BrokerCheck Report

RAINE SECURITIES LLC

CRD# 137873

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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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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.

RAINE SECURITIES LLC

CRD# 137873

SEC# 8-67121

Main Office Location

65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022
Regulated by FINRA New York Office

Mailing Address

65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-603-5500

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 08/23/2005.

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
- 27 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 3 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**

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 08/23/2005.

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.

RAINE SECURITIES LLC

Doing business as RAINE SECURITIES LLC

CRD# 137873

SEC# 8-67121

Main Office Location

65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Regulated by FINRA New York Office

Mailing Address

65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-603-5500

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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):	RAINE ADVISORS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	11/2009
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):	CHIANESE, ALFRED JOSEPH III 6339436
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF OPERATING OFFICER
Position Start Date	01/2024
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, JAMES HUGH 4197747
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL OPERATIONS OFFICER
Position Start Date	06/2019

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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?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GARDNER, BRANDON WADE 5767814
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	05/2014
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):	RAVITCH, JOSEPH 2504532
Is this a domestic or foreign entity or an individual?	Individual
Position	CO-CHIEF EXECUTIVE OFFICER
Position Start Date	04/2012
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):	RISHER, ANGELA RENEE

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Firm Profile

Direct Owners and Executive Officers (continued)

	6676957
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	09/2016
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):	SHAW, ANTHONY
	7338445
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, PRINCIPAL FINANCIAL OFFICER
Position Start Date	08/2025
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):	SINE, JEFFREY ALAN
	1557736
Is this a domestic or foreign entity or an individual?	Individual
Position	CO-CHIEF EXECUTIVE OFFICER
Position Start Date	04/2012
Percentage of Ownership	Less than 5%

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Firm Profile

Direct Owners and Executive Officers (continued)

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):	RAINE ADVISORY AND CONSULTING SERVICES LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	RAINE ADVISORS LLC
Relationship to Direct Owner	OWNER
Relationship Established	11/2009
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):	RAINE HOLDINGS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	THE RAINE GROUP LLC
Relationship to Direct Owner	OWNER
Relationship Established	11/2009
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):	THE RAINE GROUP LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity

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Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established	RAINE ADVISORY AND CONSULTING SERVICES LLC
Relationship to Direct Owner	OWNER
Relationship Established	11/2009
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

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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 27 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/03/2006

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	05/03/2006

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/30/2019
Arizona	Approved	02/27/2007
California	Approved	05/03/2006
Colorado	Approved	09/29/2006
Connecticut	Approved	05/03/2006
Delaware	Approved	10/10/2006
District of Columbia	Approved	06/27/2006
Florida	Approved	05/10/2006
Georgia	Approved	03/06/2007
Hawaii	Approved	10/31/2006
Idaho	Approved	12/23/2021
Illinois	Approved	09/21/2017
Maryland	Approved	10/17/2006
Massachusetts	Approved	06/23/2006
Michigan	Approved	10/05/2006
Nevada	Approved	10/11/2018
New Hampshire	Approved	07/15/2019
New Jersey	Approved	05/04/2006
New York	Approved	05/03/2006
North Carolina	Approved	05/06/2021
Ohio	Approved	03/19/2007
Oklahoma	Approved	10/02/2006
Pennsylvania	Approved	06/26/2006
South Dakota	Approved	04/27/2021
Tennessee	Approved	09/13/2018
Texas	Approved	03/02/2007
Virginia	Approved	10/11/2006

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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 3 types of businesses.

Types of Business

Underwriter or selling group participant (corporate securities other than mutual funds)
Private placements of securities
Other - THE FIRM WILL CONDUCT MERGERS AND ACQUISITIONS ADVISORY SERVICES. ADDITIONALLY, THE FIRM WILL ACT AS A 15A-6 CHAPERONE TO A FOREIGN BROKER DEALER WHOSE BUSINESS IS LIMITED TO M&A ADVISORY SERVICES OR ACTING AS A PLACEMENT AGENT OF PRIVATE PLACEMENT SECURITIES OFFERINGS.

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 refer or introduce customers to other brokers and dealers.

Name:	VISION FINANCIAL MARKETS LLC
CRD #:	142271
Business Address:	120 LONG RIDGE RD 3 NORTH STAMFORD, CT 06902
Effective Date:	06/06/2019
Description:	THE APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING ARRANGEMENT WITH VISION FINANCIAL MARKETS LLC

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Firm Operations

Industry Arrangements

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

Name: VISION FINANCIAL MARKETS LLC

CRD #: 142271

Business Address: 120 LONG RIDGE RD
3 NORTH
STAMFORD, CT 06902

Effective Date: 06/06/2019

Description: THE APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING ARRANGEMENT WITH VISION FINANCIAL MARKETS LLC WHERE VISION FINANCIAL MARKETS LLC WILL MAINTAIN CERTAIN BOOKS AND RECORDS FOR THE APPLICANT.

