



## BrokerCheck Report

# LIVINGSTON FINANCIALS | SECURITIES, LLC

CRD# 147364

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Firm Profile	2 - 5
Firm History	6
Firm Operations	7 - 13



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

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This firm is classified as a limited liability company.

This firm was formed in New York on 10/10/2006.

Its fiscal year ends in December.

### Firm History

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Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

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**This firm is registered with:**

- the SEC
- 1 Self-Regulatory Organization
- 38 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 11 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

### Disclosure Events

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Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in New York on 10/10/2006.

Its fiscal year ends in December.



## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

### LIVINGSTON SECURITIES, LLC

Doing business as LIVINGSTON SECURITIES, LLC

CRD# 147364

SEC# 8-67901

### Main Office Location

626 REXCORP PLAZA  
SUITE 603, WEST TOWER  
UNIONDALE, NY 11556

Regulated by FINRA Long Island Office

### Mailing Address

626 REXCORP PLAZA  
SUITE 603, WEST TOWER  
UNIONDALE, NY 11556

### Official Website

[www.livingstonfinancials.com](http://www.livingstonfinancials.com)

### Business Telephone Number

959.301.1487

### Business Email

[Info@livingstonfinancials.com](mailto:Info@livingstonfinancials.com)

## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.



### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	THE LIVINGSTON GROUP OF COMPANIES, LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	SOLE MEMBER
<b>Position Start Date</b>	03/2008
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	LIVINGSTON, SCOTT BRANDON 1996617
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	MANAGER/CEO/MSP/GSP/CROP
<b>Position Start Date</b>	03/2008
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	ROCKMAN, JEANNE ELIZABETH 1255763
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CCO/GSP
<b>Position Start Date</b>	03/2008

## Firm Profile



### Direct Owners and Executive Officers (continued)

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** SCHILLING, MICHAEL JAMES  
2609624

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

**Position** FINOP, POO, PFO

**Position Start Date** 03/2020

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No



## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

### Indirect Owners

<b>Legal Name &amp; CRD# (if any):</b>	LIVINGSTON, SCOTT BRANDON 1996617
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	THE LIVINGSTON GROUP OF COMPANIES, LLC
<b>Relationship to Direct Owner</b>	CEO/MANAGING MEMBER
<b>Relationship Established</b>	07/2007
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.







## Firm Operations

### Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 38 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	10/09/2008

### SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	10/09/2008



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	02/17/2009
Alaska	Termination Requested	12/31/2021
Arkansas	Approved	01/20/2009
California	Approved	01/20/2009
Colorado	Approved	05/18/2009
Connecticut	Approved	02/06/2009
Delaware	Approved	01/15/2009
District of Columbia	Approved	04/30/2009
Florida	Approved	06/24/2009
Georgia	Approved	05/18/2009
Illinois	Approved	04/27/2009
Indiana	Approved	03/03/2009
Iowa	Approved	04/14/2021
Kansas	Approved	02/18/2009
Kentucky	Approved	01/12/2009
Louisiana	Approved	02/07/2011
Maryland	Approved	01/22/2009
Massachusetts	Approved	01/21/2009
Michigan	Approved	02/05/2009
Minnesota	Approved	01/05/2009
Mississippi	Termination Requested	12/31/2021
Missouri	Approved	02/27/2009
Nevada	Termination Requested	12/31/2018
New Jersey	Approved	03/10/2009
New York	Approved	10/15/2008
North Carolina	Approved	01/23/2009
Ohio	Approved	01/26/2009
Oklahoma	Approved	04/16/2021
Oregon	Approved	07/02/2009
Pennsylvania	Approved	02/09/2009
Rhode Island	Termination Requested	12/31/2021

U.S. States & Territories	Status	Date Effective
Tennessee	Approved	05/13/2009
Texas	Approved	02/19/2009
Utah	Approved	08/08/2014
Virginia	Approved	05/12/2009
Washington	Approved	01/02/2009
Wisconsin	Approved	08/11/2009
Wyoming	Approved	01/09/2012





## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 11 types of businesses.**

#### Types of Business

- Broker or dealer retailing corporate equity securities over-the-counter
- Broker or dealer selling corporate debt securities
- Underwriter or selling group participant (corporate securities other than mutual funds)
- Mutual fund retailer
- U S. government securities broker
- Municipal securities broker
- Put and call broker or dealer or option writer
- Non-exchange member arranging for transactions in listed securities by exchange member
- Trading securities for own account
- Private placements of securities
- Other - APPLICANT WILL PROVIDE STRATEGIC ADVISORY SERVICES TO ITS INSTITUTIONAL CLIENTS.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.  
This firm does not engage in other non-securities business.

Non-Securities Business Description:

## Firm Operations



### Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

### Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

<b>Name:</b>	HILLTOP SECURITIES INC.
<b>CRD #:</b>	6220
<b>Business Address:</b>	717 N. HARWOOD STREET SUITE 3400 DALLAS, TX 75201
<b>Effective Date:</b>	01/26/2023
<b>Description:</b>	CLEARING SERVICES/FULLY DISCLOSED

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## Firm Operations

### Industry Arrangements



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

**Name:** HILLTOP SECURITIES INC.  
**CRD #:** 6220  
**Business Address:** 717 N. HARWOOD STREET  
SUITE 3400  
DALLAS, TX 75201  
**Effective Date:** 01/26/2023  
**Description:** CLEARING SERVICES/FULLY DISCLOSED

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**This firm does have accounts, funds, or securities maintained by a third party.**

**Name:** HILLTOP SECURITIES INC.  
**CRD #:** 6220  
**Business Address:** 717 N. HARWOOD STREET  
SUITE 3400  
DALLAS, TX 75201  
**Effective Date:** 01/26/2023  
**Description:** CLEARING SERVICES/FULLY DISCLOSED

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**This firm does have customer accounts, funds, or securities maintained by a third party.**

**Name:** HILLTOP SECURITIES INC.  
**CRD #:** 6220  
**Business Address:** 717 N. HARWOOD STREET  
SUITE 3400  
DALLAS, TX 75201  
**Effective Date:** 01/26/2023  
**Description:** CLEARING SERVICES/FULLY DISCLOSED

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### Control Persons/Financing

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

**SCOTT LIVINGSTON ASSET MANAGEMENT LLC is under common control with the firm.**

<b>Business Address:</b>	626 REXCORP PLAZA, WEST TOWER, SUITE 603 UNIONDALE, NY 11556
<b>Effective Date:</b>	01/11/2017
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	THE ENTITY SERVES AS A MANAGEMENT COMPANY FOR CERTAIN HEDGE FUNDS AND/OR THEIR GP ENTITIES. THIS ENTITY IS ALSO OWNED BY THE BROKER DEALERS PARENT COMPANY, THE LIVINGSTON GROUP OF COMPANIES, LLC.

**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

**End of Report**



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