



## BrokerCheck Report

### **EQUINOX SECURITIES, INC.**

CRD# 135398

Report #89686-61040 generated on Friday, June 08, 2007.

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## Dear Investor:

NASD has generated the following BrokerCheck report for **EQUINOX SECURITIES, INC.**. The information contained within this report has been provided by an NASD brokerage firm(s) and securities regulators as part of the securities industry's registration and licensing process and represents the most current information reported to the Central Registration Depository (CRD®).

NASD regulates the securities markets for the ultimate benefit and protection of the investor. NASD believes the general public should have access to information that will help them determine whether to conduct, or continue to conduct, business with an NASD member. To that end, NASD has adopted a public disclosure policy to make certain types of information available to you. Examples of information NASD provides include: regulatory actions, investment-related civil suits, customer disputes that contain allegations of sales practice violations against brokers, all felony charges and convictions, misdemeanor charges and convictions relating to securities violations, and financial events such as bankruptcies, compromises with creditors, judgments, and liens.

When evaluating this report, please keep in mind that it may include items that involve pending actions or allegations that may be contested and have not been resolved or proven. Such items may, in the end, be withdrawn or dismissed, or resolved in favor of the individual broker, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

The information in this report is not the only resource you should consult. NASD recommends that you learn as much as possible about the individual broker or firm from other sources, such as professional references, local consumer and investment groups, or friends and family members who already have established investment business relationships.

NASD BrokerCheck is governed by federal law, Securities and Exchange Commission (SEC) regulations and NASD rules approved by the SEC. State disclosure programs are governed by state law, and may provide additional information on brokers licensed by the state. Therefore, you should also consider requesting information from your state securities regulator. Refer to [www.nasaa.org](http://www.nasaa.org) for a complete list of state securities regulators.

**Thank you for using NASD BrokerCheck.**



Using this site/information means that you accept the NASD BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.nasd.com](http://brokercheck.nasd.com)



For additional information about the contents of this report, please refer to the User Guidance or [www.nasd.com/brokercheck](http://www.nasd.com/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about NASD, visit www.nasd.com.](http://www.nasd.com)



## EQUINOX SECURITIES, INC.

CRD# 135398

SEC# 8-66916

### Main Office Location

2084 E. FRANCIS STREET  
 ONTARIO, CA 91761  
 Regulated by NASD Los Angeles Office

### Mailing address

2084 E. FRANCIS STREET  
 ONTARIO, CA 91761

## Report Summary for this Firm

The report summary provides an overview of the firm's background. The firm and a securities regulator(s) have provided the information contained in this report as part of the securities industry registration and licensing process. More detailed information for this firm can be found in the firm's PDF report. Select "View Full PDF Report" to view the detailed information about this firm. The information contained in this report was last updated by the firm via Uniform Application for Broker-Dealer Registration (Form BD), the Uniform Request for Broker-Dealer Withdrawal (Form BDW), or a securities regulator via a Uniform Disciplinary Action Reporting Form (Form U6) on 04/09/2007.

### Firm Profile

This firm is classified as a corporation.

This firm was formed in California on 01/21/2005.

Its fiscal year ends in December.

### Firm History

Information relating to the firm's history such as Other Business Names, Other Business, and Successions (e.g., mergers or acquisitions) can be found in the firm's full PDF report.

### Firm Operations

This firm is registered with the SEC, 1 Self-Regulatory Organization, and 52 U.S. states and territories.

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

This firm conducts 10 types of businesses.

This firm is not affiliated with any financial or investment institutions.

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

### Disclosure of Arbitration Awards, Disciplinary and Regulatory Events

This section includes details regarding disclosure events reported by or about this firm to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events range from disciplinary actions initiated by regulators to certain criminal charges and/or convictions, to financial disclosures such as bankruptcies, and summary information regarding NASD arbitration awards involving securities and commodities disputes between public customers and NASD-registered firms.

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



## Firm Profile

This firm is classified as a corporation.

This firm was formed in California on 01/21/2005.

Its fiscal year ends in December.

## Firm Names and Locations

This section includes details, as reported by the firm on Form BD, regarding the firm's full legal name, business and mailing addresses, the firm's "doing business as" name (i.e., "DBA" name) if different from the full legal name, and any other name by which the firm conducts business and where such name is used.

