

BrokerCheck Report

CASTLEOAK SECURITIES, LP

CRD# 125334

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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.

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.



CASTLEOAK SECURITIES, LP

CRD# 125334

SEC# 8-65786

Main Office Location

200 VESEY STREET
FL 04
NEW YORK, NY 10281
Regulated by FINRA New York Office

Mailing Address

200 VESEY ST
FL 04
NEW YORK, NY 10281

Business Telephone Number

646-521-6700

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 partnership.

This firm was formed in Delaware on 07/01/2004.

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
- 50 U.S. states and territories

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

This firm conducts 12 types of businesses.

This firm is not affiliated with any 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	2
Civil Event	1



Firm Profile

This firm is classified as a partnership.

This firm was formed in Delaware on 07/01/2004.

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.

CASTLEOAK SECURITIES, LP

Doing business as CASTLEOAK SECURITIES, LP

CRD# 125334

SEC# 8-65786

Main Office Location

200 VESEY STREET

FL 04

NEW YORK, NY 10281

Regulated by FINRA New York Office

Mailing Address

200 VESEY ST

FL 04

NEW YORK, NY 10281

Business Telephone Number

646-521-6700



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): JONES, DAVID RODERICK

2389684

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

Position CHIEF EXECUTIVE OFFICER

Position Start Date 03/2006

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): CASTLEOAK MANAGEMENT, LLC

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

Position GENERAL PARTNER

Position Start Date 07/2004

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): GOMEZ, LUIS J

4974439

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

Position FINOP AND PRINCIPAL FINANCIAL OFFICER

Position Start Date 12/2021

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): IPPOLITO, PHILIP
1072137

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

Position CHIEF OPERATING OFFICER AND PRINCIPAL OPERATIONS OFFICER

Position Start Date 03/2006

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): SKINNER, JEFFREY THOMAS
4078336

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

Position SENIOR VICE PRESIDENT AND CHIEF COMPLIANCE OFFICER

Position Start Date 05/2025

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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	JONES, DAVID RODERICK 2389684
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CASTLEOAK MANAGEMENT, LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	03/2006
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



Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

This firm was previously:	GOLDROCK GROUP, LLC
Date of Succession:	07/01/2004
Predecessor CRD#:	125334
Predecessor SEC#:	8-65786
Description	GOLDROCK GROUP LLC ("GOLDROCK")REORGANIZED FROM A DELAWARE LIMITED LIABILITY COMPANY TO A DELWARE LIMITED PARTNERSHIP WHICH NOW OPERATES UNDER THE NAME BGC MARKETS, L.P. ("BGC"). AS A RESULT TO THE REORGANIZATION, BGC SUCCEEDED TO THE ENTIRE BUSINESS, ASSETS, AND LIABILITIES OF GOLDROCK. THERE WAS NO CHANGE IN THE NATURE OF BUSINESS, SUPERVISORY PERSONNEL, OR THE ULTIMATE OWNERSHIP OR CONTOROL OF THE BUSINESS PREVIOUSLY CONDUCTED BY GOLDROCK.
This firm was previously:	GOLDROCK GROUP, LLC
Date of Succession:	07/01/2004
Predecessor CRD#:	125334
Predecessor SEC#:	8-65786
Description	GOLDROCK GROUP LLC ("GOLDROCK")REORGANIZED FROM A DELAWARE LIMITED LIABILITY COMPANY TO A DELWARE LIMITED PARTNERSHIP WHICH NOW OPERATES UNDER THE NAME BGC MARKETS, L.P. ("BGC"). AS A RESULT TO THE REORGANIZATION, BGC SUCCEEDED TO THE ENTIRE BUSINESS, ASSETS, AND LIABILITIES OF GOLDROCK. THERE WAS NO CHANGE IN THE NATURAE OF BUSINESS, SUPERVISORY PERSONNEL, OR THE ULTIMATE OWNERSHIP OR CONTOROL OF THE BUSINESS PREVIOUSLY CONDUCTED BY GOLDROCK.



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 50 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	07/24/2003

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	07/24/2003



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	04/28/2016
Alaska	Approved	03/21/2024
Arizona	Approved	04/29/2013
Arkansas	Approved	08/29/2013
California	Approved	07/25/2003
Colorado	Approved	11/12/2007
Connecticut	Approved	07/25/2003
Delaware	Approved	08/16/2013
District of Columbia	Approved	08/01/2013
Florida	Approved	09/04/2013
Georgia	Approved	04/13/2007
Hawaii	Approved	04/30/2024
Idaho	Approved	08/02/2013
Illinois	Approved	07/24/2003
Indiana	Approved	05/07/2013
Iowa	Approved	08/07/2013
Kansas	Approved	08/09/2013
Kentucky	Approved	03/05/2013
Louisiana	Approved	08/05/2013
Maine	Approved	10/04/2013
Maryland	Approved	09/30/2013
Massachusetts	Approved	05/03/2013
Michigan	Approved	04/05/2004
Minnesota	Approved	08/08/2013
Mississippi	Approved	03/25/2014
Missouri	Approved	11/16/2007
Montana	Approved	07/16/2024
Nebraska	Approved	03/28/2023
Nevada	Approved	08/27/2013
New Hampshire	Approved	04/25/2023
New Jersey	Approved	07/29/2003
New Mexico	Approved	06/05/2013
New York	Approved	03/24/2003

