

BrokerCheck Report

COINBASE CAPITAL MARKETS CORP

CRD# 10722

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 6
Firm History	7
Firm Operations	8 - 15



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

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.

-

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



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.](http://www.finra.org)

COINBASE CAPITAL MARKETS CORP

CRD# 10722

SEC# 8-28032

Main Office Location

ONE MADISON AVE
24TH FL
NEW YORK, NY 10010
Regulated by FINRA New York Office

Mailing Address

ONE MADISON AVE
24TH FL
NEW YORK, NY 10010

Business Telephone Number

858-348-4405

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

<https://www.adviserinfo.sec.gov>

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 California on 06/18/1982.

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
- 51 U.S. states and territories

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

This firm conducts 9 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? **No**



Firm Profile

This firm is classified as a corporation.

This firm was formed in California on 06/18/1982.

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.

COINBASE CAPITAL MARKETS CORP

Doing business as COINBASE CAPITAL MARKETS CORP

CRD# 10722

SEC# 8-28032

Main Office Location

ONE MADISON AVE
24TH FL
NEW YORK, NY 10010

Regulated by FINRA New York Office

Mailing Address

ONE MADISON AVE
24TH FL
NEW YORK, NY 10010

Business Telephone Number

858-348-4405

Other Names of this Firm

Name	Where is it used
COINBASE CAPITAL MARKETS	CA



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): COINBASE GLOBAL, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Position DIRECT OWNER

Position Start Date 06/2019

Percentage of Ownership 75% or more

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

Is this a public reporting company? Yes

Legal Name & CRD# (if any): COMPA, GREGORY

5324133

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 01/2022

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): COOK, KATHERINE RENEE

3076337

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

Position EXECUTIVE PRINCIPAL

Position Start Date 03/2021

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): FELDSHTEYN, ARTHUR
4954700

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

Position PRINCIPAL OPERATIONS OFFICER

Position Start Date 12/2025

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): FELDSHTEYN, ARTHUR
4954700

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

Position FINANCIAL OPERATIONS PRINCIPAL

Position Start Date 03/2026

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): MARTIN, ELIZABETH GREGORY

Firm Profile



Direct Owners and Executive Officers (continued)

3267444

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

Position CEO

Position Start Date 01/2026

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 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	08/13/1982

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	09/23/1982



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective	U.S. States & Territories	Status	Date Effective
Alabama	Approved	06/14/2016	North Carolina	Approved	04/18/2002
Alaska	Approved	04/27/2016	North Dakota	Approved	07/05/2016
Arizona	Approved	08/27/2003	Ohio	Approved	07/17/2013
Arkansas	Approved	06/13/2016	Oklahoma	Approved	09/10/2013
California	Approved	09/30/1982	Oregon	Approved	08/25/2009
Colorado	Approved	01/13/2003	Pennsylvania	Approved	02/14/2002
Connecticut	Approved	06/28/2016	Rhode Island	Approved	01/29/2016
Delaware	Approved	02/11/2008	South Carolina	Approved	04/08/2009
District of Columbia	Approved	08/19/2009	South Dakota	Approved	05/27/2016
Florida	Approved	04/26/2004	Tennessee	Approved	11/07/2025
Georgia	Approved	01/04/2011	Texas	Approved	03/03/2006
Hawaii	Approved	06/23/2016	Utah	Approved	09/23/2013
Idaho	Approved	02/01/2016	Vermont	Approved	08/19/2014
Illinois	Approved	07/28/2009	Virginia	Approved	03/27/2009
Indiana	Approved	09/08/2009	Washington	Approved	01/10/2008
Iowa	Approved	05/25/2016	West Virginia	Approved	06/03/2016
Kansas	Approved	06/27/2016	Wisconsin	Approved	06/08/2016
Kentucky	Approved	05/31/2016	Wyoming	Approved	06/10/2016
Louisiana	Approved	05/31/2016			
Maine	Approved	07/08/2016			
Maryland	Approved	02/02/2012			
Massachusetts	Approved	08/12/2009			
Michigan	Approved	01/03/2012			
Minnesota	Approved	04/28/2014			
Mississippi	Approved	05/24/2016			
Missouri	Approved	03/17/2008			
Montana	Approved	06/01/2016			
Nebraska	Approved	10/15/2013			
Nevada	Approved	04/06/2015			
New Hampshire	Approved	08/10/2012			
New Jersey	Approved	01/29/2010			
New Mexico	Approved	08/19/2009			
New York	Approved	05/21/2002			



