

## BrokerCheck Report

# AMERICAN HERITAGE SECURITIES, INC.

CRD# 29678

Report #67085-63393, data current as of Monday, January 27, 2014.

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## About BrokerCheck®



BrokerCheck offers information on all current-and many former-FINRA-registered securities brokers, and all current and former FINRA-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.nasaa.org>.

- **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](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)

**Thank you for using FINRA BrokerCheck.**

**AMERICAN HERITAGE SECURITIES, INC.**

CRD# 29678

SEC# 8-44466

**Main Office Location**

655 W MARKET STREET  
AKRON, OH 44303-1438  
Regulated by FINRA Chicago Office

**Mailing Address**

655 W MARKET STREET  
AKRON, OH 44303-1438

**Business Telephone Number**

330-535-0881

**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 corporation.  
This firm was formed in Ohio on 01/02/1992.  
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
- 1 U.S. state or territory

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

This firm conducts 5 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**

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 corporation.

This firm was formed in Ohio on 01/02/1992.

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.

**AMERICAN HERITAGE SECURITIES, INC.**

**Doing business as AMERICAN HERITAGE SECURITIES, INC.**

**CRD#** 29678

**SEC#** 8-44466

### Main Office Location

655 W MARKET STREET  
AKRON, OH 44303-1438

**Regulated by FINRA Chicago Office**

### Mailing Address

655 W MARKET STREET  
AKRON, OH 44303-1438

### Business Telephone Number

330-535-0881



## 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):** INGRAHAM, EDGAR GREY  
1092775

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

**Position** PRESIDENT, COO, CFO, CCO

**Position Start Date** 04/1993

**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# (if any):** WEINREICH, BRIAN KEITH  
3166179

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

**Position** ROP

**Position Start Date** 07/2011

**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

## **Firm Profile**

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



## **Indirect Owners**

No information reported.

## 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 1 U.S state or territory.**

Federal Regulator	Status	Date Effective
SEC	Approved	01/21/1992

### 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	04/08/1992



## Firm Operations



### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Ohio	Approved	03/31/1992

## 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 5 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Mutual fund retailer

Municipal securities broker

Broker or dealer selling variable life insurance or annuities

Put and call broker or dealer or option writer

## 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>	FIRST CLEARING, LLC
<b>CRD #:</b>	17344
<b>Business Address:</b>	ONE NORTH JEFFERSON ST LOUIS, MO 63103
<b>Effective Date:</b>	03/01/2003
<b>Description:</b>	APPLICANT CLEARS THROUGH FIRST CLEARING ON A FULLY DISCLOSED BASIS

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## Firm Operations

### Industry Arrangements



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

**Name:** FIRST CLEARING, LLC  
**CRD #:** 17344  
**Business Address:** ONE NORTH JEFFERSON  
 ST LOUIS, MO 63103  
**Effective Date:** 03/01/2003  
**Description:** APPLICANT CLEARS THROUGH FIRST CLEARING LLC ON A FULLY  
 DISCLOSED BASIS

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

**Name:** FIRST CLEARING, LLC  
**CRD #:** 17344  
**Business Address:** ONE NORTH JEFFERSON  
 ST LOUIS, MO 63103  
**Effective Date:** 03/01/2003  
**Description:** APPLICANT CLEARS THROUGH FIRST CLEARING LLC ON A FULLY  
 DISCLOSED BASIS

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

**Name:** FIRST CLEARING, LLC  
**CRD #:** 17344  
**Business Address:** ONE NORTH JEFFERSON  
 ST LOUIS, MO 63103  
**Effective Date:** 03/01/2003  
**Description:** APPLICANT CLEARS THROUGH FIRST CLEARING LLC ON A FULLY  
 DISCLOSED BASIS

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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.

**EGI FINANCIAL, INC. is under common control with the firm.**

<b>CRD #:</b>	120607
<b>Business Address:</b>	655 W MARKET STREET AKRON, OH 44303
<b>Effective Date:</b>	03/21/1994
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	APPLICANT IS AFFILIATED WITH EGI FINANCIAL, A REGISTERED INVESTMENT ADVISORY FIRM AND INSURANCE AGENCY. APPLICANT AND EGI FINANCIAL ARE BOTH OWNED AND CONTROLLED BY EDGAR G INGRAHAM. EGI FINANCIAL'S R.I.A. NUMBER WITH THE SEC IS 801-42363.

**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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