

BrokerCheck Report

EZE CASTLE TRANSACTION SERVICES LLC

CRD# 132246

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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.

**EZE CASTLE TRANSACTION SERVICES LLC**

CRD# 132246

SEC# 8-66577

Main Office Location

500 TOTTEN POND ROAD, 2ND FLOOR
WALTHAM, MA 02451
Regulated by FINRA Boston Office

Mailing Address

500 TOTTEN POND ROAD, 2ND FLOOR
WALTHAM, MA 02451

Business Telephone Number

617-574-5459

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 10/02/2006.

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 1 type of business.

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**



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 10/02/2006.

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.

EZE CASTLE TRANSACTION SERVICES LLC

Doing business as EZE CASTLE TRANSACTION SERVICES LLC

CRD# 132246

SEC# 8-66577

Main Office Location

500 TOTTEN POND ROAD, 2ND FLOOR
WALTHAM, MA 02451

Regulated by FINRA Boston Office

Mailing Address

500 TOTTEN POND ROAD, 2ND FLOOR
WALTHAM, MA 02451

Business Telephone Number

617-574-5459



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):	EZE CASTLE SOFTWARE LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	10/2006
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):	DITTA, DAVID V 3184921
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGER AND EXECUTIVE MANAGING DIRECTOR
Position Start Date	04/2023
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):	DOHERTY, JOSEPH MICHAEL 4895292
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	12/2018

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): DOHERTY, JOSEPH MICHAEL
4895292

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

Position MANAGER AND MANAGING DIRECTOR

Position Start Date 07/2015

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

Legal Name & CRD# (if any): DOHERTY, JOSEPH MICHAEL
4895292

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 12/2016

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): STUCKY, TODD DOUGLAS

Firm Profile



Direct Owners and Executive Officers (continued)

	1551348
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	07/2021
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



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	SS&C TECHNOLOGIES HOLDINGS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	SS&C TECHNOLOGIES, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	11/2005
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Legal Name & CRD# (if any):	SS&C TECHNOLOGIES, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	EZE CASTLE SOFTWARE LLC
Relationship to Direct Owner	MEMBER
Relationship Established	10/2018
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

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 3 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	11/30/2004

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	11/30/2004

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	12/01/2004
Massachusetts	Approved	12/01/2004
New York	Approved	12/08/2004



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 1 type of business.

Types of Business

Other - (A)SUPPLY BROKERS WITH (1)SERVICE FOR TRANSMITTAL & RECEIPT OF TRADE-RELATED MESSAGES ("MESSAGES") VIA ELECTRONIC CONNECTIONS ("CONNECTIONS") BETWEEN BROKERS & SOFTWARE OFFERINGS OF EZE CASTLE SOFTWARE LLC ("ECS") OR OTHER CORPORATE AFFILIATES & (2)ECS'S EXECUTION MANAGEMENT SOFTWARE OFFERING, INCLUDING SERVICE FOR CONNECTIONS, FOR MESSAGES BETWEEN BROKERS & EXECUTION VENUES; AND (B)TEST & SUPPORT MESSAGES SENT VIA CONNECTIONS ESTABLISHED FOR ORDERS, INDICATIONS OF INTEREST, EXECUTION NOTICES & DROP COPIES

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 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:	AMAZON GLACIER
Business Address:	410 TERRY AVENUE NORTH SEATTLE, WA 98109
Effective Date:	09/07/2017
Description:	PER APPLICANT'S NOTICE TO FINRA DATED 9/17/2017, APPLICANT USES AMAZON GLACIER AS SOLE ELECTRONIC STORAGE MEDIA FOR CERTAIN OF ITS BOOKS AND RECORDS, IN A MANNER MEETING THE CONDITIONS SET FORTH IN SECURITIES EXCHANGE ACT ("SEA") RULE 17A-4(F)(2)(II), AS INTERPRETED IN SECURITIES AND EXCHANGE COMMISSION GUIDANCE.

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.**

SECOND STREET SECURITIES, INC. is under common control with the firm.

CRD #:	42404
Business Address:	600 TOWNSEND STREET, SUITE 500 SAN FRANCISCO, CA 94103
Effective Date:	10/01/2018
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

SS&C GLOBAL INVESTOR & DISTRIBUTION SERVICES, INC. is under common control with the firm.

Business Address:	1055 BROADWAY ST, 7TH FL KANSAS CITY, MO 64105
Effective Date:	10/01/2018
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC. DST SYSTEMS NAME CHANGED TO SS&C GLOBAL INVESTOR & DISTRIBUTION SERVICES, INC. EFFECTIVE 12/31/2022

Firm Operations



Organization Affiliates (continued)

ALPS DISTRIBUTORS, INC. is under common control with the firm.

CRD #:	16853
Business Address:	1290 BROADWAY, SUITE 1000 DENVER, CO 80203
Effective Date:	10/01/2018
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

ALPS ADVISORS, INC. is under common control with the firm.

CRD #:	134340
Business Address:	1290 BROADWAY, SUITE 1000 DENVER, CO 80203
Effective Date:	10/01/2018
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

ALPS PORTFOLIO SOLUTIONS DISTRIBUTOR, INC. is under common control with the firm.

CRD #:	144464
Business Address:	1290 BROADWAY, SUITE 1000 DENVER, CO 80203
Effective Date:	10/01/2018
Foreign Entity:	No

Firm Operations



Organization Affiliates (continued)

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

SS&C MARKET SERVICES, LLC is under common control with the firm.

CRD #: 23568

Business Address: ONE POST OFFICE SQUARE, 9TH FLOOR
BOSTON, MA 02109

Effective Date: 10/01/2018

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC. NAME CHANGED FROM DST MARKET SERVICES, LLC TO SS&C MARKET SERVICES, LLC EFFECTIVE JULY 16, 2020.

EZE SOFTWARE GROUP PTY LIMITED is under common control with the firm.

Business Address: 15VCASTLEREAGH STREET, LEVEL 7
SYDNEY NSW, AUSTRALIA 2000

Effective Date: 12/23/2013

Foreign Entity: Yes

Country: AUSTRALIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

Firm Operations



Organization Affiliates (continued)

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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