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 9 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

Broker or dealer selling variable life insurance or annuities

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

Other - COINBASE CAPITAL MARKETS CORPORATION MAKES INTRODUCTIONS AND RECOMMENDATIONS OF INSTITUTIONAL MANAGERS AND OTHER INVESTMENTS TO INSTITUTIONAL INVESTORS.

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 not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



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

Name: APEX CLEARING CORPORATION
CRD #: 13071
Business Address: ONE DALLAS CENTER
 350 N. ST PAUL, SUITE 1300
 DALLAS, TX 75201
Effective Date: 10/24/2025
Description: APEX CLEARING CORPORATION OFFERS CLEARING AND CUSTODIAL SERVICES. ASIDE FROM THIS, THERE IS NO CONTROL OR AFFILIATION BETWEEN APEX CLEARING CORPORATION AND COINBASE CAPITAL MARKETS CORPORATION, NOR IS THERE ANY FINANCING PROVIDED BY APEX CLEARING TO COINBASE CAPITAL MARKETS.

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

Name: APEX CLEARING CORPORATION
CRD #: 13071
Business Address: ONE DALLAS CENTER
 350 N ST PAUL, SUITE 1300
 DALLAS, TX 75201
Effective Date: 10/24/2025
Description: APEX CLEARING CORPORATION OFFERS CLEARING AND CUSTODIAL SERVICES. ASIDE FROM THIS, THERE IS NO CONTROL OR AFFILIATION BETWEEN APEX CLEARING CORPORATION AND COINBASE CAPITAL MARKETS CORPORATION, NOR IS THERE ANY FINANCING PROVIDED BY APEX CLEARING TO COINBASE CAPITAL MARKETS.

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

Name: APEX CLEARING CORPORATION
CRD #: 13071
Business Address: ONE DALLAS CENTER
 350 N ST. PAUL, SUITE 1300
 DALLAS, TX 75201
Effective Date: 10/24/2025
Description: APEX CLEARING CORPORATION OFFERS CLEARING AND CUSTODIAL SERVICES. ASIDE FROM THIS, THERE IS NO CONTROL OR AFFILIATION

Firm Operations



Industry Arrangements (continued)

BETWEEN APEX CLEARING CORPORATION AND COINBASE CAPITAL MARKETS CORPORATION, NOR IS THERE ANY FINANCING PROVIDED BY APEX CLEARING TO COINBASE CAPITAL MARKETS.

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.

COINBASE ASSET MANAGEMENT, LLC is under common control with the firm.

CRD #:	322174
Business Address:	2200 ATLANTIC ST SUITE 320 STAMFORD, CT 06902
Effective Date:	03/03/2023
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	COINBASE CAPITAL MARKETS CORP CRD 10722 AND COINBASE ASSET MANAGEMENT, LLC, ARE WHOLLY OWNED SUBSIDIARIES OF COINBASE GLOBAL, INC., CIK:0001679788, TRADING SYMBOL COIN (NASDAQ).

COINBASE FINANCIAL MARKETS, INC. is under common control with the firm.

Business Address:	1 MADISON AVE SUITE 2400 NEW YORK, NY 10010
Effective Date:	08/15/2023
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	COINBASE CAPITAL MARKETS CORP CRD 10722 AND COINBASE FINANCIAL

Firm Operations



Organization Affiliates (continued)

MARKETS, INC., NFA ID: 0542717, ARE WHOLLY OWNED SUBSIDIARIES OF COINBASE GLOBAL, INC., CIK:0001679788, TRADING SYMBOL COIN (NASDAQ).

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



This page is intentionally left blank.