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 have individuals who control its management or policies through agreement.

Name: THE RAINE GROUP PROFESSIONALS LLC

Business Address: 65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Effective Date: 03/30/2010

Description: THE RAINE GROUP PROFESSIONALS LLC AND RAINE HOLDINGS LLC ARE THE MEMBERS OF THE RAINE GROUP LLC AND HAVE THE RIGHT TO APPOINT THE BOARD OF DIRECTORS OF THE RAINE GROUP LLC. THE RAINE GROUP LLC INDIRECTLY CONTROLS THE APPLICANT.

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, 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.

RAINE SINGAPORE PTE. LTD. is under common control with the firm.

Business Address:	71, 71A NEIL ROAD SINGAPORE, SINGAPORE 88900
Effective Date:	05/21/2026
Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	RAINE SINGAPORE PRIVATE LIMITED AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE GAMING ASSOCIATES II LP is under common control with the firm.

Business Address:	C/O CORPORATION SERVICE COMPANY, 251 LITTLE FALLS DRIVE WILMINGTON, DE 19808
Effective Date:	01/13/2026
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RAINE GAMING ASSOCIATES II LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE VENTURE ASSOCIATES III LP is under common control with the firm.

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Firm Operations

Organization Affiliates (continued)

Business Address: C/O CORPORATION SERVICE COMPANY, 251 LITTLE FALLS
WILMINGTON, DE 1908

Effective Date: 01/04/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE VENTURE ASSOCIATES III LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE ASSOCIATES IV CORP (AIV 2) GP LP is under common control with the firm.

Business Address: C/O WALKERS CORPORATE LIMITED
190 ELGIN AVENUE
GEORGE TOWN, CAYMAN ISLANDS KY1-9008

Effective Date: 01/04/2022

Foreign Entity: Yes

Country: CAYMAN ISLANDS

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE ASSOCIATES IV CORP (AIV 2) GP LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE ASSOCIATES IV PT (AIV 1) GP LP is under common control with the firm.

Business Address: C/O WALKERS CORPORATE LIMITED
190 ELGIN AVENUE
GEORGE TOWN, CAYMAN ISLANDS KY1-9008

Effective Date: 01/04/2022

Foreign Entity: Yes

Country: CAYMAN ISLANDS

Securities Activities: No

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Firm Operations

Organization Affiliates (continued)

Investment Advisory Activities:	Yes
Description:	RAINE ASSOCIATES IV PT (AIV 1) GP LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE ASSOCIATES IV LP is under common control with the firm.

Business Address:	C/O CORPORATION SERVICE COMPANY, 251 LITTLE FALLS WILMINGTON, DE 19808
Effective Date:	01/04/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RAINE ASSOCIATES IV LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE ADVISORS INDIA PRIVATE LIMITED is under common control with the firm.

Business Address:	NO. 91-A, 9TH FLOOR, 5 NORTH AVENUE BUILDING MAKER MAXITY, BANDRA-KURLA COMPLEX, BANDRA (EAST) MUMBAI, INDIA 400051
Effective Date:	09/15/2021
Foreign Entity:	Yes
Country:	INDIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	RAINE ADVISORS INDIA PRIVATE LIMITED AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RGF ASSOCIATES CORP (AIV 2) GP LP is under common control with the firm.

Business Address:	C/O WALKERS CORPORATE LIMITED 190 ELGIN AVENUE GEORGE TOWN, CAYMAN ISLANDS KY1-9008
Effective Date:	06/10/2021

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Firm Operations

Organization Affiliates (continued)

Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RGF ASSOCIATES CORP (AIV 2) GP LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RGF ASSOCIATES PT (AIV 1) GP LP is under common control with the firm.

Business Address:	C/O WALKERS CORPORATE LIMITED 190 ELGIN AVENUE GEORGE TOWN, CAYMAN ISLANDS KY1-9008
Effective Date:	06/10/2021
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RGF ASSOCIATES PT (AIV 1) GP LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE GAMING ASSOCIATES LP is under common control with the firm.

