

BrokerCheck Report
STONEHAVEN, LLC
 CRD# 118913

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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:
 - o 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
 - o 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.

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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.



STONEHAVEN, LLC
CRD# 118913
SEC# 8-53699

Main Office Location
600 FIFTH AVENUE
2ND FLOOR
NEW YORK, NY 10020
Regulated by FINRA New York Office

Mailing Address
600 FIFTH AVENUE
2ND FLOOR
NEW YORK, NY 10020

Business Telephone Number
917-349-7050

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 Delaware on 10/12/2001.
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
- 52 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	1



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 10/12/2001.

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.

STONEHAVEN, LLC

Doing business as STONEHAVEN, LLC

CRD# 118913

SEC# 8-53699

Main Office Location

600 FIFTH AVENUE
2ND FLOOR
NEW YORK, NY 10020

Regulated by FINRA New York Office

Mailing Address

600 FIFTH AVENUE
2ND FLOOR
NEW YORK, NY 10020

Business Telephone Number

917-349-7050



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):	STONEHAVEN HOLDINGS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER OF STONEHAVEN LLC
Position Start Date	04/2003
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	FRANK, DAVID THOMAS 3256230
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	03/2002
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):	JAFARZADEH, STEVEN ERIC 2994968
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	08/2007

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):	SULLIVAN, MARK JOSEPH 2925479
Is this a domestic or foreign entity or an individual?	Individual
Position	CGO
Position Start Date	07/2013
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

Legal Name & CRD# (if any):	FRANK, DAVID THOMAS 3256230
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	STONEHAVEN HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	12/2006
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	JAFARZADEH, STEVEN ERIC 2994968
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	STONEHAVEN HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	11/2012
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SULLIVAN, MARK JOSEPH
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Firm Profile



Indirect Owners (continued)

	2925479
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	STONEHAVEN HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	07/2013
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
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 52 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/15/2002

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	03/15/2002



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/17/2012
Alaska	Approved	02/07/2014
Arizona	Approved	01/18/2012
Arkansas	Approved	02/10/2014
California	Approved	03/28/2002
Colorado	Approved	11/08/2002
Connecticut	Approved	01/14/2003
Delaware	Approved	01/03/2011
District of Columbia	Approved	02/12/2014
Florida	Approved	10/24/2002
Georgia	Approved	08/26/2003
Hawaii	Approved	03/28/2013
Idaho	Approved	01/08/2014
Illinois	Approved	06/20/2002
Indiana	Approved	06/28/2013
Iowa	Approved	12/21/2012
Kansas	Approved	11/23/2011
Kentucky	Approved	01/13/2014
Louisiana	Approved	01/13/2014
Maine	Approved	02/20/2014
Maryland	Approved	05/08/2013
Massachusetts	Approved	07/13/2004
Michigan	Approved	05/11/2011
Minnesota	Approved	05/29/2012
Mississippi	Approved	01/10/2014
Missouri	Approved	06/18/2012
Montana	Approved	02/07/2014
Nebraska	Approved	02/21/2014
Nevada	Approved	01/16/2013
New Hampshire	Approved	02/27/2014
New Jersey	Approved	09/07/2004
New Mexico	Approved	08/06/2007
New York	Approved	05/03/2002

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	05/16/2002
North Dakota	Approved	03/11/2014
Ohio	Approved	07/13/2011
Oklahoma	Approved	12/06/2012
Oregon	Approved	06/23/2011
Pennsylvania	Approved	08/30/2005
Puerto Rico	Approved	06/07/2021
Rhode Island	Approved	09/30/2013
South Carolina	Approved	08/13/2010
South Dakota	Approved	10/14/2010
Tennessee	Approved	01/03/2003
Texas	Approved	08/19/2003
Utah	Approved	03/20/2013
Vermont	Approved	12/18/2013
Virginia	Approved	03/10/2014
Washington	Approved	03/03/2003
West Virginia	Approved	02/20/2014
Wisconsin	Approved	05/07/2012
Wyoming	Approved	02/12/2014



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

Private placements of securities

Other - THE FIRM'S PRIVATE PLACEMENT ACTIVITIES INCLUDE: REFERRING/INTRODUCING QUALIFIED INVESTORS TO PRIVATE INVESTMENT VEHICLES. FACILITATING DEBT/EQUITY SECURITIES OFFERINGS THROUGH PRIVATE PLACEMENTS, M&A, FACILITATING BUY-SIDE AND SELL-SIDE TRANSACTIONS, AND OTHER TRANSACTIONS INVOLVING PRIVATE PLACEMENTS OF SECURITIES. THE FIRM ACTS AS THE U.S. BROKER-DEALER CHAPERONING FOREIGN BROKER-DEALERS WHERE THE FOREIGN BROKER-DEALER'S BUSINESS UNDER SEA RULE 15A-6 IS LIMITED TO PROVIDING PRIVATE PLACEMENT SERVICES.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: THE FIRM PROVIDES NON-BROKER-DEALER ADVISORY SERVICES, ON A SELECT BASIS, IN CONNECTION WITH M&A, CORPORATE FINANCES, TENDER OFFERS, FINANCIAL RESTRUCTURINGS, ASSET SALES, JOINT VENTURE PARTNERSHIPS, DIVESTITURES, AND OTHER CORP REORGS, BUSINESS TRANSACTIONS AND MATTERS.

