BrokerCheck Report

OBERON SECURITIES, LLC

CRD# 132598

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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.
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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.

OBERON SECURITIES, LLC

CRD# 132598

SEC# 8-66607

Main Office Location

445 PARK AVENUE, SUITE 4B
NEW YORK, NY 10022
Regulated by FINRA New York Office

Mailing Address

445 PARK AVENUE, SUITE 4B
NEW YORK, NY 10022

Business Telephone Number

2123867080

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 New York on 04/11/2003.

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
- 22 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 not affiliated with any 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**

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in New York on 04/11/2003.

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.

OBERON SECURITIES, LLC

Doing business as OBERON SECURITIES, LLC

CRD# 132598

SEC# 8-66607

Main Office Location

445 PARK AVENUE, SUITE 4B
NEW YORK, NY 10022

Regulated by FINRA New York Office

Mailing Address

445 PARK AVENUE, SUITE 4B
NEW YORK, NY 10022

Business Telephone Number

2123867080

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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):	OBERON MANAGEMENT, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	05/2004
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):	BRESLAWSKY, ADAM SCOTT 2522542
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGER
Position Start Date	06/2003
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):	EPSTEIN, ELAD 2731183
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, MANAGER, ACO
Position Start Date	03/2006

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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):	SCHMIDT, NICOLE ALEXANDRA 2686117
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO, MANAGER
Position Start Date	04/2003
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

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Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	OBERON MANAGEMENT, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	THE OBERON GROUP, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	05/2004
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):	EPSTEIN, ELAD 2731183
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	OG PARTNERS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	06/2001
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):	OG PARTNERS, LLC
Is this a domestic or foreign	Domestic Entity

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Firm Profile

Indirect Owners (continued)

entity or an individual?

Company through which indirect ownership is established	OBERON MANAGEMENT, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	05/2004
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):	SCHMIDT, NICOLE ALEXANDRA 2686117
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	OG PARTNERS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	06/2001
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):	BRESLAWSKY, ADAM SCOTT 2522542
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is	OBERON MANAGEMENT, LLC

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Firm Profile

Indirect Owners (continued)

established

Relationship to Direct Owner	MEMBER
Relationship Established	05/2004
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

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Firm History

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

No information reported.

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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 22 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/20/2005

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	01/20/2005

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	08/19/2021
California	Approved	03/08/2005
Connecticut	Approved	04/29/2005
Florida	Approved	04/12/2005
Georgia	Approved	01/25/2024
Illinois	Approved	09/20/2005
Louisiana	Approved	01/19/2006
Maryland	Approved	04/08/2024
Massachusetts	Approved	01/26/2006
Michigan	Approved	07/20/2018
Mississippi	Approved	03/07/2005
New Jersey	Approved	05/19/2005
New York	Approved	02/01/2005
North Carolina	Approved	09/26/2024
Ohio	Approved	04/06/2005
Oregon	Approved	12/07/2022
Pennsylvania	Approved	03/24/2005
Tennessee	Approved	08/06/2025
Texas	Approved	01/31/2006
Utah	Approved	09/07/2005
Virginia	Approved	01/13/2006
Wyoming	Approved	11/03/2021

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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 - OBERON SECURITIES, LLC WILL PROVIDE MERGER & ACQUISITION ADVISORY WORK. OBERON WOULD LIKE TO ALSO RECEIVE REFERRAL FEES FROM OTHER BROKER/DEALERS FOR TRADING REFERRALS. THE FIRM WILL 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:

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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.

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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.

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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**

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End of Report

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