Business Address:	C/O CORPORATION SERVICE COMPANY, 251 LITTLE FALLS WILMINGTON, DE 19808
Effective Date:	01/21/2021
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RAINE GAMING ASSOCIATES LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

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Firm Operations

Organization Affiliates (continued)

RAINE ASSOCIATES II AIV (CAYMAN) LP is under common control with the firm.

Business Address:	C/O WALKERS CORPORATE LIMITED, CAYMAN CORPORATE CE 27 HOSPITAL ROAD GEORGE TOWN, CAYMAN ISLANDS KY1-9008
Effective Date:	10/08/2018
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RAINE ASSOCIATES II AIV (CAYMAN) LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC.

RAINE ASSOCIATES III PT (AIV 1) GP LP is under common control with the firm.

Business Address:	C/O WALKERS CORPORATE LIMITED, CAYMAN CORPORATE CE 27 HOSPITAL ROAD GEORGE TOWN, CAYMAN ISLANDS KY1-9008
Effective Date:	09/27/2018
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RAINE ASSOCIATES III PT (AIV 1) GP LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC.

RAINE ASSOCIATES III CORP (AIV 2) GP LP is under common control with the firm.

Business Address:	C/O WALKERS CORPORATE LIMITED, CAYMAN CORPORATE CE 27 HOSPITAL ROAD GEORGE TOWN, GRAND CAYMAN KY1-9008
Effective Date:	09/27/2018
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS

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Firm Operations

Organization Affiliates (continued)

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE ASSOCIATES III CORP (AIV 2) GP LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE ASSOCIATES II (CAYMAN) LP is under common control with the firm.

Business Address: C/O INTERTRUST CORPORATE SERVICES (CAYMAN) LIMITED
190 ELGIN AVENUE
GEORGE TOWN, CAYMAN ISLANDS KY1-9005

Effective Date: 08/08/2017

Foreign Entity: Yes

Country: CAYMAN ISLANDS

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE ASSOCIATES II (CAYMAN) LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE ASSOCIATES III LP is under common control with the firm.

Business Address: 65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Effective Date: 01/16/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE ASSOCIATES III LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE VENTURE ASSOCIATES II LP is under common control with the firm.

Business Address: 65 EAST 55TH STREET
24TH FLOOR

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Firm Operations

Organization Affiliates (continued)

	NEW YORK, NY 10022
Effective Date:	12/31/2015
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RAINE VENTURE ASSOCIATES II LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC.

RAINE ADVISORS LIMITED is under common control with the firm.

Business Address:	25 BERKELEY SQUARE 5TH FLOOR LONDON, UNITED KINGDOM W1J 6HN
Effective Date:	08/19/2014
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	RAINE ADVISORS LIMITED AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC.

RAINE ASSOCIATES II AIV LP is under common control with the firm.

Business Address:	65 EAST 55TH STREET 24TH FLOOR NEW YORK, NY 10022
Effective Date:	04/17/2014
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

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Firm Operations

Organization Affiliates (continued)

Description: RAINE ASSOCIATES II AIV LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC.

RAINE ASSOCIATES I AIV (CAYMAN) LP is under common control with the firm.

Business Address: C/O INTERTRUST CORPORATE SERVICES (CAYMAN) LIMITED
190 ELGIN AVENUE
GEORGE TOWN, CAYMAN ISLANDS KY1-9005

Effective Date: 11/26/2013

Foreign Entity: Yes

Country: CAYMAN ISLANDS

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE ASSOCIATES I AIV (CAYMAN) LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE ASSOCIATES II LP is under common control with the firm.

Business Address: 65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Effective Date: 01/01/2014

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE ASSOCIATES II LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE VENTURE ASSOCIATES I LP is under common control with the firm.

Business Address: 65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Effective Date: 08/05/2013

Foreign Entity: No

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Firm Operations

Organization Affiliates (continued)

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE VENTURE ASSOCIATES I LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC.

RAINE ASSOCIATES I AIV LP is under common control with the firm.

Business Address:
65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Effective Date: 12/06/2011

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE ASSOCIATES I AIV LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC.

RAINE ASSOCIATES I LP is under common control with the firm.

Business Address:
65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Effective Date: 08/25/2009

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAINE ASSOCIATES I LP AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP LLC

RAINE CAPITAL LLC is under common control with the firm.

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Firm Operations

Organization Affiliates (continued)

CRD #:	157939
Business Address:	65 EAST 55TH STREET 24TH FLOOR NEW YORK, NY 10022
Effective Date:	08/25/2009
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RAINE CAPITAL LLC AND THE APPLICANT ARE UNDER COMMON CONTROL BY THE RAINE GROUP 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**

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End of Report

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