### EQUINOX SECURITIES, INC.

Doing business as EQUINOX SECURITIES, INC.

CRD# 135398

SEC# 8-66916

### Main Office Location

2084 E. FRANCIS STREET  
ONTARIO, CA 91761

Regulated by NASD Los Angeles Office

### Mailing Address

2084 E. FRANCIS STREET  
ONTARIO, CA 91761

### Business Telephone Number

909-947-5628

## Other Names of this Firm

Name	Where is it used
ZECCO TRADING	AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX, UT, VA, VT, WA, WI, WV, WY



## Firm Profile

This section provides information relating to Direct Owners and Executive Officers as reported by the firm on Form BD.

### Direct Owners and Executive Officers

**Legal Name & CRD#** OLIVEIRA, STEPHEN MICHAEL

1880054

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

**Position** PRESIDENT & CCO

**Position Start Date** 01/2005

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

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

**Legal Name & CRD#** CHUNG, JOE TSO

2428230

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

**Position** CROP & PRINCIPAL

**Position Start Date** 03/2007

**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#** EIDAROUS, REYHEENA MARIA

4219599

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

**Position** FINOP



## Firm Profile

### Direct Owners and Executive Officers (continued)

<b>Position Start Date</b>	06/2006
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD#</b>	NORTHCUTT, DANE 4175834
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Position</b>	PRINCIPAL
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<b>Position Start Date</b>	01/2005
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<b>Percentage of Ownership</b>	Less than 5%
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<b>Does this owner direct the management or policies of the firm?</b>	Yes
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<b>Is this a public reporting company?</b>	No
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<b>Legal Name &amp; CRD#</b>	PINKSTON, CRAIG WYLIE 2886020
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Position</b>	PRINCIPAL
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<b>Position Start Date</b>	03/2007
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<b>Percentage of Ownership</b>	Less than 5%
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<b>Does this owner direct the management or policies of the firm?</b>	No
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<b>Is this a public reporting company?</b>	No
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## **Firm Profile**

This section provides information relating to Indirect Owners, if any, as reported by the firm on Form BD.

## **Indirect Owners**

No information reported.

## **Firm History**

This section provides information relating to successions (e.g., mergers or acquisitions), if any, as reported by the firm on Form BD.



No information reported.



## Firm Operations

### Registrations

This section provides information about the regulators (e.g., U.S. Securities and Exchange Commission (SEC), self-regulatory organizations such as NASD and the New York Stock Exchange (NYSE), states and U.S. territories) the firm is currently registered and licensed with, the category of each registration, and the date on which the registration status became effective, as well as certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 52 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	06/29/2005

### SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer only: 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
NASD	Approved	06/29/2005



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	07/22/2005
Alaska	Approved	05/30/2006
Arizona	Approved	08/19/2005
Arkansas	Approved	05/22/2006
California	Approved	06/29/2005
Colorado	Approved	08/22/2005
Connecticut	Approved	08/15/2005
Delaware	Approved	08/11/2005
District of Columbia	Approved	07/11/2005
Florida	Approved	07/19/2005
Georgia	Approved	08/17/2005
Hawaii	Approved	06/27/2006
Idaho	Approved	05/18/2006
Illinois	Approved	08/02/2005
Indiana	Approved	05/24/2006
Iowa	Approved	05/22/2006
Kansas	Approved	07/19/2005
Kentucky	Approved	05/22/2006
Louisiana	Approved	05/31/2006
Maine	Approved	11/22/2006
Maryland	Approved	06/29/2006
Massachusetts	Approved	07/07/2005
Michigan	Approved	08/29/2005
Minnesota	Approved	07/27/2005
Mississippi	Approved	05/23/2006
Missouri	Approved	11/14/2006
Montana	Approved	06/05/2006
Nebraska	Approved	06/23/2006
Nevada	Approved	07/08/2005
New Hampshire	Approved	07/14/2006
New Jersey	Approved	08/10/2005
New Mexico	Approved	07/21/2005
New York	Approved	08/22/2005

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	07/15/2005
North Dakota	Approved	05/22/2006
Ohio	Approved	07/14/2005
Oklahoma	Approved	07/06/2005
Oregon	Approved	06/15/2006
Pennsylvania	Approved	07/11/2005
Puerto Rico	Approved	07/12/2006
Rhode Island	Approved	06/28/2006
South Carolina	Approved	08/17/2005
South Dakota	Approved	05/19/2006
Tennessee	Approved	10/06/2005
Texas	Approved	07/18/2005
Utah	Approved	05/18/2006
Vermont	Approved	06/08/2006
Virginia	Approved	07/12/2005
Washington	Approved	07/05/2005
West Virginia	Approved	05/18/2006
Wisconsin	Approved	07/22/2005
Wyoming	Approved	05/22/2006



## Firm Operations

### Types of Business

This section provides the types of business and any other business or other non-securities business the firm is engaged in or is expected to be engaged in as reported by the firm on Form BD.