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	08/05/2013
North Dakota	Approved	09/10/2013
Ohio	Approved	08/20/2006
Oklahoma	Approved	08/05/2013
Oregon	Approved	07/27/2010
Pennsylvania	Approved	10/16/2009
Rhode Island	Approved	03/05/2014
South Carolina	Approved	08/27/2013
South Dakota	Approved	08/02/2013
Tennessee	Approved	03/31/2023
Texas	Approved	06/01/2012
Utah	Approved	08/02/2013
Vermont	Approved	07/22/2016
Virginia	Approved	08/07/2013
Washington	Approved	08/26/2013
West Virginia	Approved	03/16/2018
Wisconsin	Approved	07/29/2013



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 12 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)
U S. government securities dealer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
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 - 1.REVERSE REPURCHASE ACTIVITY 2. PROPRIETARY TRADING IN FIXED INCOME AND GOVERNMENT SECURITIES, INCLUDING THE EXECUTION OF REPURCHASE AGREEMENTS IN GOVERNMENT SECURITIES; AND DIRECT ORDERS IN FOREIGN SECURITIES ON BEHALF OF ITS INSTITUTIONAL CLIENTS UNDER LIMITED TRADING AUTHORIZATION FROM SUCH CLIENTS TO BE EXECUTED, SETTLED, AND CLEARED BY OTHER BROKER-DEALERS UNDER COMMISSION SHARING AGREEMENTS.

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:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	03/01/2013
Description:	FULLY DISCLOSED CLEARING AGREEMENT

Firm Operations

Industry Arrangements



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

Name: EZE CASTLE INTEGRATION, INC.

Business Address: 529 FIFTH AVENUE
7TH FLOOR
NEW YORK, NY 10017

Effective Date: 06/30/2023

Description: ELECTRONIC STORAGE MEDIA - THIRD PARTY WITH APPROPRIATE EXPERTISE

Name: BLOOMBERG VAULT SURVEILLANCE

Business Address: 731 LEXINGTON AVENUE
NY, NY 10022

Effective Date: 11/01/2020

Description: ELECTRONIC STORAGE MEDIA - THIRD PARTY WITH APPROPRIATE EXPERTISE

Name: GLOBAL RELAY

Business Address: 286 MADISON AVENUE
7TH FLOOR
NY, NY 10017

Effective Date: 02/01/2022

Description: ELECTRONIC STORAGE MEDIA - THIRD PARTY WITH APPROPRIATE EXPERTISE

Name: BLOOMBERG LP

Business Address: 731 LEXINGTON AVENUE
NEW YORK, NY 10022

Effective Date: 05/21/2011

Description: ELECTRONIC STORAGE MEDIA - THIRD PARTY WITH APPROPRIATE EXPERTISE

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

Name: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA

Firm Operations



Industry Arrangements (continued)

JERSEY CITY, NJ 07399

Effective Date: 08/03/2020

Description: APPLICANT HAS ENTERED INTO CLEARING ARRANGEMENTS WITH THE ABOVE FIRM, UNDER WHICH ARRANGEMENTS THE ABOVE FIRM WILL HOLD AND MAINTAIN FUNDS AND SECURITIES OF APPLICANT.

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

Name: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 08/03/2020

Description: APPLICANT HAS ENTERED INTO CLEARING ARRANGEMENTS WITH THE ABOVE FIRM, UNDER WHICH ARRANGEMENTS THE ABOVE FIRM WILL HOLD AND MAINTAIN FUNDS AND SECURITIES OF APPLICANT.

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 not, 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.**

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	2	0
Civil Event	1	0	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 2

Reporting Source: Regulator

Current Status: Final



Allegations: FINRA RULE 6730 - CASTLEOAK SECURITIES, LP FAILED TO REPORT TO THE TRADE REPORTING AND COMPLIANCE ENGINE (TRACE) THE CORRECT CONTRA-PARTY'S IDENTIFIER FOR INTER-DEALER TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES. THE FIRM ALSO FAILED TO REPORT TO TRACE INTER-DEALER TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES IT WAS REQUIRED TO REPORT TO TRACE.

Initiated By: FINRA

Date Initiated: 07/12/2012

Docket/Case Number: 2011026938101

Principal Product Type: Other

Other Product Type(s): TRACE-ELIGIBLE SECURITIES

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/12/2012

Sanctions Ordered: Censure
Monetary/Fine \$27,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$27,500. FINE PAID IN FULL ON 08/01/2012.

Reporting Source: Firm

Current Status: Final

Allegations: FINRA RULE 6730 - CASTLEOAK SECURITIES, LP FAILED TO REPORT TO THE TRADE REPORTING AND COMPLIANCE ENGINE (TRACE) THE CORRECT CONTRA-PARTY'S IDENTIFIER FOR INTER-DEALER TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES. THE FIRM ALSO FAILED TO REPORT TO TRACE INTER-DEALER TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES IT WAS REQUIRED TO REPORT TO TRACE.

