BrokerCheck Report

ETICO PARTNERS, LLC

CRD# 122481

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.
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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.

ETICO PARTNERS, LLC

CRD# 122481

SEC# 8-65500

Main Office Location

85 RAILROAD PLACE
SUITE 101A
SARATOGA SPRINGS, NY 12866
Regulated by FINRA Woodbridge Office

Mailing Address

85 RAILROAD PLACE
SUITE 101A
SARATOGA SPRINGS, NY 12866

Business Telephone Number

518-348-0060

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 05/15/2002.

Its fiscal year ends in March.

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
- 23 U.S. states and territories

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

This firm conducts 18 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? **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 05/15/2002.

Its fiscal year ends in March.

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.

ETICO PARTNERS, LLC

Doing business as ETICO PARTNERS, LLC

CRD# 122481

SEC# 8-65500

Main Office Location

85 RAILROAD PLACE
SUITE 101A
SARATOGA SPRINGS, NY 12866

Regulated by FINRA Woodbridge Office

Mailing Address

85 RAILROAD PLACE
SUITE 101A
SARATOGA SPRINGS, NY 12866

Business Telephone Number

518-348-0060

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):	ETICO FINANCIAL LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	EQUITY HOLDER OF ETICO PARTNERS, LLC
Position Start Date	06/2023
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):	GILBERT, JOSHUA TYLER 6578136
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	07/2025
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):	LEO, JOSEPH ALBERT 4988004
Is this a domestic or foreign entity or an individual?	Individual
Position	EXECUTIVE VP
Position Start Date	07/2022

Direct Owners and Executive Officers (continued)

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):	OCONNOR, MICHAEL M 7079764
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	02/2026
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):	SANFILIPPO, ANTHONY MARK 865272
Is this a domestic or foreign entity or an individual?	Individual
Position	ROSFP
Position Start Date	03/2021
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):	WEISMAN, SCOTT ALAN

Firm Profile

Direct Owners and Executive Officers (continued)

	2367813
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	01/2018
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):	ETICO FINANCIAL, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ETICO FINANCIAL LLC
Relationship to Direct Owner	EQUITY OWNER OF ETICO FINANCIAL LLC
Relationship Established	04/2025
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):	WEISMAN, SCOTT ALAN 2367813
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	PTERODACTYL HOLDINGS, LLC
Relationship to Direct Owner	EQUITY HOLDER OF PTERODACTYL HOLDINGS, LLC
Relationship Established	04/2010
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):	EOS VENTURE PARTNERS LIMITED 319181

Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	ETICO FINANCIAL, LLC
Relationship to Direct Owner	EQUITY HOLDER OF ETICO FINANCIAL, LLC
Relationship Established	11/2025
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):	LEO, JOSEPH ALBERT 4988004
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ETICO FINANCIAL, INC.
Relationship to Direct Owner	EQUITY HOLDER OF ETICO FINANCIAL, INC.
Relationship Established	01/2018
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

Legal Name & CRD# (if any):	PTERODACTYL HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is	ETICO FINANCIAL, INC.

Firm Profile

Indirect Owners (continued)

established

Relationship to Direct Owner	EQUITY HOLDER OF ETICO FINANCIAL, INC.
Relationship Established	06/2017
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 23 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/16/2002

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: 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	09/16/2002

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	09/20/2002
California	Approved	09/19/2002
Colorado	Approved	09/19/2002
Connecticut	Approved	09/17/2002
Florida	Approved	09/19/2002
Georgia	Approved	09/17/2002
Illinois	Approved	09/29/2020
Indiana	Approved	09/17/2002
Kansas	Approved	06/01/2023
Maine	Approved	11/30/2018
Mississippi	Approved	05/22/2025
Nevada	Approved	05/22/2023
New Jersey	Approved	09/18/2002
New Mexico	Approved	08/09/2002
New York	Approved	08/21/2002
North Carolina	Approved	05/27/2025
Oklahoma	Approved	05/27/2025
Pennsylvania	Approved	09/18/2002
South Carolina	Approved	06/17/2025
Texas	Approved	09/11/2002
Vermont	Approved	09/19/2002
Virgin Islands	Termination Requested	12/31/2018
Virginia	Approved	09/17/2002

