BrokerCheck Report

BOURNE PARTNERS SECURITIES, LLC

CRD# 131107

Section Title	Page(s)
Report Summary	1
Firm Profile	2 - 5
Firm History	6
Firm Operations	7 - 12

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.

BOURNE PARTNERS SECURITIES, LLC

CRD# 131107

SEC# 8-66421

Main Office Location

550 SOUTH CALDWELL STREET
SUITE 900
CHARLOTTE, NC 28202
Regulated by FINRA Atlanta Office

Mailing Address

550 SOUTH CALDWELL STREET
SUITE 900
CHARLOTTE, NC 28202

Business Telephone Number

704-552-8407

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 North Carolina on 10/28/2003.

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
- 3 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? **No**

©2026 FINRA. All rights reserved.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in North Carolina on 10/28/2003.

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.

BOURNE PARTNERS SECURITIES, LLC

Doing business as BOURNE PARTNERS SECURITIES, LLC

CRD# 131107

SEC# 8-66421

Main Office Location

550 SOUTH CALDWELL STREET
SUITE 900
CHARLOTTE, NC 28202

Regulated by FINRA Atlanta Office

Mailing Address

550 SOUTH CALDWELL STREET
SUITE 900
CHARLOTTE, NC 28202

Business Telephone Number

704-552-8407

©2026 FINRA. All rights reserved.

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):	BOURNE PARTNERS HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MANAGING MEMBER
Position Start Date	09/2014
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):	CALVO, GEORGE ALFRED 1379026
Is this a domestic or foreign entity or an individual?	Individual
Position	CFO/FIN OP
Position Start Date	09/2014
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):	INKLEBARGER, CHRISTOPHER RANDALL 6235769
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO/AMLCO
Position Start Date	10/2015

©2026 FINRA. All rights reserved.

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?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	JOHNSON, JEREMY CHARLES 6303300
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER
Position Start Date	10/2015
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

©2026 FINRA. All rights reserved.

Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	BOURNE CAPITAL PARTNERS, L.L.C.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	BOURNE PARTNERS HOLDINGS, LLC
Relationship to Direct Owner	MANAGING MEMBER
Relationship Established	01/2011
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):	BOURNE, RAYMOND FAIRBANKS 3170057
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	BOURNE CAPITAL PARTNERS, L.L.C.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	12/2001
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

©2026 FINRA. All rights reserved.

Firm History

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

No information reported.

©2026 FINRA. All rights reserved.

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 3 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	08/16/2004

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	08/16/2004

©2026 FINRA. All rights reserved.

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	03/18/2019
New York	Approved	09/29/2024
North Carolina	Approved	08/19/2004

©2026 FINRA. All rights reserved.

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 - BOURNE PARTNERS SECURITIES, LLC WILL PROVIDE MERGER AND ACQUISITION ADVISORY WORK FOR BUY SIDE AND SELL-SIDE TRANSACTIONS. THE SCOPE AND PROCESS OF THE WORK WILL INCLUDE PREPARATION OF AN OFFERING MEMORANDUM DISSEMINATION OF THE MEMORANDUM TO PROSPECTIVE BUYERS SOLICITING BIDS AND ADVISING OUR CLIENTS ON SUCH OFFERS. THE FIRM WILL ALSO ENGAGE IN INVESTMENT BANKING ACTIVITIES.

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:

©2026 FINRA. All rights reserved.

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.

©2026 FINRA. All rights reserved.

Firm Operations

Industry Arrangements

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

Name: GLOBAL RELAY COMMUNICATIONS INC.

Business Address:
220 CAMBIE STREET
2ND FLOOR
VANCOUVER, CANADA V6B 2M9

Effective Date: 09/08/2015

Description: GLOBAL RELAY IS AN OUTSOURCED ELECTRONIC RECORDKEEPING SYSTEM VENDOR FOR SOME OR ALL OF BOURNE PARTNERS SECURITIES ELECTRONIC RECORD PRESERVATION IN ACCORDANCE WITH THE SECURITIES AND EXCHANGE COMMISSION RULE 17A-4

Name: COMPLIANCE SCIENCE, INC.

Business Address:
136 MADISON AVENUE
8TH FLOOR
NEW YORK, NY 10016

Effective Date: 09/20/2023

Description: COMPLIANCE SCIENCE, AN INDEPENDENT THIRD-PARTY, MAINTAINS CERTAIN SOFTWARE-AS-A-SERVICE PLATFORMS AND APPLICATIONS THAT RECEIVE, STORE AND, ARCHIVE PERSONAL TRADING-RELATED DATA IN ELECTRONIC FORM.

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.

©2026 FINRA. All rights reserved.

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.

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

Business Address:	550 SOUTH CALDWELL STREET SUITE 920 CHARLOTTE, NC 28202
Effective Date:	02/03/2026
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE FIRM AND THIS AFFILIATE ARE BOTH ULTIMATELY OWNED BY THE SAME BENEFICIAL OWNER. THE FIRM IS OWNED BY BOURNE PARTNERS HOLDINGS, LLC, WHICH IS A WHOLLY OWNED SUBSIDIARY OF BOURNE CAPITAL PARTNERS, LLC, WHICH IS WHOLLY OWNED BY RAYMOND F. BOURNE. TCS ADVISORS, LLC IS ALSO WHOLLY OWNED BY RAYMOND F. BOURNE.

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**

©2026 FINRA. All rights reserved.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved.