BrokerCheck Report

UNION SQUARE ADVISORS LLC

CRD# 141254

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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.

UNION SQUARE ADVISORS LLC

CRD# 141254

SEC# 8-67371

Main Office Location

601 MONTGOMERY STREET
SUITE 1088
SAN FRANCISCO, CA 94111
Regulated by FINRA San Francisco Office

Mailing Address

601 MONTGOMERY STREET
SUITE 1088
SAN FRANCISCO, CA 94111

Business Telephone Number

415-501-8000

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

https://www.adviserinfo.sec.gov

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 06/15/2006.

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 3 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**

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 06/15/2006.

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.

UNION SQUARE ADVISORS LLC

Doing business as UNION SQUARE ADVISORS LLC

CRD# 141254

SEC# 8-67371

Main Office Location

601 MONTGOMERY STREET
SUITE 1088
SAN FRANCISCO, CA 94111

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Mailing Address

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Business Telephone Number

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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):	SEACLIFF ADVISORS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER OF THE APPLICANT
Position Start Date	06/2006
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):	KAWARABAYASHI, WAYNE I 3149707
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF OPERATIONS OFFICER AND AML COMPLIANCE OFFICER
Position Start Date	02/2025
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):	MCCLELLAND, WILLIAM CARTER 815173
Is this a domestic or foreign entity or an individual?	Individual
Position	CHAIRMAN & CEO
Position Start Date	05/2011

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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):	MEYER, MICHAEL WILLIAM 2021325
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE 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):	POSTREL, HELENE BERSON 2240945
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL OPERATIONS PRINCIPAL
Position Start Date	09/2018
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):	SMITH, EDWARD RIFE

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Firm Profile

Direct Owners and Executive Officers (continued)

	2085236
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT AND CHIEF COMPLIANCE OFFICER
Position Start Date	02/2025
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):	JETC LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	SEACLIFF ADVISORS LLC
Relationship to Direct Owner	VOTING MEMBER
Relationship Established	07/2007
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):	MCCLELLAND, WILLIAM CARTER 815173
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	JETC LLC
Relationship to Direct Owner	MEMBER
Relationship Established	12/2008
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	01/09/2007

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	01/09/2007

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	01/09/2007
Colorado	Approved	04/18/2008
Connecticut	Approved	05/19/2008
District of Columbia	Approved	05/13/2008
Florida	Approved	06/03/2019
Georgia	Approved	10/02/2020
Illinois	Approved	02/27/2018
Kansas	Approved	07/14/2022
Maine	Approved	09/20/2024
Maryland	Approved	05/13/2008
Massachusetts	Approved	05/12/2008
Michigan	Approved	11/23/2022
New Hampshire	Approved	12/03/2020
New Jersey	Approved	12/08/2020
New York	Approved	07/30/2007
North Carolina	Approved	12/04/2009
Ohio	Approved	03/29/2021
Pennsylvania	Approved	05/12/2008
Texas	Approved	05/21/2008
Utah	Approved	02/07/2018
Virginia	Approved	04/18/2008
Washington	Approved	11/16/2009

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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

Investment advisory services
Private placements of securities
Other - INVESTMENT BANKING SERVICES (MERGERS AND ACQUISITIONS ADVICE, CORPORATE STRATEGIC ADVICE), INVESTMENT ADVISORY SERVICES FOR PRIVATE FUNDS.

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, 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.

USA ACQUISITION CORP. is under common control with the firm.

Business Address:	70 EAST 55TH ST, 18TH FLOOR NEW YORK, NY 10022
Effective Date:	05/13/2021
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	ULTIMATE PARENT OF UNION SQUARE ADVISORS AND USA ACQUISITION CORP. IS JETC 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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