



## IAPD Report

# MARIO MATTHEW GIRONE

CRD# 2625354

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### MARIO MATTHEW GIRONE (CRD# 2625354)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/23/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	09/29/2014
<b>IA</b>	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	09/29/2014

### QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **28** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	HSBC SECURITIES (USA) INC.	19585	BROOKLYN, NY	03/18/2008 - 10/07/2014
<b>B</b>	HSBC SECURITIES (USA) INC.	19585	BROOKLYN, NY	01/01/2005 - 10/07/2014
<b>B</b>	HSBC BROKERAGE (USA) INC.	6956	NEW YORK, NY	12/03/2004 - 01/01/2005

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **28** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **CITIGROUP GLOBAL MARKETS INC.**  
Main Address: 388 GREENWICH STREET  
NEW YORK, NY 10013  
Firm ID#: 7059

Regulator	Registration	Status	Date
<b>B</b> 24X National Exchange LLC	General Securities Principal	Approved	10/19/2025
<b>B</b> 24X National Exchange LLC	General Securities Representative	Approved	10/19/2025
<b>B</b> 24X National Exchange LLC	Securities Trader	Approved	10/19/2025
<b>B</b> 24X National Exchange LLC	Securities Trader Principal	Approved	10/19/2025
<b>B</b> BOX Exchange LLC	General Securities Principal	Approved	04/15/2020
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	04/15/2020
<b>B</b> BOX Exchange LLC	General Securities Sales Supervisor	Approved	04/15/2020
<b>B</b> BOX Exchange LLC	Securities Trader	Approved	11/06/2024
<b>B</b> BOX Exchange LLC	Securities Trader Principal	Approved	11/06/2024
<b>B</b> Cboe BYX Exchange, Inc.	General Securities Principal	Approved	09/29/2014
<b>B</b> Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/29/2014
<b>B</b> Cboe BYX Exchange, Inc.	Securities Trader	Approved	11/06/2024
<b>B</b> Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	11/06/2024



### Qualifications

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	09/29/2014
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/29/2014
B Cboe BZX Exchange, Inc.	Securities Trader	Approved	11/06/2024
B Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	11/06/2024
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	04/15/2020
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	04/15/2020
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	11/06/2024
B Cboe C2 Exchange, Inc.	Securities Trader	Approved	11/06/2024
B Cboe C2 Exchange, Inc.	Securities Trader Principal	Approved	11/06/2024
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	05/14/2015
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/14/2015
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	05/14/2015
B Cboe EDGA Exchange, Inc.	Securities Trader	Approved	11/06/2024
B Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	11/06/2024
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	05/14/2015
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/14/2015
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	05/14/2015
B Cboe EDGX Exchange, Inc.	Securities Trader	Approved	11/06/2024
B Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	11/06/2024



## Qualifications

Regulator	Registration	Status	Date
B Cboe Exchange, Inc.	General Securities Representative	Approved	09/29/2014
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	09/29/2014
B Cboe Exchange, Inc.	General Securities Principal	Approved	11/06/2024
B Cboe Exchange, Inc.	Securities Trader	Approved	11/06/2024
B Cboe Exchange, Inc.	Securities Trader Principal	Approved	11/06/2024
B FINRA	Corporate Securities Represent	Approved	09/29/2014
B FINRA	General Securities Principal	Approved	09/29/2014
B FINRA	General Securities Representative	Approved	09/29/2014
B FINRA	General Securities Sales Supervisor	Approved	09/29/2014
B FINRA	Securities Trader	Approved	01/04/2016
B FINRA	Securities Trader Principal	Approved	08/03/2018
B Investors' Exchange LLC	General Securities Principal	Approved	08/19/2016
B Investors' Exchange LLC	General Securities Representative	Approved	08/19/2016
B Investors' Exchange LLC	Securities Trader	Approved	08/19/2016
B Investors' Exchange LLC	Securities Trader Principal	Approved	11/06/2024
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	11/06/2024
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/06/2024
B Long-Term Stock Exchange, Inc.	Securities Trader	Approved	11/06/2024



