

BrokerCheck Report

PTX SECURITIES, LLC

CRD# 7735

Report #39542-15710, data current as of Sunday, April 24, 2016.

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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 <http://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.



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.

Thank you for using FINRA BrokerCheck.



PTX SECURITIES, LLC

CRD# 7735

SEC# 8-23378

Main Office Location

6221 CHAPEL HILL BLVD., SUITE 200
PLANO, TX 75093
Regulated by FINRA Dallas Office

Mailing Address

6221 CHAPEL HILL, SUITE 200
PLANO, TX 75093

Business Telephone Number

972-473-2230

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

This firm is classified as a limited liability company.

This firm was formed in Texas on 05/25/2012.

Its fiscal year ends in December.

Firm History

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

This firm is registered with:

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

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

This firm conducts 2 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Texas on 05/25/2012.

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.

PTX SECURITIES, LLC

Doing business as PTX SECURITIES, LLC

CRD# 7735

SEC# 8-23378

Main Office Location

6221 CHAPEL HILL BLVD., SUITE 200
PLANO, TX 75093

Regulated by FINRA Dallas Office

Mailing Address

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PLANO, TX 75093

Business Telephone Number

972-473-2230



Firm Profile

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

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	PLANO CAPITAL GROUP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT COMPANY
Position Start Date	07/2012
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GOODIN, DIANE MARIE 3117840
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	10/2015
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):	HARVEY, TERRY DEWAYNE 2364966
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT, CO-CCO
Position Start Date	09/2012

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? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): KOCH, KYLE MICHAEL
1865093

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

Position CO-CHIEF COMPLIANCE OFFICER

Position Start Date 12/2015

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

Legal Name & CRD# (if any):	HARVEY, TERRY DEWAYNE 2364966
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	PLANO CAPITAL GROUP, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	08/2011
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	LICHTER, JOHN ANDREW 6108638
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	PLANO CAPITAL GROUP, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	08/2011
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

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 19 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	12/27/1978

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

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	12/29/1978

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alaska	Approved	02/05/2016
California	Approved	12/15/2015
Colorado	Approved	01/28/2016
Indiana	Approved	02/11/2016
Iowa	Approved	01/26/2016
Kansas	Approved	04/06/2016
Louisiana	Approved	02/01/2016
Maryland	Approved	01/04/2016
Minnesota	Approved	01/26/2016
Missouri	Approved	03/16/2016
Montana	Approved	04/18/2016
New Jersey	Approved	04/01/2016
New Mexico	Approved	03/14/2016
New York	Approved	12/21/2015
Ohio	Approved	03/09/2016
Oklahoma	Approved	04/22/2016
Texas	Approved	07/22/1983
Washington	Approved	03/31/2016
Wisconsin	Approved	02/02/2016

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 2 types of businesses.

Types of Business

Broker or dealer selling tax shelters or limited partnerships in primary distributions

Private placements of securities

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 not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

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.

PLANO CAPITAL GROUP, LLC controls the firm.

Business Address:	6221 CHAPEL HILL BLVD, SUITE 100 PLANO, TX 765024
Effective Date:	07/01/2012
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	No
Description:	100% OF THE STOCK OF PTX SECURITIES LLC IS OWNED BY PLANO CAPITAL GROUP, 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



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	2	0



Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
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 brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source: Regulator

Current Status: Final

Allegations:**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**Date Initiated:** 03/24/1988**Docket/Case Number:** TEX-588-AWC**Principal Product Type:****Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Consent**Resolution Date:** 03/24/1988**Sanctions Ordered:** Censure
Monetary/Fine \$2,500.00**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

ON MARCH 24, 1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. TEX-588-AWC (DISTRICT NO. 6) SUBMITTED BY RESPONDENTS BALANCED FINANCIAL SECURITIES CORP. AND MARTIN J. COHEN WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$2,500.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTIONS 1 AND 21 OF THE RULES OF FAIR PRACTICE - EFFECTED TRANSACTIONS IN SECURITIES WHILE FAILING TO MAINTAIN REQUIRED MINIMUM NET CAPITAL; FOR THE PERIOD DECEMBER 1986 THROUGH APRIL 1987 FAILED TO REFLECT A LIABILITY AS WELL AS A CORRESPONDING RECEIVABLE FROM THE FIRM'S PARENT CORPORATION ON THE GENERAL LEDGER AND TRIAL BALANCES; AND FILED AN INACCURATE FOCUS REPORT - PART IIA AND A FOCUS PART I AS OF MARCH 31, 1987). ***** \$2,500 PAID J&S 4-4-88.

Reporting Source: Firm**Current Status:** Final**Allegations:** FAILURE TO MAINTAIN MINIMUM NET CAPITAL, UNDER RULE 17(A)-3(A)(2). FOCUS REPORT FAILED TO REFLECT A LIABILITY AND WAS THEREFORE



NOT ACCURATE UNDER RULE 17-A5(A) (2) (I). THE BROKER DEALER INADVERTATLY SIGNED A NOTE THAT WAS SUPPOSED TO BE SIGNED BY ITS PARENT COMPANY, BALANCED FINANCIAL SECURITIES. THE MISTAKE WAS REPORTED AND THE LIABILITY TRANSFERRED TO THE PARENT COMPANY, HOWEVER THE NASD DISTRICT COMMITTEE FINED THE BROKER DEALER FOR THE ERROR.

Initiated By: DISTRICT #6 CONDUCT COMMITTEE

Date Initiated: 04/03/1989

Docket/Case Number: TEX 588-AWC

Principal Product Type: Equity - OTC

Other Product Type(s): PRIVATE PLACEMENTS, MUTUAL FUNDS

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought: \$2,500 FINE

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 04/01/1988

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered: NONE

Sanction Details: CENSURE AND FIND OF \$2,500

Firm Statement BROKER DEALER INADVERTANTLY SIGNED A NOTE IN A AGREEMENT REACHED BY THE PARENT COMPANY FOR THE SALE OF THE BROKER DEALER. THE ERROR WAS REPORTED TO THE REGULATORY AUTHORITIES WHEN DISCOVERED AND THE NOTE CANCELLED AN REISSUED TO THE PARENT.

Disclosure 2 of 2

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 01/12/1988

Docket/Case Number: TEX-583-AWC

**Principal Product Type:****Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Consent**Resolution Date:** 01/12/1988**Sanctions Ordered:** Censure
Monetary/Fine \$250.00**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

ON JANUARY 12, 1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. TEX-583-AWC (DISTRICT NO. 6) SUBMITTED BY RESPONDENTS BALANCED SECURITIES CORP. AND MARTIN J. COHEN WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$250.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - FILED THE FOCUS PART I REPORT FOR THE MONTH ENDED SEPTEMBER 1987 FIVE (5) CALENDAR DAYS LATE).

\$250 FINE PAID J&S 1/21/88

Reporting Source: Firm**Current Status:** Final**Appealed To and Date Appeal Filed:** NONE**Allegations:** FOCUS REPORT FOR SEPTEMBER 1987 WAS RECEIVED TWO DAYS LATE AFTER A WARNING HAD BEEN ISSUED ON AUGUST 19, 1987 FOR A LATE FOCUS REPORT FOR JULY OF 1987**Initiated By:** LARRY A. GREENE, NASD DISTRICT NUMBER 6**Date Initiated:** 01/12/1988**Docket/Case Number:** TEX-583-AWC**Principal Product Type:** Equity - OTC



Other Product Type(s): PRIVATE PLACEMENTS, MUTUAL FUNDS

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought: NONE

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/12/1988

Sanctions Ordered: Censure
Monetary/Fine \$250.00

Other Sanctions Ordered: NONE

Sanction Details: FINE OF \$250 AND CENSURE FOR DELAYED FOCUS REPORT

Firm Statement THE FIRST FOCUS REPORT ON JULY OF 1987 HAD BEEN MISADDRESSED BY A SECRETARY BUT HAD BEEN PREPAID AND MAILED ON TIME. THE SECOND FOCUS REPORT WAS MAILED ON TIME BUT DUE TO A POSTAL DELAY ARRIVED AT THE NASD TWO CALENDAR DAYS LATE.

End of Report



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