**This firm currently conducts 10 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Broker or dealer selling oil and gas interests
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities



## Firm Operations

### Clearing Arrangements

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

### Introducing Arrangements

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

**Name:** PENSON FINANCIAL SERVICES, INC.  
**CRD #:** 25866  
**Business Address:** 1700 PACIFIC AVENUE, SUITE 1400  
DALLAS, TX 75201  
**Effective Date:** 05/31/2006  
**Description:** EQUINOX SECURITIES, INC. HAS ENTERED INTO AN INTRODUCING/CLEARING ARRANGEMENT WITH PENSON FINANCIAL SERVICES, INC., FOR THE EXECUTION AND CLEARING OF ALL SECURITIES TRANSACTIONS AS WELL AS CUSTODY OF SECURITIES.

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**Name:** LEGENT CLEARING  
**CRD #:** 117176  
**Business Address:** 9300 UNDERWOOD AVENUE  
SUITE 400  
OMAHA, NE 68114  
**Effective Date:** 03/23/2005  
**Description:** EQUINOX SECURITIES, INC. HAS ENTERED INTO AN INTRODUCING/CLEARING ARRANGEMENT WITH LEGENT CLEARING CORP. FOR THE EXECUTION AND CLEARING OF ALL SECURITIES TRANSACTIONS AS WELL AS CUSTODY OF SECURITIES.

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**Firm Operations****Industry Arrangements**

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

**Name:** PENSON FINANCIAL SERVICES, INC.  
**CRD #:** 25866  
**Business Address:** 1700 PACIFIC AVENUE, SUITE 1400  
 DALLAS, TX 75201  
**Effective Date:** 05/31/2006  
**Description:** EQUINOX SECURITIES, INC. HAS ENTERED INTO AN INTRODUCING/CLEARING ARRANGEMENT WITH PENSON FINANCIAL SERVICES, INC., FOR THE EXECUTION AND CLEARING OF ALL SECURITIES TRANSACTIONS AS WELL AS CUSTODY OF SECURITIES.

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**CRD #:** 117176  
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 SUITE 400  
 OMAHA, NE 68114  
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**This firm does have accounts, funds, or securities maintained by a third party.**

**Name:** PENSON FINANCIAL SERVICES, INC.  
**CRD #:** 25866  
**Business Address:** 1700 PACIFIC AVENUE, SUITE 1400  
 DALLAS, TX 75201  
**Effective Date:** 05/31/2006  
**Description:** EQUINOX SECURITIES, INC. HAS ENTERED INTO AN INTRODUCING/CLEARING ARRANGEMENT WITH PENSON FINANCIAL SERVICES, INC., FOR THE EXECUTION AND CLEARING OF ALL SECURITIES TRANSACTIONS AS WELL AS CUSTODY OF SECURITIES.

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**Name:** LEGENT CLEARING  
**CRD #:** 117176



## Firm Operations

### Industry Arrangements (continued)

**Business Address:** 9300 UNDERWOD AVENUE  
SUITE 400  
OMAHA, NE 68114

**Effective Date:** 03/23/2005

**Description:** EQUINOX SECURITIES, INC. HAS ENTERED INTO AN INTRODUCING/CLEARING ARRANGEMENT WITH LEGENT CLEARING CORP. FOR THE EXECUTION AND CLEARING OF ALL SECURITIES TRANSACTIONS AS WELL AS CUSTODY OF SECURITIES.

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

**Name:** PENSON FINANCIAL SERVICES, INC.

**CRD #:** 25866

**Business Address:** 1700 PACIFIC AVENUE, SUITE 1400  
DALLAS, TX 75201

**Effective Date:** 05/31/2006

**Description:** EQUINOX SECURITIES, INC. HAS ENTERED INTO AN INTRODUCING/CLEARING ARRANGEMENT WITH PENSON FINANCIAL SERVICES, INC., FOR THE EXECUTION AND CLEARING OF ALL SECURITIES TRANSACTIONS AS WELL AS CUSTODY OF SECURITIES.

