BrokerCheck Report

MD GLOBAL PARTNERS, LLC

CRD# 140988

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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.
-

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.

MD GLOBAL PARTNERS, LLC

CRD# 140988

SEC# 8-67356

Main Office Location

329 E. 63RD ST.
APT 3J
NEW YORK, NY 10065
Regulated by FINRA New York Office

Mailing Address

329 E. 63RD ST.
APT 3J
NEW YORK, NY 10065

Business Telephone Number

917-881-3636

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 11/21/2005.

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
- 7 U.S. states and territories

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

This firm conducts 5 types of businesses.

This firm is not affiliated with any 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 11/21/2005.

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.

MD GLOBAL PARTNERS, LLC

Doing business as MD GLOBAL PARTNERS, LLC

CRD# 140988

SEC# 8-67356

Main Office Location

329 E. 63RD ST.
APT 3J
NEW YORK, NY 10065

Regulated by FINRA New York Office

Mailing Address

329 E. 63RD ST.
APT 3J
NEW YORK, NY 10065

Business Telephone Number

917-881-3636

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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):	MAY, OWEN ARTHUR 1404710
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO, MEMBER
Position Start Date	09/2008
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):	COY, WAYNE MICHAEL 1665279
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	09/2024
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):	MILLER, JOHN STEVENSON 2139980
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP

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Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date	11/2015
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

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Firm Profile

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

Indirect Owners

No information reported.

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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 7 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/26/2006

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	09/26/2006

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	02/03/2016
Florida	Approved	07/25/2013
Minnesota	Approved	04/19/2018
New Jersey	Approved	06/19/2018
New York	Approved	01/28/2016
North Carolina	Approved	02/27/2026
Ohio	Approved	03/29/2018

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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 5 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Underwriter or selling group participant (corporate securities other than mutual funds)
Put and call broker or dealer or option writer
Private placements of securities
Other - THIRD PARTY MARKETING. THE TYPES OF SERVICES THAT WILL BE INVOLVED IN THE M&A ADVISORY ASSIGNMENTS WILL INCLUDE: BUYSIDE TRANSACTIONS, BUYOUTS - INCLUDING MANAGEMENT-LED BUYOUTS, RECAPITALIZATIONS, REVIEW OF STRATEGIC ALTERNATIVES, SELLSIDE TRANSACTIONS/EXCLUSIVE SALES, SPECIAL COMMITTEE REPRESENTATION, SPIN-OFFS, AND STRATEGIC PARTNER AND JOINT VENTURE AGREEMENTS. FIRM WILL PROVIDE TRADE EXECUTIONS FOR INSTITUTIONAL AND INDIVIDUAL CUSTOMERS.

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:	RBC CAPITAL MARKETS
Business Address:	60 SOUTH 6TH STREET MINNEAPOLIS, MN 55402
Effective Date:	04/01/2018
Description:	RBC CAPITAL MARKETS WILL CLEAR ALL TRANSACTIONS ON A FULLY DISCLOSED BASIS FOR MD GLOBAL PARTNERS.

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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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Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	3	0

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Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT WILLFULLY VIOLATED EXCHANGE ACT RULE 15L-1(A)(1) (REG BI) BY FAILING TO FULLY ESTABLISH, MAINTAIN, AND ENFORCE WRITTEN POLICIES AND PROCEDURES REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH REG BI. THE FINDINGS STATED THAT DESPITE THE FIRM'S AWARENESS OF REG BI'S JUNE 30, 2020, IMPLEMENTATION DATE, THE FIRM'S WSPS FROM JUNE 30, 2020, TO DECEMBER 2022 CONTAINED NO PROVISIONS RELATED TO COMPLIANCE WITH REG BI. THE FIRM REVISED ITS WSPS BEGINNING IN DECEMBER 2022 TO PROVIDE GUIDANCE REGARDING REG BI. IN ADDITION, THE FIRM FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE A SUPERVISORY SYSTEM, INCLUDING WSPS, REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH REG BI. THE FIRM'S WSPS FAILED TO DETAIL THE SUPERVISORY STEPS AND REVIEWS THAT SHOULD BE UNDERTAKEN BY THE PRINCIPAL RESPONSIBLE FOR SUPERVISING COMPLIANCE WITH REG BI, INCLUDING THE FREQUENCY OF THOSE REVIEW OR HOW THE REVIEWS SHOULD BE DOCUMENTED. THE FINDINGS ALSO STATED THAT THE FIRM FAILED TO TIMELY FILE REQUIRED DOCUMENTS WITH FINRA FOR PRIVATE PLACEMENT OFFERINGS. INSTEAD OF MAKING THE REQUIRED FILINGS FOR THESE OFFERINGS WITHIN 15 CALENDAR DAYS OF THE DATE OF FIRST SALE, THE FIRM MADE THE FILINGS BETWEEN ONE MONTH AND ALMOST A YEAR AND A HALF AFTER THE DATE OF FIRST SALE, AND IN ONE CASE FAILED TO MAKE THE REQUIRED FILINGS AT ALL. THE FINDINGS ALSO INCLUDED THAT THE FIRM DID NOT PREPARE A REPORT EVIDENCING ITS COMPLIANCE AND SUPERVISORY PROCESSES, AND THE FIRM DID NOT COMPLETE ITS ANNUAL CERTIFICATION OF COMPLIANCE AND SUPERVISORY PROCESSES FOR FIVE YEARS.
Initiated By:	FINRA
Date Initiated:	04/11/2025
Docket/Case Number:	2021069346201
Principal Product Type:	Other
Other Product Type(s):	PRIVATE PLACEMENT OFFERINGS
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/11/2025

