

## BrokerCheck Report

# ROUNDTABLE CAPITAL SERVICES LLC

CRD# 142784

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



## ROUNDTABLE CAPITAL SERVICES LLC

CRD# 142784

SEC# 8-67487

### Main Office Location

277 PARK AVENUE, 47TH FLOOR  
NEW YORK, NY 10017-1216

### Mailing Address

277 PARK AVENUE, 47TH FLOOR  
NEW YORK, NY 10017-1216

### Business Telephone Number

212-488-5469

## 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 07/11/2006.

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 brokerage firm is no longer registered with FINRA or a national securities exchange.

### 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**

## Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



**Date firm ceased business:** 12/31/2019

**Does this brokerage firm owe any money or securities to any customer or brokerage firm?** No



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 07/11/2006.

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.

### ROUNDTABLE CAPITAL SERVICES LLC

Doing business as ROUNDTABLE CAPITAL SERVICES LLC

**CRD#** 142784

**SEC#** 8-67487

### Main Office Location

277 PARK AVENUE, 47TH FLOOR  
NEW YORK, NY 10017-1216

### Mailing Address

277 PARK AVENUE, 47TH FLOOR  
NEW YORK, NY 10017-1216

### Business Telephone Number

212-488-5469



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	ROUNDTABLE INVESTMENT PARTNERS LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	MANAGING MEMBER
<b>Position Start Date</b>	10/2019
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	BOISI, GEOFFREY THOMAS 25064
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CEO
<b>Position Start Date</b>	10/2019
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	DUNN REYNOLDS, CAITLIN ANN 5377420
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	FINOP/CFO
<b>Position Start Date</b>	12/2014

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
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Legal Name & CRD# (if any):	HERBST, RICHARD WILLIAM 830343
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	10/2019
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



## Firm Profile

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

### Indirect Owners

<b>Legal Name &amp; CRD# (if any):</b>	ROUNDTABLE MANAGERS LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	ROUNDTABLE INVESTMENT PARTNERS LLC
<b>Relationship to Direct Owner</b>	MEMBER
<b>Relationship Established</b>	10/2019
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	BOISI, GEOFFREY THOMAS 25064
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	ROUNDTABLE MANAGERS LLC
<b>Relationship to Direct Owner</b>	MEMBER
<b>Relationship Established</b>	10/2019
<b>Percentage of Ownership</b>	50% but less than 75%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	HERBST, RICHARD WILLIAM 830343
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Firm Profile



Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ROUNDTABLE MANAGERS LLC
Relationship to Direct Owner	MEMBER
Relationship Established	10/2019
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	No
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.



## 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 no longer registered.**

**The firm's registration was from 03/28/2007 to 02/25/2020.**

## 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 - ROUNDTABLE CAPITAL SERVICES LLC PROVIDES FINANCIAL ADVISORY SERVICES TO PUBLIC AND PRIVATE COMPANIES IN CONNECTION WITH CORPORATE TRANSACTIONS, INCLUDING, BUT NOT LIMITED TO, MERGERS, ACQUISITIONS, DIVESTITURES, RESTRUCTURINGS AND 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:

## **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.**

## Firm Operations

### Industry Arrangements



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

<b>Name:</b>	COMPLY SCI
<b>Business Address:</b>	875 SIXTH AVENUE, 12TH FLOOR NEW YORK, NY 10001
<b>Effective Date:</b>	11/22/2011
<b>Description:</b>	COMPLY SCI IS AN INDEPENDENT THIRD PARTY THAT MAINTAINS THE COMPLY SCI PORTAL, AN APPLICATION THAT RECEIVES, STORES AND ARCHIVES PERSONAL TRADING RELATED DATA IN ELECTRONIC FORM.

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<b>Name:</b>	GLOBAL RELAY COMMUNICATIONS INC.
<b>Business Address:</b>	220 CAMBIE STREET, 2ND FLOOR VANCOUVER, CANADA V6B 2M9
<b>Effective Date:</b>	05/31/2016
<b>Description:</b>	ROUNDTABLE CAPITAL SERVICES LLC CONTRACTED WITH GLOBAL RELAY TO STORE THE FIRM'S EMAILS AND OTHER ELECTRONIC BOOKS AND RECORDS ON ELECTRONIC MEDIA.

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**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.**



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.

TRUVVO PARTNERS LLC is under common control with the firm.

CRD #:	143108
Business Address:	1407 BROADWAY, SUITE 448 NEW YORK, NY 10018
Effective Date:	01/01/2019
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	APPLICANT AND ENTITY ARE AFFILIATED THROUGH ROUNDTABLE INVESTMENT PARTNERS LLC.

ROUNDTABLE INVESTMENT PARTNERS LLC controls the firm.

Business Address:	277 PARK AVENUE 47TH FLOOR NEW YORK, NY 10017
Effective Date:	01/01/2019
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ROUNDTABLE INVESTMENT PARTNERS LLC IS THE DIRECT PARENT OF THE FIRM.

## Firm Operations



### Organization Affiliates (continued)

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

**End of Report**



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