### Qualifications

Regulator	Registration	Status	Date
B Long-Term Stock Exchange, Inc.	Securities Trader Principal	Approved	11/06/2024
B MEMX LLC	General Securities Principal	Approved	11/06/2024
B MEMX LLC	General Securities Representative	Approved	11/06/2024
B MEMX LLC	General Securities Sales Supervisor	Approved	11/06/2024
B MEMX LLC	Securities Trader	Approved	11/06/2024
B MEMX LLC	Securities Trader Principal	Approved	11/06/2024
B MIAX Emerald, LLC	General Securities Principal	Approved	04/15/2020
B MIAX Emerald, LLC	General Securities Representative	Approved	04/15/2020
B MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B MIAX Emerald, LLC	Securities Trader	Approved	11/06/2024
B MIAX Emerald, LLC	Securities Trader Principal	Approved	11/06/2024
B MIAX PEARL, LLC	General Securities Principal	Approved	04/15/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	04/15/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B MIAX PEARL, LLC	Securities Trader	Approved	11/06/2024
B MIAX PEARL, LLC	Securities Trader Principal	Approved	11/06/2024
B MIAX Sapphire	General Securities Principal	Approved	09/23/2024
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024

**Qualifications**

<b>Regulator</b>	<b>Registration</b>	<b>Status</b>	<b>Date</b>
<b>B</b> MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
<b>B</b> MIAX Sapphire	Securities Trader	Approved	11/06/2024
<b>B</b> MIAX Sapphire	Securities Trader Principal	Approved	11/06/2024
<b>B</b> Miami International Securities Exchange, LLC	General Securities Principal	Approved	04/15/2020
<b>B</b> Miami International Securities Exchange, LLC	General Securities Representative	Approved	04/15/2020
<b>B</b> Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	04/15/2020
<b>B</b> Miami International Securities Exchange, LLC	Securities Trader	Approved	11/06/2024
<b>B</b> Miami International Securities Exchange, LLC	Securities Trader Principal	Approved	11/06/2024
<b>B</b> NYSE American LLC	Corporate Securities Represent	Approved	09/29/2014
<b>B</b> NYSE American LLC	General Securities Principal	Approved	09/29/2014
<b>B</b> NYSE American LLC	General Securities Representative	Approved	09/29/2014
<b>B</b> NYSE American LLC	Securities Manager	Approved	09/29/2014
<b>B</b> NYSE American LLC	Securities Trader	Approved	01/04/2016
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b> NYSE American LLC	Securities Trader Principal	Approved	11/06/2024
<b>B</b> NYSE Arca, Inc.	General Securities Principal	Approved	05/14/2015
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	05/14/2015



### Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	05/14/2015
B NYSE Arca, Inc.	Securities Trader	Approved	11/06/2024
B NYSE Arca, Inc.	Securities Trader Principal	Approved	11/06/2024
B NYSE National, Inc.	Corporate Securities Represent	Approved	08/03/2018
B NYSE National, Inc.	General Securities Principal	Approved	08/03/2018
B NYSE National, Inc.	General Securities Representative	Approved	08/03/2018
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	08/03/2018
B NYSE National, Inc.	Securities Trader	Approved	08/03/2018
B NYSE National, Inc.	Securities Trader Principal	Approved	08/03/2018
B NYSE Texas, Inc.	Corporate Securities Represent	Approved	05/14/2015
B NYSE Texas, Inc.	General Securities Principal	Approved	05/14/2015
B NYSE Texas, Inc.	General Securities Representative	Approved	05/14/2015
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	04/15/2020
B NYSE Texas, Inc.	Securities Trader	Approved	11/06/2024
B NYSE Texas, Inc.	Securities Trader Principal	Approved	11/06/2024
B Nasdaq GEMX, LLC	General Securities Principal	Approved	04/15/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	04/15/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B Nasdaq GEMX, LLC	Securities Trader	Approved	11/06/2024



## Qualifications

Regulator	Registration	Status	Date
B Nasdaq GEMX, LLC	Securities Trader Principal	Approved	11/06/2024
B Nasdaq ISE, LLC	General Securities Principal	Approved	05/14/2015
B Nasdaq ISE, LLC	General Securities Representative	Approved	05/14/2015
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq ISE, LLC	Securities Trader	Approved	11/06/2024
B Nasdaq ISE, LLC	Securities Trader Principal	Approved	11/06/2024
B Nasdaq MRX, LLC	General Securities Principal	Approved	04/15/2020
B Nasdaq MRX, LLC	General Securities Representative	Approved	04/15/2020
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B Nasdaq MRX, LLC	Securities Trader	Approved	11/06/2024
B Nasdaq MRX, LLC	Securities Trader Principal	Approved	11/06/2024
B Nasdaq PHLX LLC	General Securities Principal	Approved	09/29/2014
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/29/2014
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/29/2014
B Nasdaq PHLX LLC	Securities Trader	Approved	11/06/2024
B Nasdaq PHLX LLC	Securities Trader Principal	Approved	11/06/2024
B Nasdaq Stock Market	Corporate Securities Represent	Approved	09/29/2014
B Nasdaq Stock Market	General Securities Principal	Approved	09/29/2014
B Nasdaq Stock Market	General Securities Representative	Approved	09/29/2014



## Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	09/29/2014
B Nasdaq Stock Market	Securities Trader	Approved	01/04/2016
B Nasdaq Stock Market	Securities Trader Principal	Approved	11/06/2024
B Nasdaq Texas, LLC	General Securities Principal	Approved	09/29/2014
B Nasdaq Texas, LLC	General Securities Representative	Approved	09/29/2014
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	09/29/2014
B Nasdaq Texas, LLC	Securities Trader	Approved	11/06/2024
B Nasdaq Texas, LLC	Securities Trader Principal	Approved	11/06/2024
B New York Stock Exchange	Corporate Securities Represent	Approved	09/29/2014
B New York Stock Exchange	General Securities Principal	Approved	09/29/2014
B New York Stock Exchange	General Securities Representative	Approved	09/29/2014
B New York Stock Exchange	Securities Manager	Approved	09/29/2014
B New York Stock Exchange	Securities Trader	Approved	01/04/2016
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B New York Stock Exchange	Securities Trader Principal	Approved	11/06/2024
B Alabama	Agent	Approved	02/02/2017
IA Alabama	Investment Adviser Representative	Approved	02/07/2017
B Arizona	Agent	Approved	02/24/2016
B California	Agent	Approved	01/16/2015



### Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	12/08/2023
B Connecticut	Agent	Approved	02/04/2015
B Delaware	Agent	Approved	03/23/2021
B District of Columbia	Agent	Approved	09/19/2019
B Florida	Agent	Approved	02/09/2015
B Georgia	Agent	Approved	07/18/2018
B Illinois	Agent	Approved	02/04/2015
B Indiana	Agent	Approved	04/21/2021
B Louisiana	Agent	Approved	03/23/2021
B Maryland	Agent	Approved	03/23/2021
B Massachusetts	Agent	Approved	04/10/2019
B Michigan	Agent	Approved	02/17/2022
B Missouri	Agent	Approved	12/11/2023
B Nevada	Agent	Approved	02/06/2024
B New Hampshire	Agent	Approved	03/23/2021
B New Jersey	Agent	Approved	09/29/2014
B New York	Agent	Approved	09/29/2014
IA New York	Investment Adviser Representative	Approved	08/17/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> North Carolina	Agent	Approved	10/12/2018
<b>B</b> Ohio	Agent	Approved	02/04/2015
<b>B</b> Pennsylvania	Agent	Approved	02/05/2015
<b>B</b> Puerto Rico	Agent	Approved	08/15/2022
<b>IA</b> Puerto Rico	Investment Adviser Representative	Approved	06/04/2025
<b>B</b> Rhode Island	Agent	Approved	03/23/2021
<b>B</b> Texas	Agent	Approved	02/04/2015
<b>B</b> Virginia	Agent	Approved	10/04/2018
<b>B</b> Washington	Agent	Approved	02/09/2015

### Branch Office Locations

**CITIGROUP GLOBAL MARKETS INC.**  
Staten Island, NY

**CITIGROUP GLOBAL MARKETS INC.**  
CWM Retail, Sales  
52 East 14th Street  
New York, NY 10003






## Qualifications

### PASSED INDUSTRY EXAMS






This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/03/2005
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/10/2005
 General Securities Principal Examination (S24)	Series 24	05/25/2001

#### General Industry/Product Exams

Exam	Category	Date
 Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/19/2004
 Limited Representative-Equity Trader Exam (S55)	Series 55	09/29/1999
 Corporate Securities Limited Representative Examination (S62)	Series 62	01/31/1997

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/17/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/08/1997



## PROFESSIONAL DESIGNATIONS

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

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	03/18/2008 - 10/07/2014	HSBC SECURITIES (USA) INC.	CRD# 19585	BROOKLYN, NY
B	01/01/2005 - 10/07/2014	HSBC SECURITIES (USA) INC.	CRD# 19585	BROOKLYN, NY
B	12/03/2004 - 01/01/2005	HSBC BROKERAGE (USA) INC.	CRD# 6956	NEW YORK, NY
B	02/24/2004 - 11/30/2004	ASSENT LLC	CRD# 104162	BOLINGBROOK, IL
B	09/02/1998 - 10/07/2002	ANDOVER BROKERAGE, L.L.C.	CRD# 33848	MONTEBELLO, NY
B	11/21/1997 - 08/19/1998	BRIARWOOD INVESTMENT COUNSEL	CRD# 6368	NEW YORK, NY
B	03/20/1997 - 11/21/1997	MAIDSTONE FINANCIAL, INC.	CRD# 31804	NEW YORK, NY