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**Name:** LEGENT CLEARING

**CRD #:** 117176

**Business Address:** 9300 UNDERWOOD AVENUE  
SUITE 400  
OMAHA, NE 68114

**Effective Date:** 03/23/2005

**Description:** EQUINOX SECURITIES, INC. HAS ENTERED INTO AN INTRODUCING/CLEARING ARRANGEMENT WITH LEGENT CLEARING CORP. FOR THE EXECUTION AND CLEARING OF ALL SECURITIES TRANSACTIONS AS WELL AS CUSTODY OF SECURITIES.

### 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 relating to control relationships with entities engaged in the securities, investment advisory, or banking business as reported by the firm on Form BD.

**This firm is not, directly or indirectly:**

- in control of
- controlled by
- or under common control with any partnership, corporation, or other organization engaged in the securities or investment advisory business.

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

- a 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



## About this BrokerCheck Report

BrokerCheck reports are part of an NASD initiative to disclose information about NASD-registered firms and brokers to help investors determine whether to conduct, or continue to conduct, business with these firms and brokers. The information contained within these reports is collected through the securities industry's registration and licensing process.

### Who provides the information in BrokerCheck?

Information made available through NASD BrokerCheck is derived from the Central Registration Depository (CRD®) as reported on the industry registration and licensing forms brokerage firms and brokers are required to complete.

The forms used by brokerage firms, Forms BD and BDW, are established by the Securities and Exchange Commission (SEC) and adopted by all state securities regulators and self-regulatory organizations (SROs), such as NASD and the New York Stock Exchange (NYSE). NASD and the North American Securities Administrators Association (NASAA) establish the Forms U4 and U5, the forms that collect broker information. Regulators provide information via Form U6, which is used primarily to report certain history about brokerage firms and brokers. These forms are approved by the SEC.

### How current is the information contained in BrokerCheck?

Brokerage firms and brokers are required to keep this information accurate and up-to-date (updates typically are required not later than 30 days after the broker/brokerage firm learns of an event). The report data is updated when a firm, broker, or regulator submits new or revised information to CRD. Generally, updated information is available on BrokerCheck Monday through Friday.

### What information is NOT disclosed through BrokerCheck?

Information that has not been reported to the CRD system, or that is not required to be reported, is not disclosed through NASD BrokerCheck. Examples of events that are not required to be reported or are no longer reportable include: judgments and liens originally reported as pending that subsequently have been satisfied and bankruptcy proceedings filed more than 10 years ago. Conversely, certain customer complaint information that is not required to be reported may be disclosed provided certain criteria are met.

Additional information not disclosed through BrokerCheck includes Social Security Numbers, residential history information, and physical description information. On a case-by-case basis, NASD reserves the right to exclude information that contains confidential customer information, offensive and potentially defamatory language or information that raises significant identity theft or privacy concerns that are not outweighed by investor protection concerns. NASD Interpretive Material 8310-2 describes in detail what information is and is not disclosed through BrokerCheck.

Under NASD's current public disclosure policy, in certain limited circumstances, most often pursuant to a court order, information is expunged from the CRD system. Further information about expungement from the CRD system is available in NASD Notices to Members 99-09, 99-54, 01-65, and 04-16 at [www.nasd.com](http://www.nasd.com).

For further information regarding NASD's BrokerCheck program, please visit NASD's Web Site at [www.nasd.com/brokercheck](http://www.nasd.com/brokercheck) or call the NASD's BrokerCheck Hotline at (800) 289-9999. The hotline is open Monday through Friday from 8 a.m. to p.m., Eastern Time (ET).

For more information about the following, select the associated link:

- About BrokerCheck Reports: [http://www.nasd.com/brokercheck\\_reports](http://www.nasd.com/brokercheck_reports)
- Glossary: [http://www.nasd.com/brokercheck\\_glossary](http://www.nasd.com/brokercheck_glossary)
- Questions Frequently Asked about BrokerCheck Reports: [http://www.nasd.com/brokercheck\\_faq](http://www.nasd.com/brokercheck_faq)
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