BrokerCheck Report

FIDUS SECURITIES, LLC

CRD# 132882

Section Title	Page(s)
Report Summary	1
Firm Profile	2 - 5
Firm History	6
Firm Operations	7 - 13

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.

FIDUS SECURITIES, LLC

CRD# 132882

SEC# 8-66656

Main Office Location

4201 CONGRESS STREET
SUITE 250
CHARLOTTE, NC 28209
Regulated by FINRA Atlanta Office

Mailing Address

4201 CONGRESS STREET
SUITE 250
CHARLOTTE, NC 28209

Business Telephone Number

704-334-2222

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 08/05/2004.

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
- 24 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**

©2025 FINRA. All rights reserved.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 08/05/2004.

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.

FIDUS SECURITIES, LLC

Doing business as FIDUS SECURITIES, LLC

CRD# 132882

SEC# 8-66656

Main Office Location

4201 CONGRESS STREET
SUITE 250
CHARLOTTE, NC 28209

Regulated by FINRA Atlanta Office

Mailing Address

4201 CONGRESS STREET
SUITE 250
CHARLOTTE, NC 28209

Business Telephone Number

704-334-2222

©2025 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):	FIDUS PARTNERS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	10/2004
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):	CLARK, PATRICK CANNON 5935896
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER/PRINCIPAL FINANCIAL OFFICER/PRINCIPAL OPERATIONS OFFICER
Position Start Date	06/2023
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):	GRIGG, JOHN HUMPHREY 1740900
Is this a domestic or foreign entity or an individual?	Individual
Position	REGISTERED PRINCIPAL
Position Start Date	08/2004

©2025 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?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ROSS, JOHN JOSEPH II 2419176
Is this a domestic or foreign entity or an individual?	Individual
Position	REGISTERED PRINCIPAL
Position Start Date	08/2004
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

©2025 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):	ROSS, JOHN JOSEPH II 2419176
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	FIDUS PARTNERS, LLC
Relationship to Direct Owner	MANAGING PARTNER
Relationship Established	06/2022
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

©2025 FINRA. All rights reserved.

Firm History

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

No information reported.

©2025 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 24 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	02/22/2005

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	02/22/2005

©2025 FINRA. All rights reserved.

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	07/09/2010
Arizona	Approved	07/26/2022
California	Approved	06/29/2007
Colorado	Approved	09/28/2009
Connecticut	Approved	10/20/2006
Florida	Approved	03/03/2005
Georgia	Approved	04/13/2006
Illinois	Approved	09/18/2009
Indiana	Approved	12/09/2015
Massachusetts	Approved	09/18/2009
Michigan	Approved	09/30/2021
Missouri	Approved	09/21/2009
Nevada	Approved	09/22/2009
New Hampshire	Approved	10/01/2025
New Jersey	Approved	06/05/2006
New Mexico	Approved	09/30/2009
New York	Approved	03/07/2005
North Carolina	Approved	03/02/2005
Ohio	Approved	11/24/2015
Oklahoma	Approved	02/03/2021
Oregon	Approved	10/23/2006
Pennsylvania	Approved	09/23/2009
Texas	Approved	10/23/2006
Virginia	Approved	05/27/2010

©2025 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 - FIDUS PARTNERS, LLC HAS BEEN FORMED TO PROVIDE MERGER, ACQUISITION AND ADVISORY SERVICES TO MIDDLE MARKET COMPANIES.

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:

©2025 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.

©2025 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 SECOND FLOOR VANCOUVER, BC V68 2M9
Effective Date:	02/07/2014
Description:	APPLICANT SUBSCRIBES TO GLOBAL RELAY'S MESSAGE ARCHIVER SERVICE TO ELECTRONICALLY ARCHIVE SOME OR ALL OF ITS RECORDS AS REQUIRED BY SEC RULES 17A-3 AND/OR 17A-4.

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.

©2025 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.

FIDUS CAPITAL ADVISORS, LLC is under common control with the firm.

CRD #:	331388
Business Address:	1603 ORRINGTON AVENUE SUITE 1005 EVANSTON, IL 60201
Effective Date:	12/07/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	FIDUS SECURITIES, LLC IS AFFILIATED WITH FIDUS CAPITAL ADVISORS, LLC (331388) VIA COMMON CONTROL PERSON JOHN ROSS (2419176)

FIDUS INVESTMENT ADVISORS, LLC is under common control with the firm.

CRD #:	156981
Business Address:	1603 ORRINGTON AVENUE SUITE 1005 EVANSTON, IL 60201
Effective Date:	06/20/2011
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

©2025 FINRA. All rights reserved.

Firm Operations

Organization Affiliates (continued)

Description: APPLICANT IS AFFILIATED WITH FIDUS INVESTMENT ADVISORS, LLC, A REGISTERED INVESTMENT ADVISER (CRD #156981)THROUGH COMMON CONTROL PERSON JOHN ROSS(2419176).

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**

©2025 FINRA. All rights reserved.

End of Report

This page is intentionally left blank.

©2025 FINRA. All rights reserved.