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2014 - Present	CITIGROUP	FINANCIAL ADVISOR	Y	BROOKLYN, NY, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

Marnico Management LLC; Rental Property; Investment-related; New York, NY; Affiliation started 11/10/2009; Title: President; Duties: Landlord-residential 2 units; No time is devoted to the business each month during security trading hours; 10 hours are devoted to the business each month outside security trading hours. // Quickflip Management LLC (real estate); Investment-related; North Bergen, NJ/Union City, NJ; Affiliation started 06/21/2017; Title: Managing Member; Duties: Manage real estate and rentals; No time is devoted to the business each month during securities trading hours; 8 hours are devoted to the business each month outside of securities trading hours. // 26 Liberty Ave LLC; Real Estate; Investment-related; Staten Island, NY; Affiliation started on 06/10/2019; Title: Member; Duties Manage real estate; 0 hours devoted each month during securities trading hours; 5 hours devoted each month outside securities trading hours. // Marsveta Properties LLC; Real Estate; Investment-related; Morganville, NJ; Affiliation started on 06/01/2016; Title: member; Duties: Rental real estate; 2 hours devoted each month during securities trading hours; 2 hours devoted each month outside securities trading hours. // Svetochki LLC; Real Estate;



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Investment-related; Union City, NJ; Affiliation started on 06/01/2016; Title: Member; Duties: Rental property and buy and sell real estate; 4 hours devoted each month during securities trading hours; 4 hours devoted each month outside securities trading hours.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	HSBC SECURITIES (USA) INC.
<b>Allegations:</b>	CUSTOMER ALLEGES MISREPRESENTATION REGARDING AN INSURANCE POLICY SOLD TO HIM BY THE REGISTERED REPRESENTATIVE. SPECIFICALLY, THE CUSTOMER ALLEGES THAT THE REGISTERED REPRESENTATIVE INCORRECTLY INFORMED HIM THAT THE POLICY WAS A 10 PAY POLICY AND THAT IT WOULD PROVIDE HIM WITH TAX FREE RETIREMENT INCOME. CUSTOMER DEMANDS RETURN OF HIS FULL PREMIUM.
<b>Product Type:</b>	Insurance
<b>Alleged Damages:</b>	\$30,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	THE CUSTOMER DEMANDS FULL RETURN OF HIS PREMIUM. THE AMOUNT OF THE PREMIUM WAS NOT PROVIDED BY THE CUSTOMER. HOWEVER, OUR REVIEW REVEALED THAT THE INITIAL PREMIUM PAID ON THE POLICY WAS \$30,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

**Date Complaint Received:** 06/04/2014



<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	06/13/2014
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	OUR REVIEW UNCOVERED THAT THE CUSTOMER CONTACTED MET LIFE DIRECTLY FOR POLICY RELATED INFORMATION. HSBC DETERMINED THAT MET LIFE PROVIDED THE CUSTOMER WITH THE INCORRECT INFORMATION THAT IS THE SUBJECT OF THIS COMPLAINT. THEREFORE, WE HAVE CONCLUDED THAT THERE IS NO MERIT TO THE CUSTOMER'S ALLEGATIONS AGAINST THE REGISTERED REPRESENTATIVE. THE FIRM DENIED THE CUSTOMER COMPLAINT ACCORDINGLY.

**Disclosure 2 of 2**

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	HSBC SECURITIES (USA) INC.
<b>Allegations:</b>	CLAIMANT ALLEGED REGISTERED REPRESENTATIVE WAS INVOLVED IN "SOLICITING AND ENCOURAGING HIM TO BUY ONLY BANK STOCKS IN HIS PORTFOLIO."
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	ALLEGED COMPENSATORY DAMAGES OF NO LESS THAN \$50,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	12-02761
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/25/2012

**Customer Complaint Information**

<b>Date Complaint Received:</b>	08/07/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	09/03/2013
<b>Settlement Amount:</b>	\$2,000.00



**Individual Contribution Amount:** \$0.00



## End of Report

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