

Detailed View

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CLEARANCE OF, GENERAL SECURITIES BUSINESS., This firm does

Main CRD #: 10358 SEC#:

8--27082 Company Name: GENWORTH FINANCIAL SECURITIES CORPORATION

Company Address: 200 NORTH MARTINGALE ROAD, SEVENTH FLOOR, SCHAUMBURG, IL 60173 Mailing Address: 200 NORTH MARTINGALE ROAD, SEVENTH FLOOR, SCHAUMBURG, IL 60173

Business Phone: 847-330-7995 Broker Dealer: Yes BD & GOV Securities Broker or Dealer: No

Government Securities Only: No Ceased as Govt BD: No

www.genworthfinancialsecurities.com Website:

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President of Adviser Recruiting, (micheal.abramowicz@genworth.com)

Direct Ownership:

Legal Name	CRD	Entity Type	Position	Position start Date	Percentage of Ownership	Directs Management Policies?	Public Reporting Company?
AHLUWALIA, GURINDER SINGH	4783310	Individual	DIRECTOR	10/2009	Less than 5%	Yes	No
APOSTLE, JOHN GEORGE II	4392136	Individual	DIRECTOR	12/2007	Less than 5%	No	No
GANDET, MICHAEL ALBERT JR	2279907	Individual	VICE PRESIDENT	10/2005	Less than 5%	Yes	No
GENWORTH FINANCIAL INVESTMENT SERVING.	ICES,	Domestic Entity	SHAREHOLDER COMMON	02/1984	75% or more	Yes	No
RONCONI, DARRYL D.	5397946	Individual	DIRECTOR & SVP	03/2009	Less than 5%	Yes	No
RUVOLI, GREGG ALAN		Individual	SENIOR VICE PRESIDENT	10/2009	Less than 5%	Yes	No
TURNER, BONNIE COBB	4389441	Individual	FINOP	01/2009	Less than 5%	No	No
VASQUEZ, ENRIQUE MARTIN	2385061	Individual	DIRECTOR, CHIEF EXECUTIVE OFFICER & PRESIDENT	04/2006	Less than 5%	Yes	No
WILES, EDWARD JOSEPH JR	872723	Individual	SVP & CHIEF COMPLIANCE OFFICER	12/2001	Less than 5%	Yes	No

WILES, EDWARD JOSEPH JR. Indirect Ownership:

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Legal Name	CRDEntity Type	Company	Relationship with Direct Owner	Relationship Start Date	Percentage of Ownership	Directs Management Policies?	Public Reporting Company?
GENWORTH FINANCIAL, INC.	Domestic Entity	GENWORTH NORTH AMERICA CORPORATION	SHAREHOLDER COMMON	03/2006	75% or more	Yes	No
GENWORTH NORTH AMERICA CORPORATION	Domestic Entity	GENWORTH FINANCIAL INVESTMENT SERVICES, INC.	SHAREHOLDER COMMON	11/2003	75% or more	Yes	No

Legai Mairie	CRDEHULY Type	Company	Owner	Date Date	Ownership	Policies?	Company?
GENWORTH FINANCIAL, INC.	Domestic Entity	GENWORTH NORTH AMERICA CORPORATION	SHAREHOLDER COMMON	03/2006	75% or more	Yes	No
GENWORTH NORTH AMERICA CORPORATION	Domestic Entity	GENWORTH FINANCIAL INVESTMENT SERVICES, INC.	SHAREHOLDER COMMON	11/2003	75% or more	Yes	No
Firm Operations :							

Regulator	Status		Effective Date	
SEC	Approve	ed .	01/21/1982	
Industry Arrangements :				
Company Name	CRD	Address	Effective Date	Description
LIVEOFFICE LLC		2780 SKYLARK DRIVE, SUITE 300, TORRANCE, CA 90278,	01/23/2005	CONTRACTUAL AGREEMENT BETWEEN GENWORTH FINANCIAL, SECURITIES CORPORATION AND LIVEOFFICE CORPORATION., LIVEOFFICE WILL SUPPLY TO GENWORTH FINANCIAL SECURITIES, ITS, 'ADVISORMAIL' PROGRAM, WHICH IS AN AUTOMATED, WEBBASED, EMAIL AND IM MONITORING RETRIEVAL AND RETENTION SYSTEM, DESIGNED IN ACCORDANCE WITH SEC & FINRA REGULATORY, REQUIREMENTS FOR SURVEILLANCE OF ELECTRONIC, COMMUNICATIONS, INSTANT MESSAGES AND PERMANENT RECORD, RETENTION THEREOF, This firm does have accounts, funds, or securities maintained by a third party.,
PERSHING LLC	7560	ONE PERSHING PLAZA, JERSEY CITY, NJ 07399,	03/12/1999	GENWORTH FINANCIAL SECURITIES CORPORATION, A FULLY, DISCLOSED INTRODUCING BROKER, UPDATED AND EXECUTED A, CLEARING AGREEMENT WITH PERSHING LLC, A BANK OF NEW YORK, SECURITIES GROUP COMPANY ON JUNE 26, 2002 FROM THE ORIGINAL, AGREEMENT IN MARCH OF 1999. PURSUANT TO SUCH AGREEMENT., GENWORTH FINANCIAL SECURITIES INTRODUCES CUSTOMERS TO, PERSHING ON A FULLY DISCLOSED BASIS FOR THE

Introducing Arrangements:

Company Name	CRD	Address	Effective Date	Description
PERSHING LLC	7560	ONE PERSHING PLAZA, JERSEY CITY, NJ 07399,	03/12/1999	GENWORTH FINANCIAL SECURITIES CORPORATION, A FULLY, DISCLOSED INTRODUCING BROKER, UPDATED AND EXECUTED A, CLEARING AGREEMENT WITH PERSHING LLC, A BANK OF NEW YORK, SECURITIES GROUP COMPANY ON JUNE 26, 2002 FROM THE ORIGINAL, AGREEMENT IN MARCH OF 1999. PURSUANT TO SUCH AGREEMENT., GENWORTH FINANCIAL SECURITIES INTRODUCES CUSTOMERS TO, PERSHING ON A FULLY DISCLOSED BASIS FOR THE CLEARANCE OF, GENERAL SECURITIES BUSINESS.,

State Registration:		
State	Status	Effective Date
Alabama	Approved	09/24/1998
Alaska	Approved	04/18/1996
Arizona	Approved	08/07/1992
Arkansas	Approved	10/24/1997
California	Approved	01/17/1992
Colorado	Approved	09/29/1994
Connecticut	Approved	08/08/1995
Delaware	Approved	02/17/1998
District of Columbia	Approved	04/30/1998
Florida	Approved	07/10/1987
Georgia	Approved	08/03/1995
Hawaii	Approved	05/07/1996
Idaho	Approved	04/06/1998
Illinois	Approved	04/07/1982
Indiana	Approved	04/29/1985
Iowa	Approved	09/02/1993
Kansas	Approved	11/25/1996
Kentucky	Approved	03/28/1996
Louisiana	Approved	05/21/1993
Maine	Approved	06/11/1992
Maryland	Approved	01/03/1994
Massachusetts	Approved	04/13/1993
Michigan Michigan	Approved	11/10/1987
Minnesota	Approved	05/14/1997
Mississippi	Approved	05/08/1998
Missouri	Approved	03/19/1990
Montana	Approved	01/01/1994
Nebraska	Approved	08/09/1996
Nevada	Approved	04/09/1998
New Hampshire	Approved	04/17/1998
New Jersey	Approved	02/23/1995
New Mexico	Approved	08/15/1995
New York	Approved	10/30/1984
North Carolina	Approved	05/28/1997
North Dakota	Approved	05/15/1998
Ohio	Approved	09/03/1992
Oklahoma	Approved	03/02/1994
Oregon Branch and Control of the Con	Approved	10/29/1997
Pennsylvania Burata Bira	Approved	10/18/1993
Puerto Rico	Approved	05/20/2004
Rhode Island	Approved	04/24/1998
South Carolina South Dakota	Approved	02/02/1994
	Approved	04/08/1998
Tennessee Texas	Approved	09/30/1998
Utah	Approved	03/26/1993
Vermont	Approved	09/28/1993
Virgin Islands	Approved Approved	06/09/1998 05/29/2007
Virginia	Approved	05/05/1997
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Washington West Virginia	Approved	03/26/1996
West Virginia Wisconsin	Approved	04/01/1998
Wisconsin	Approved	05/22/1989 04/07/1998
Wyoming	Approved	UT U

Wyoming Self Regulatory:

Regulator	Status	Effective Date
FINRA	Approved	02/18/1982

Type of Business:

Broker or dealer involved in a networking, kiosk or similar arrangment with a: bank, savings bank or association, or Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities Broker or dealer selling oil and gas interests

Broker or dealer selling tax shelters or limited partnerships in primary distributions Broker or dealer selling tax shelters or limited partnerships in the secondary market Broker or dealer selling variable life insurance or annuities

credit union Municipal securities broker

Mutual fund retailer

Non-exchange member arranging for transactions in listed securities by exchange member Private placements of securities

Put and call broker or dealer or option writer Solicitor of time deposits in a financial institution

Organization Affiliates:

Company	Address	Effective Date	Foreign Entity	Country	Security Activities	Investment Advisory	Description
CAPITAL BROKERAGE CORPORATION is under common control with the firm.							
	200 N. MARTINGALE RD, 7TH FLOOR, SCHAUMBURG, IL 60173,	01/01/2003	No		No	Yes	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF CENTURION, HINDS INVESTMENT MANAGEMENT CORP., AND GENWORTH FINANCIAL SECURITIES CORPORATION.
CRD #: 10465	6620 W. BROAD ST., BUILDING 2, RICHMOND, VA 23230,	04/15/1993	No		Yes	No	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF CAPITAL, BROKERAGE CORPORATION AND GENWORTH FINANCIAL SECURITIES, CORPORATION.
Description: GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF GENWORTH							GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF GENWORTH, FINANCIAL INVESTMENT MANAGEMENT, LLC. AND GENWORTH FINANCIAL, SECURITIES CORPORATION.
GENWORTH FINANCIAL	200 NORTH MARTINGALE ROAD, SEVENTH FLOOR, SCHAUMBURG, IL 60173-2096,	06/02/1998	No		No	Yes	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF GENWORTH, FINANCIAL ADVISERS CORPORATION AND GENWORTH FINANCIAL, SECURITIES CORPORATION.
	3001 SUMMER STREET, 2ND FLOOR, STAMFORD, CT 06905,	03/04/2004	No		No	Yes	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF GENWORTH,
		10/24/2006	No		No	Yes	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF GENWORTH, FINANCIAL WEALTH MANAGEMENT, INC. AND GENWORTH FINANCIAL, SECURITIES CORPORATION.

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