BrokerCheck Report

TOBIN & COMPANY SECURITIES LLC

CRD# 137918

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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.

TOBIN & COMPANY SECURITIES LLC

CRD# 137918

SEC# 8-67134

Main Office Location

101 SOUTH TRYON STREET
SUITE 2700
CHARLOTTE, NC 28280
Regulated by FINRA Atlanta Office

Mailing Address

P.O. BOX 30486
CHARLOTTE, NC 28230

Business Telephone Number

704 334-2772

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 North Carolina on 05/12/2005.

Its fiscal year ends in June.

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
- 53 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 North Carolina on 05/12/2005.

Its fiscal year ends in June.

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.

TOBIN & COMPANY SECURITIES LLC

Doing business as TOBIN & COMPANY SECURITIES LLC

CRD# 137918

SEC# 8-67134

Main Office Location

101 SOUTH TRYON STREET
SUITE 2700
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704 334-2772

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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):	TOBIN & COMPANY INVESTMENT BANKING GROUP LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT COMPANY
Position Start Date	05/2006
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):	TOBIN, JUSTINE EIDT 1641345
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	05/2006
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):	TOBIN, JUSTINE EIDT 1641345
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	TOBIN & COMPANY INVESTMENT BANKING GROUP LLC
Relationship to Direct Owner	MANAGING PARTNER, FINOP, CFO, CCO OF TOBIN & COMPANY SECURITIES LLC
Relationship Established	05/2006
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

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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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/28/2006

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	03/28/2006

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/13/2015
Alaska	Approved	01/09/2020
Arizona	Approved	10/12/2016
Arkansas	Approved	02/07/2020
California	Approved	05/20/2011
Colorado	Approved	03/03/2015
Connecticut	Approved	09/07/2015
Delaware	Approved	07/29/2019
District of Columbia	Approved	05/28/2015
Florida	Approved	07/31/2014
Georgia	Approved	12/04/2013
Hawaii	Approved	02/11/2020
Idaho	Approved	01/03/2020
Illinois	Approved	04/29/2013
Indiana	Approved	01/22/2018
Iowa	Approved	06/25/2019
Kansas	Approved	08/01/2017
Kentucky	Approved	09/14/2015
Louisiana	Approved	07/01/2019
Maine	Approved	12/06/2019
Maryland	Approved	07/01/2014
Massachusetts	Approved	06/15/2015
Michigan	Approved	11/28/2017
Minnesota	Approved	10/29/2018
Mississippi	Approved	10/05/2018
Missouri	Approved	01/22/2020
Montana	Approved	06/28/2016
Nebraska	Approved	06/11/2015
Nevada	Approved	09/08/2015
New Hampshire	Approved	12/19/2018
New Jersey	Approved	11/17/2014
New Mexico	Approved	02/14/2019
New York	Approved	10/07/2013
North Carolina	Approved	04/17/2006
North Dakota	Approved	01/17/2020
Ohio	Approved	11/18/2019
Oklahoma	Approved	07/25/2018
Oregon	Approved	07/03/2017
Pennsylvania	Approved	12/09/2015
Puerto Rico	Approved	04/08/2021
Rhode Island	Approved	08/22/2017
South Carolina	Approved	08/31/2015
South Dakota	Approved	11/20/2018
Tennessee	Approved	05/15/2013
Texas	Approved	03/24/2014
Utah	Approved	05/07/2019
Vermont	Approved	07/31/2018
Virgin Islands	Approved	06/10/2021
Virginia	Approved	05/10/2013
Washington	Approved	10/24/2016
West Virginia	Approved	11/27/2019
Wisconsin	Approved	07/23/2019
Wyoming	Approved	07/12/2019

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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 - THE FIRM CONDUCTS THE ACTIVITIES RELATED TO PRIVATE PLACEMENTS OF SECURITIES, WHICH INCLUDE CHAPERONING BROKER DEALER SERVICES AND CROWDFUNDING. THE FIRM ALSO ADVISES CLIENTS REGARDING ACTIVITIES PERTAINING TO MERGERS AND ACQUISITIONS, PROVIDES BUSINESS VALUATION SERVICES AND PERIODICALLY ISSUES FAIRNESS OPINIONS.

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 have books or records maintained by a third party.

Name:	PATRINA CORPORATION
Business Address:	45 BROADWAY, 14TH FLOOR SUITE 1440 NEW YORK CITY, NY 10006
Effective Date:	11/25/2022
Description:	THE FIRM USES PATRINA CORPORATION TO STORE AND ARCHIVE ELECTRONIC COMMUNICATION.

Name:	GLOBAL RELAY COMMUNICATIONS INC.
Business Address:	220 CAMBIE STREET, SECOND FLOOR VANCOUVER, CANADA V6B 2M9
Effective Date:	11/25/2022
Description:	THE FIRM USES GLOBAL RELAY TO STORE AND ARCHIVE ELECTRONIC COMMUNICATION.

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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