Initiated By: FINRA

Date Initiated: 07/12/2012



Docket/Case Number: 2011026938101

Principal Product Type: Other

Other Product Type(s): TRACE-ELIGIBLE SECURITIES

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/12/2012

Sanctions Ordered: Censure
Monetary/Fine \$27,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$27,500.

Disclosure 2 of 2

Reporting Source: Regulator

Current Status: Final

Allegations: NASD RULES 2110, 3010, 6230(C)(4), 6230(C)(6) - CASTLEOAK SECURITIES, LP FAILED TO REPORT TO THE TRADE REPORTING AND COMPLIANCE ENGINE (TRACE) THE CORRECT CONTRA-PARTY'S IDENTIFIER FOR TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES. THE FIRM FAILED TO REPORT THE CORRECT PERSPECTIVE (BUY/SELL) TO TRACE FOR ONE OF THE REPORTS. THE FIRM'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS, REGULATIONS AND NASD RULES CONCERNING REPORTING TO TRACE.

Initiated By: FINRA

Date Initiated: 09/24/2010

Docket/Case Number: 2009017971301

Principal Product Type: Other

Other Product Type(s): TRACE-ELIGIBLE SECURITIES



Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/24/2010

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 \$12,500.00

Other Sanctions Ordered: UNDERTAKING

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED, FINED \$12,500 AND REQUIRED TO REVISE ITS WRITTEN SUPERVISORY PROCEDURES REGARDING REPORTING TO TRACE WITHIN 30 BUSINESS DAYS OF ACCEPTANCE OF THIS AWC BY THE NAC.

Reporting Source: Firm

Current Status: Final

Allegations: NASD RULES 2110, 3010, 6230(C)(4), 6230(C)(6) - CASTLEOAK SECURITIES, LP FAILED TO REPORT TO THE TRADE REPORTING AND COMPLIANCE ENGINE (TRACE) THE CORRECT CONTRA-PARTY'S IDENTIFIER FOR TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES. THE FIRM FAILED TO REPORT THE CORRECT PERSPECTIVE (BUY/SELL) TO TRACE FOR ONE OF THE REPORTS. THE FIRM'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS, REGULATIONS AND NASD RULES CONCERNING REPORTING TO TRACE.

Initiated By: FINRA.

Date Initiated: 09/24/2010

Docket/Case Number: 2009017971301



Principal Product Type: Other

Other Product Type(s): TRACE-ELIGIBLE SECURITIES.

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/24/2010

Sanctions Ordered: Censure
Monetary/Fine \$12,500.00

Other Sanctions Ordered: UNDERTAKING.

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED, FINED \$12,500 AND REQUIRED TO REVISE ITS WRITTEN SUPERVISORY PROCEDURES REGARDING REPORTING TO TRACE WITHIN 30 BUSINESS DAYS OF ACCEPTANCE OF THIS AWC BY THE NAC.



Civil - Pending

This type of disclosure event involves a pending civil court action that with seek an injunction to cease certain investment-related activity or alleges a violation of any investment-related statute or regulation.

Disclosure 1 of 1

Reporting Source:	Firm
Current Status:	Pending
Allegations:	PLAINTIFF ALLEGES, AMONG OTHER THINGS, THAT FRESHWORKS INC'S REGISTRATION STATEMENT AND PROSPECTUS CONTAINED MATERIALLY INCORRECT OR MISLEADING STATEMENTS AND/OR OMITTED MATERIAL INFORMATION THAT WAS REQUIRED BY LAW TO BE DISCLOSED. CASTLEOAK WAS NAMED DEFENDANT AS A MEMBER OF THE UNDERWRITING SYNDICATE.
Initiated By:	MOHAN R. SUNDARAM
Court Details:	U.S. DISTRICT COURT NORTHERN DISTRICT, CALIFORNIA CASE NO. 3:22-CV-06750-SI
Date Court Action Filed:	11/01/2022
Date Notice/Process Served:	11/14/2022
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Relief Sought:	Money Damages (Private/Civil Complaint)
Other Relief Sought:	
Firm Statement	PLAINTIFF ALLEGES, AMONG OTHER THINGS, THAT FRESHWORKS INC'S REGISTRATION STATEMENT AND PROSPECTUS CONTAINED MATERIALLY INCORRECT OR MISLEADING STATEMENTS AND/OR OMITTED MATERIAL INFORMATION THAT WAS REQUIRED BY LAW TO BE DISCLOSED. CASTLEOAK WAS NAMED DEFENDANT AS A MEMBER OF THE UNDERWRITING SYNDICATE. THE UNDERWRITERS ARE INDEMNIFIED BY THE ISSUER IN THIS ACTION. THEREFORE, THE ALLEGATIONS DO NOT IMPACT CASTLEOAK'S OPERATIONS, BUSINESS PRACTICES OR NET CAPITAL.

End of Report



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