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Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine $40,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED $40,000. THE FIRM UNDERSTANDS THAT THIS SETTLEMENT INCLUDES A FINDING THAT IT WILLFULLY VIOLATED RULE 15L-1(A)(1) OF THE SECURITIES EXCHANGE ACT OF 1934 AND THAT UNDER ARTICLE III, SECTION 4 OF FINRA'S BY-LAWS, THIS MAKES RESPONDENT SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO MEMBERSHIP. FINE PAID IN FULL ON MAY 13, 2025.

Reporting Source:	Firm
Current Status:	Final
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT WILLFULLY VIOLATED EXCHANGE ACT RULE 15L-1(A)(1) (REG BI) BY FAILING TO FULLY ESTABLISH, MAINTAIN, AND ENFORCE WRITTEN POLICIES AND PROCEDURES REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH REG BI. THE FINDINGS STATED THAT DESPITE THE FIRM'S AWARENESS OF REG BI'S JUNE 30, 2020, IMPLEMENTATION DATE, THE FIRM'S WSPS FROM JUNE 30, 2020, TO DECEMBER 2022 CONTAINED NO PROVISIONS RELATED TO COMPLIANCE WITH REG BI. THE FIRM REVISED ITS WSPS BEGINNING IN DECEMBER 2022 TO PROVIDE GUIDANCE REGARDING REG BI. IN ADDITION, THE FIRM FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE A SUPERVISORY SYSTEM, INCLUDING WSPS, REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH REG BI. THE FIRM'S WSPS FAILED TO DETAIL THE SUPERVISORY STEPS AND REVIEWS THAT SHOULD BE UNDERTAKEN BY THE PRINCIPAL RESPONSIBLE FOR SUPERVISING COMPLIANCE WITH REG BI, INCLUDING THE FREQUENCY OF THOSE REVIEW OR HOW THE REVIEWS SHOULD BE DOCUMENTED. THE FINDINGS ALSO STATED THAT THE FIRM FAILED TO TIMELY FILE REQUIRED DOCUMENTS WITH FINRA FOR PRIVATE PLACEMENT OFFERINGS. INSTEAD OF MAKING THE REQUIRED FILINGS FOR THESE OFFERINGS WITHIN 15 CALENDAR DAYS OF THE DATE OF FIRST SALE, THE FIRM MADE THE FILINGS BETWEEN ONE MONTH AND ALMOST A YEAR AND A HALF AFTER THE DATE OF FIRST SALE,

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	AND IN ONE CASE FAILED TO MAKE THE REQUIRED FILINGS AT ALL. THE FINDINGS ALSO INCLUDED THAT THE FIRM DID NOT PREPARE A REPORT EVIDENCING ITS COMPLIANCE AND SUPERVISORY PROCESSES, AND THE FIRM DID NOT COMPLETE ITS ANNUAL CERTIFICATION OF COMPLIANCE AND SUPERVISORY PROCESSES FOR FIVE YEARS.
Initiated By:	FINRA
Date Initiated:	04/11/2025
Docket/Case Number:	2021069346201
Principal Product Type:	Other
Other Product Type(s):	PRIVATE PLACEMENT OFFERINGS
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/11/2025
Sanctions Ordered:	Censure Monetary/Fine $40,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED $40,000. THE FIRM UNDERSTANDS THAT THIS SETTLEMENT INCLUDES A FINDING THAT IT WILLFULLY VIOLATED RULE 15L-1(A)(1) OF THE SECURITIES EXCHANGE ACT OF 1934 AND THAT UNDER ARTICLE III, SECTION 4 OF FINRA'S BY-LAWS, THIS MAKES RESPONDENT SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO MEMBERSHIP.

Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT CONDUCTED A SECURITIES BUSINESS DURING A PERIOD IN WHICH IT HAD LESS THAN ITS REQUIRED NET CAPITAL. THE FINDINGS STATED THAT AT THE BEGINNING OF 2013, THE FIRM WAS REQUIRED TO MAINTAIN MINIMUM NET CAPITAL OF $5,000. WHEN THE FIRM EXECUTED ITS ELEVENTH PROPRIETARY TRANSACTION FOR THE 2013 CALENDAR YEAR

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	ON FEBRUARY 13, 2013, THE TRANSACTION TRIGGERED THE REQUIREMENT THAT THE FIRM MAINTAIN AT LEAST $100,000 IN NET CAPITAL, HOWEVER, THE FIRM HAD LESS THAN $100,000 IN NET CAPITAL AT THE TIME AND ITS NET CAPITAL REMAINED BELOW $100,000 UNTIL JUNE 25, 2013.
Initiated By:	FINRA
Date Initiated:	12/07/2017
Docket/Case Number:	2014039368501
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/07/2017
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine $5,000.00
Other Sanctions Ordered:	A LOWER FINE WAS IMPOSED AFTER CONSIDERING, AMONG OTHER THINGS, THE FIRM'S REVENUE AND FINANCIAL RESOURCES.
Sanction Details:	THE FIRM WAS CENSURED AND FINED $5,000.FINES PAID IN FULL ON JANUARY 9, 2019.

