

BrokerCheck Report

STONECASTLE SECURITIES, LLC

CRD# 131211

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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:
 - 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.



STONECASTLE SECURITIES, LLC

CRD# 131211

SEC# 8-66434

Main Office Location

152 WEST 57TH STREET
52ND FL
NEW YORK, NY 10019
Regulated by FINRA New York Office

Mailing Address

152 WEST 57TH STREET
52ND FLOOR
NEW YORK, NY 10019

Business Telephone Number

212-354-6500 X. 304

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 03/08/2004.
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
- 7 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 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? **No**



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 03/08/2004.

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.

STONECASTLE SECURITIES, LLC

Doing business as STONECASTLE SECURITIES, LLC

CRD# 131211

SEC# 8-66434

Main Office Location

152 WEST 57TH STREET
52ND FL
NEW YORK, NY 10019

Regulated by FINRA New York Office

Mailing Address

152 WEST 57TH STREET
52ND FLOOR
NEW YORK, NY 10019

Business Telephone Number

212-354-6500 X. 304



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): STONECASTLE PARTNERS, LLC

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

Position SOLE MEMBER

Position Start Date 09/2021

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): HOLMEN, ROBERT CHRISTOPHER

2919060

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

Position PRESIDENT, CCO

Position Start Date 03/2011

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): | CHARLESBANK EQUITY FUND VI, LP |
| Is this a domestic or foreign entity or an individual? | Domestic Entity |
| Company through which indirect ownership is established | STONECASTLE PARTNERS, LLC |
| Relationship to Direct Owner | MEMBER |
| Relationship Established | 01/2013 |
| 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): | SIEGEL, JOSHUA STUART 3131719 |
| Is this a domestic or foreign entity or an individual? | Individual |
| Company through which indirect ownership is established | STONECASTLE PARTNERS LLC |
| Relationship to Direct Owner | MEMBER |
| Relationship Established | 06/2003 |
| 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 7 U.S. states and territories.

| Federal Regulator | Status | Date Effective |
|-------------------|----------|----------------|
| SEC | Approved | 09/28/2004 |

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: 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 | 09/28/2004 |

Firm Operations



Registrations (continued)

| U.S. States & Territories | Status | Date Effective |
|---------------------------|----------|----------------|
| Alabama | Approved | 07/21/2010 |
| Connecticut | Approved | 05/27/2010 |
| Florida | Approved | 05/22/2024 |
| Georgia | Approved | 04/26/2024 |
| New Jersey | Approved | 05/25/2010 |
| New York | Approved | 08/25/2004 |
| Utah | Approved | 06/10/2010 |



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 |
| U S. government securities dealer |
| U S. government securities broker |
| Municipal securities dealer |
| Municipal securities broker |
| Put and call broker or dealer or option writer |
| 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 - STRUCTURING FIXED INCOME STRUCTURED FINANCE TRANSACTIONS |

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: | STONEX FINANCIAL INC. |
| CRD #: | 45993 |
| Business Address: | 329 PARK AVE. N. SUITE 350 WINTER PARK, FL 32789 |
| Effective Date: | 07/01/2017 |
| Description: | STONECASTLE SECURITIES, LLC CLEARS ITS TRANSACTIONS ON A FULLY DISCLOSED BASIS THROUGH A CLEARING AGREEMENT WITH STONEX FINANCIAL INC. (F.K.A. INTL FCSTONE FINANCIAL, INC.) |

Firm Operations

Industry Arrangements



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

| | |
|--------------------------|--|
| Name: | AMAZON WEB SERVICES, INC. |
| Business Address: | 1200 12TH AVENUE SOUTH, STE 1200 SEATTLE, WA 98144 |
| Effective Date: | 02/01/2017 |
| Description: | SEC CERTIFIED BACK UP & ARCHIVING CLOUD STORAGE OF FIRM RECORDS. |

| | |
|--------------------------|--|
| Name: | CARBONITE, INC. |
| Business Address: | 2 AVENUE DE LAFAYETTE, FLOOR 6 BOSTON, MA 02111 |
| Effective Date: | 06/13/2015 |
| Description: | FIRM WIDE CLOUD BACK UP SERVICE |

| | |
|--------------------------|---|
| Name: | GLOBAL RELAY COMMUNICATIONS, INC. |
| Business Address: | 220 CAMBIE STREET, STE. 270 VANCOUVER, CANADA BC V6B 2M9 |
| Effective Date: | 02/11/2008 |
| Description: | ELECTRONIC MAIL ARCHIVING SERVICE MEETING COMPLIANCE REQUIREMENTS |

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.

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

| | |
|--|--|
| CRD #: | 166252 |
| Business Address: | 152 WEST 57TH STREET 35TH FLOOR NEW YORK, NY 10019 |
| Effective Date: | 01/03/2013 |
| Foreign Entity: | No |
| Country: | |
| Securities Activities: | No |
| Investment Advisory Activities: | Yes |
| Description: | SAM'S IMMEDIATE PARENT IS STONECASTLE ADVISORY SERVICES ("SAS") AN ENTITY CONTROLLED BY STONECASTLE PARTNERS, LLC, THE COMMON PARENT OF SAM AND STONECASTLE SECURITIES, LLC. |

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

| | |
|--|--|
| CRD #: | 132495 |
| Business Address: | 152 WEST 57TH STREET, 52ND FLOOR NEW YORK, NY 10019 |
| Effective Date: | 03/08/2004 |
| Foreign Entity: | No |
| Country: | |
| Securities Activities: | No |
| Investment Advisory Activities: | Yes |

Firm Operations



Organization Affiliates (continued)

Description: SCA'S IMMEDIATE PARENT IS STONECASTLE ADVISORY SERVICES LLC("SAS") AN ENTITY CONTROLLED BY STONECASTLE PARTNERS LLC, THE COMMON PARENT OF SAS AND STONECASTLE SECURITIES 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

End of Report



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