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 18 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities dealer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
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
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Broker or dealer selling interests in mortgages or other receivables
Other - THE FIRM, FOR ITSELF AND CUSTOMERS, INTENDS TO PURCHASE AND SELL MONEY MARKET INSTRUMENTS INCLUDING BUT NOT LIMITED TO CD'S, COMMERCIAL PAPER, AND OTHER DEBT SECURITIES.THE FIRM MAY ALSO TRADE DEFAULTED BONDS FOR ITSELF AND CUSTOMERS. THE FIRM MAY ALSO BE INVOLVED IN M&A AND OTHER TRANSACTIONS IN CONNECTION WITH DISTRESSED SECURITIES.

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 refer or introduce customers to other brokers and dealers.

Name:	RBC CAPITAL MARKETS, LLC
CRD #:	31194
Business Address:	3 WORLD FINANCIAL CENTER NEW YORK, NY 10281
Effective Date:	01/19/2018
Description:	ETICO PARTNERS, LLC HAS ENTERED INTO AN ARRANGEMENT WITH RBC CAPITAL MARKETS,LLC TO INTRODUCE, PROCESS, CLEAR AND HOLD IN CUSTODY CUSTOMER FUNDS AND SECURITIES ON A FULLY DISCLOSED BASIS.

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.

QUARTZ PARTNERS INVESTMENT MANAGEMENT is under common control with the firm.

CRD #:	174327
Business Address:	19 RAILROAD PL, STE 202 SARATOGA SPRINGS, NY 12866
Effective Date:	02/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ETICO PARTNERS LLC (122481) IS AFFILIATED WITH QUARTZ PARTNERS INVESTMENT MANAGEMENT (174327) THROUGH OWNERSHIP BY THE HOLDING COMPANY, ETICO FINANCIAL, 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:**
    - 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 1

Reporting Source:	Regulator
Current Status:	Final

Allegations:	NASD CONDUCT RULE 3110 AND SEC RULE 17A-3(6) - RESPONDENT MEMBER FAILED TO PREPARE AN ORDER TICKET FOR TRANSACTIONS; FAILED TO RECORD THE TIME OF ENTRY OF AN ORDER TICKET FOR TRANSACTIONS; AND, FAILED TO RECORD THE TIME OF RECEIPT ON AN ORDER TICKET FOR TRANSACTIONS PROCESSED.
Initiated By:	NASD
Date Initiated:	11/29/2004
Docket/Case Number:	C10040113
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/29/2004
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:	Censure Monetary/Fine $9,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT MEMBER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM IS CENSURED AND FINED $9,000.

Reporting Source:	Firm
Current Status:	Final
Allegations:	VIOLATIONS OF SEC RULE 17A-3(A)(6) AND NASD RULE 3110 (BOOKS AND RECORDS PREPARATION)
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS

Date Initiated:	11/29/2004
Docket/Case Number:	C10040113
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	MONETARY FINE
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/29/2004
Sanctions Ordered:	Censure Monetary/Fine $9,000.00
Other Sanctions Ordered:	
Sanction Details:	$9000.00 FINE LEVIED AGAINST APPLICANT. PAID DECEMBER 1, 2004
Firm Statement	IN LATE 2003, NASD STAFF REVIEWED ORDER TICKETS FOR THE PERIOD JANUARY 1, 2001 TO SEPTEMBER 30, 2003. NASD STAFF DISCOVERED RECORDKEEPING VIOLATIONS INVOLVING PROPER COMPLETION OF CERTAIN ORDER TICKETS AND DETERMINED THAT THESE INSTANCES CONSTITUTED VIOLATIONS OF SEC RULE 17A-3(6) AND NASD CONDUCT RULE 3110.

End of Report

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