Reporting Source:	Firm
Current Status:	Final
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT CONDUCTED A SECURITIES BUSINESS DURING A PERIOD IN WHICH IT HAD LESS THAN ITS REQUIRED NET CAPITAL. THE FINDINGS STATED THAT AT THE BEGINNING OF 2013, THE FIRM WAS REQUIRED TO MAINTAIN

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	MINIMUM NET CAPITAL OF $5,000. WHEN THE FIRM EXECUTED ITS ELEVENTH PROPRIETARY TRANSACTION FOR THE 2013 CALENDAR YEAR ON FEBRUARY 13, 2013, THE TRANSACTION TRIGGERED THE REQUIREMENT THAT THE FIRM MAINTAIN AT LEAST $100,000 IN NET CAPITAL, HOWEVER, THE FIRM HAD LESS THAN $100,000 IN NET CAPITAL AT THE TIME AND ITS NET CAPITAL REMAINED BELOW $100,000 UNTIL JUNE 25, 2013.
Initiated By:	FINRA REGULATORY ACTION ACCEPTANCE, WAIVER & CONSENT, CASE #2014039368501 FILED 12/07/2017.
Date Initiated:	12/07/2017
Docket/Case Number:	2014039368501
Principal Product Type:	Other
Other Product Type(s):	NO ASSOCIATED PRODUCT
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT CONDUCTED A SECURITIES BUSINESS DURING A PERIOD IN WHICH IT HAD LESS THAN ITS REQUIRED NET CAPITAL. THE FINDINGS STATED THAT AT THE BEGINNING OF 2013, THE FIRM WAS REQUIRED TO MAINTAIN MINIMUM NET CAPITAL OF $5,000. WHEN THE FIRM EXECUTED ITS ELEVENTH PROPRIETARY TRANSACTION FOR THE 2013 CALENDAR YEAR ON FEBRUARY 13, 2013, THE TRANSACTION TRIGGERED THE REQUIREMENT THAT THE FIRM MAINTAIN AT LEA
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/30/2017
Sanctions Ordered:	Censure Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	MD GLOBAL ALSO CONSENTS TO THE IMPOSITION OF THE FOLLOWING SANCTIONS: A CENSURE; AND A FINE IN THE AMOUNT OF $5,000 THE FIRM AGREES TO PAY THE MONETARY SANCTION UPON NOTICE THAT THIS AWC HAS BEEN ACCEPTED AND THAT SUCH PAYMENT IS DUE AND PAYABLE. THE FIRM HAS SUBMITTED AN ELECTION OF PAYMENT FORM SHOWING THE METHOD BY WHICH IT PROPOSES TO PAY THE FINE IMPOSED.

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Firm Statement	PURSUANT TO FINRA RULE 9216 OF FINRA'S CODE OF PROCEDURE, RESPONDENT MD GLOBAL PARTNERS, LLC ("MD GLOBAL" OR THE "FIRM") SUBMITS THIS LETTER OF ACCEPTANCE, WAIVER AND CONSENT ("AWC") FOR THE PURPOSE OF PROPOSING A SETTLEMENT OF THE ALLEGED RULE VIOLATIONS DESCRIBED BELOW. THIS AWC IS SUBMITTED ON THE CONDITION THAT, IF ACCEPTED, FINRA WILL NOT BRING ANY FUTURE ACTIONS AGAINST THE FIRM ALLEGING VIOLATIONS BASED ON THE SAME FACTUAL FINDINGS DESCRIBED HEREIN.

Disclosure 3 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	BROKER-DEALER FAILED TO COMPLETE APPLICATION PROCESS
Initiated By:	MARYLAND DIVISION OF SECURITIES
Date Initiated:	02/15/2016
Docket/Case Number:	20160094
URL for Regulatory Action:	
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Denial
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	10/30/2017
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Monetary/Fine $1,500.00
Other Sanctions Ordered:	NONE
Sanction Details:	ORDER OF DENIAL VACATED. BROKER-DEALER REGISTRATION APPROVED 10/30/2017.

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Regulator Statement	REGISTRATION APPROVED.

Reporting Source:	Firm
Current Status:	Final
Allegations:	BROKER-DEALER FAILED TO COMPLETE APPLICATION PROCESS
Initiated By:	MARYLAND DIVISION OF SECURITIES REGULATORY DIVISION
Date Initiated:	11/18/2016
Docket/Case Number:	20160094
Principal Product Type:	Other
Other Product Type(s):	REGISTRATION DENIAL
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	10/30/2017
Sanctions Ordered:	Monetary/Fine $1,500.00
Other Sanctions Ordered:	
Sanction Details:	REGISTRATION DENIED

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End of Report

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