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:	BOX, INC.
Business Address:	900 JEFFERSON AVE REDWOOD CITY, CA 94063
Effective Date:	10/01/2013
Description:	CLOUD STORAGE FOR DOCUMENTS
Name:	GLOBAL RELAY
Business Address:	220 CAMBIE STREET 2ND FLOOR VANCOVER, CANADA V6B 2M9
Effective Date:	09/01/2012
Description:	GLOBAL RELAY IS THE THIRD PARTY UTILIZED FOR ALL ELECTRONIC CORRESPONDENCE REVIEW.
Name:	COMPLY
Business Address:	136 MADISON AVE NEW YORK, NY 10016
Effective Date:	01/01/2021
Description:	COMPLYSCI IS THE THIRD PARTY DATA AGGREGATOR FOR ALL DISCLOSED EMPLOYEE INVESTMENT ACCOUNTS.
Name:	SALESFORCE
Business Address:	415 MISSION STREET SAN FRANCISCO, CA 94105
Effective Date:	09/01/2009
Description:	SALESFORCE HOUSES ALL OF OUR CLIENT PROFILES

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

Name:	INTERACTIVE BROKERS
Business Address:	TWO PICKWICK PLAZA GREEWICH, CT 06830
Effective Date:	08/20/2018
Description:	FIRM INVESTMENT ACCOUNT THAT HOLDS ONLY FIXED INCOME

Firm Operations

Industry Arrangements (continued)

SECURITIES

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.**

STONEHAVEN ADVISORS, LLC is under common control with the firm.

CRD #:	322608
Business Address:	600 FIFTH AVENUE 2ND FLOOR NEW YORK, NY 10020
Effective Date:	07/27/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	STONEHAVEN ADVISORS, LLC AND STONEHAVEN, LLC ARE UNDER COMMON CONTROL THROUGH DAVID FRANK AND STONEHAVEN HOLDINGS, 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	1	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:**
 - o 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:**
 - o 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:**
 - o 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.
 - o 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 1

Reporting Source: Regulator

Current Status: Final



Allegations: STONEHAVEN TRANSACTED BROKER-DEALER BUSINESS WITHOUT BEING REGISTERED TO DO SO WITH THE KANSAS SECURITIES COMMISSIONER. THE FIRM ASSOCIATED WITH OR EMPLOYED AN INDIVIDUAL THAT WAS REQUIRED TO REGISTER AS AN AGENT AND FAILED TO REGISTER PRIOR TO EFFECTING TRANSACTIONS IN KANSAS.

Initiated By: KANSAS

Date Initiated: 04/10/2015

Docket/Case Number: 2015E005/2015-6241

URL for Regulatory Action:

Principal Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 04/10/2015

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: A \$5000 CONTRIBUTION TO THE INVESTOR ED FUND WAS PAID IN ACCORDANCE WITH THIS CONSENT ORDER ON 4/10/15

Reporting Source: Firm

Current Status: Final

Allegations: REGISTERED REP MARKETED SECURITIES TO KS RIAS WITHOUT PROPER REGISTRATION IN THE STATE OF KS.

Initiated By: KANSAS STATE SECURITIES COMMISSIONER

Date Initiated: 04/10/2015



Docket/Case Number:	DOCKET NO. 2015E005 ; KSC NO. 2015-6241
Principal Product Type:	Other
Other Product Type(s):	LIMITED PARTNERSHIP
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	CONTRIBUTION OF \$5,000 MADE TO INVESTOR EDUCATION FUND
Resolution:	Consent
Resolution Date:	04/10/2015
Sanctions Ordered:	Monetary/Fine \$5,000.00
Other Sanctions Ordered:	CONTRIBUTION OF \$5,000 MADE TO INVESTOR EDUCATION FUND
Sanction Details:	CONTRIBUTION OF \$5,000 MADE TO INVESTOR EDUCATION FUND AND PAID IN FULL IN APRIL 2015
Firm Statement	BD AND RR WERE GRANTED REGISTRATION APPROVAL IN KS WITHIN 60 DAYS OF TRANSACTIONS CLOSING.

End of Report



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