

## BrokerCheck Report

# COMMERCE STREET CAPITAL, LLC

CRD# 143797

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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).



## COMMERCE STREET CAPITAL, LLC

CRD# 143797

SEC# 8-67606

### Main Office Location

1445 ROSS AVE. SUITE 2700  
DALLAS, TX 75202  
Regulated by FINRA Dallas Office

### Mailing Address

1445 ROSS AVE. SUITE 2700  
DALLAS, TX 75202

### Business Telephone Number

214-545-6800

## 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 Texas on 01/18/2007.

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
- 52 U.S. states and territories

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

This firm conducts 14 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**



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Texas on 01/18/2007.

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.

### COMMERCE STREET CAPITAL, LLC

Doing business as COMMERCE STREET CAPITAL, LLC

CRD# 143797

SEC# 8-67606

### Main Office Location

1445 ROSS AVE. SUITE 2700  
DALLAS, TX 75202

Regulated by FINRA Dallas Office

### Mailing Address

1445 ROSS AVE. SUITE 2700  
DALLAS, TX 75202

### Business Telephone Number

214-545-6800



## 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>	COMMERCE STREET HOLDINGS, LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	MEMBER
<b>Position Start Date</b>	01/2007
<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>	GROSS, WILLIAM DUDLEY 1032405
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CHAIRMAN
<b>Position Start Date</b>	01/2007
<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>	HASHAWAY, BOBBY LEE 5675925
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CCO, COO, EVP, SECRETARY
<b>Position Start Date</b>	01/2014

## 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?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** JOHN, VARKEY (NMN)  
4530162

**Is this a domestic or foreign entity or an individual?** Individual

**Position** FINOP

**Position Start Date** 03/2017

**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):** WILEY, DORY ALAN  
2034240

**Is this a domestic or foreign entity or an individual?** Individual

**Position** PRESIDENT, CEO

**Position Start Date** 01/2007

**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>	GROSS, WILLIAM DUDLEY 1032405
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	COMMERCE STREET HOLDINGS, LLC
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2007
<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>	WILEY, DORY ALAN 2034240
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	COMMERCE STREET HOLDINGS, LLC
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2007
<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

## 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 currently registered with the SEC, 1 SRO and 52 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	09/18/2007

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer:    Yes

A broker-dealer and government securities broker or dealer:    Yes

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	09/18/2007



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	12/21/2007
Alaska	Approved	10/05/2007
Arizona	Approved	11/07/2007
Arkansas	Approved	10/09/2007
California	Approved	10/01/2007
Colorado	Approved	01/16/2008
Connecticut	Approved	10/29/2007
Delaware	Approved	11/13/2007
District of Columbia	Approved	10/16/2007
Florida	Approved	02/29/2008
Georgia	Approved	10/22/2007
Hawaii	Approved	01/14/2008
Idaho	Approved	09/27/2007
Illinois	Approved	10/11/2007
Indiana	Approved	10/12/2007
Iowa	Approved	10/22/2007
Kansas	Approved	10/29/2007
Kentucky	Approved	10/01/2007
Louisiana	Approved	10/02/2007
Maine	Approved	11/30/2007
Maryland	Approved	10/09/2007
Massachusetts	Approved	01/29/2008
Michigan	Approved	10/29/2007
Minnesota	Approved	10/02/2007
Mississippi	Approved	09/27/2007
Missouri	Approved	11/21/2007
Montana	Approved	10/10/2007
Nebraska	Approved	10/25/2007
Nevada	Approved	10/05/2007
New Hampshire	Approved	11/02/2007
New Jersey	Approved	12/04/2007
New Mexico	Approved	10/17/2007
New York	Approved	10/10/2007

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	11/20/2007
North Dakota	Approved	10/12/2007
Ohio	Approved	10/09/2007
Oklahoma	Approved	10/03/2007
Oregon	Approved	10/10/2007
Pennsylvania	Approved	10/15/2007
Puerto Rico	Approved	11/03/2010
Rhode Island	Approved	10/26/2007
South Carolina	Approved	10/09/2007
South Dakota	Approved	10/03/2007
Tennessee	Approved	03/06/2008
Texas	Approved	08/08/2007
Utah	Approved	11/09/2007
Vermont	Approved	10/24/2007
Virginia	Approved	10/17/2007
Washington	Approved	10/01/2007
West Virginia	Approved	10/01/2007
Wisconsin	Approved	11/05/2007
Wyoming	Approved	10/10/2007



## 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 14 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities dealer
U S. government securities broker
Broker or dealer selling oil and gas interests
Put and call broker or dealer or option writer
Broker or dealer selling securities of only one issuer or associate issuers (other than mutual funds)
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Other - COMMERCE STREET CAPITAL, LLC PROVIDES MERGER AND ACQUISITION WORK AND FAIRNESS OPINIONS TO THEIR CLIENTS. COMMERCE STREET CAPITAL LLC WILL ALSO ENGAGE IN INVESTMENT BANKING ACTIVITIES.

#### 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>	GLOBAL RELAY
<b>Business Address:</b>	220 CAMBIE STREET 2ND FLOOR VANCOUVER, BRITISH COLUMBIA V6B2M9
<b>Effective Date:</b>	06/01/2013
<b>Description:</b>	COMMERCE STREET UTILIZES GLOBAL RELAY TO EMPLOY ELECTRONIC STORAGE MEDIA TO MAINTAIN AND PRESERVE RECORDS RELATED TO ELECTRONIC COMMUNICATIONS OF ASSOCIATED MEMBERS OF THE FIRM.

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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.

**COMMERCE STREET INVESTMENT MANAGEMENT is under common control with the firm.**

<b>CRD #:</b>	144278
<b>Business Address:</b>	1445 ROSS AVE., STE. 2700 DALLAS, TX 75202
<b>Effective Date:</b>	01/17/2008
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	COMMERCE STREET CAPITAL, LLC IS UNDER COMMON OWNERSHIP WITH COMMERCE STREET INVESTMENT ADVISORS, LLC THROUGH OWNERSHIP OF COMMERCE STREET HOLDINGS, 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

**End of Report**



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