: It is a real estate brokerage firm and I am getting affiliated to the firm for the purpose of getting a commission on the purchase of my own single family home.
Business Start Date: 05/2023
Hours Devoted Monthly: 1 hour

4) Name: FLFLH COMPANY LLC - 2851 POLVADERO LANE APT 104 ORLANDO, FL 32835
Nature of Business: Wood Flooring, Vinyl Plank, SPC, Laminate, Hardwood, Base Boards installation
Investment Related: No
Business Position: AMBR
Business Duties: Partner
Business Start Date: 01/12/2024

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

Registration and Employment History

Other Business Activities, continued

Approximately one hour spent on this OBA monthly, with one spent during market hours.

5) Rental Property; NOT investment related; Miami, FL; Owner; 09/2024; 0 hrs/month; I own a house in Miami and I am renting it for an year.

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

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:**
    - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
    - o 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.
    - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
    - o 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.
    - o
4. **There are different statuses and dispositions for disclosure events:**
    - o 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.
    - o 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
Financial	0	4	N/A

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

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.

Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 4

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	07/15/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	07/15/2020
If a compromise with creditor, provide:	
Name of Creditor:	Citibank, N.A.
Original Amount Owed:	$13,103.46
Terms Reached with Creditor:	GC Services, on behalf of Citibank, N.A., agreed to accept payment of $6,552.00 to settle the outstanding debt, which was paid in full. The matter did not go to court. Beyond Finance was hired to negotiate the debt on behalf of Ms. Souza Brasil due to a financial hardship in 2019/2020 that has since been resolved.

Disclosure 2 of 4

Reporting Source:	Broker

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

Action Type:	Compromise
Action Date:	07/21/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	07/21/2020
If a compromise with creditor, provide:	
Name of Creditor:	Care Credit / Synchrony Bank
Original Amount Owed:	$2,094.60
Terms Reached with Creditor:	Synchrony Bank agreed to settle and report the account as "account paid in full for less than full balance". The matter never went to court. Ms. Souza Brasil settled the debt due to a financial hardship in 2019/2020 that has since been resolved.

Disclosure 3 of 4

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	12/30/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	12/30/2019
If a compromise with creditor, provide:	
Name of Creditor:	Prosper Marketplace, Inc.
Original Amount Owed:	$4,536.39
Terms Reached with Creditor:	Phillips & Cohen, on behalf of Prosper Marketplace, Inc., agreed to accept payment of $2,133.00 to settle this debt, which was paid in full. The matter never

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

went to court. Beyond Finance was hired to negotiate the debt on behalf of Ms. Souza Brasil due to a financial hardship in 2019/2020 that has since been resolved.

Disclosure 4 of 4

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	04/16/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	04/16/2020
If a compromise with creditor, provide:	
Name of Creditor:	Barclays Bank
Original Amount Owed:	$1,782.33
Terms Reached with Creditor:	Barclays Bank agreed to accept payment of $803.00 to settle this debt, which was paid in full. The matter never went to court. Beyond Finance was hired to negotiate the debt on behalf of Ms. Souza Brasil due to a financial hardship in 2019/2020 that has since been resolved.

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.

End of Report

This page is intentionally left blank.

�2025 FINRA. All rights reserved. Report about Lorena Souza Brasil.