

BrokerCheck Report

SILVER LANE ADVISORS LLC

CRD# 148085

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

**SILVER LANE ADVISORS LLC**

CRD# 148085

SEC# 8-67965

Main Office Location

3 COLUMBUS CIRCLE
22ND FLOOR, SUITE 2220
NEW YORK, NY 10019

Mailing Address

3 COLUMBUS CIRCLE
22ND FLOOR, SUITE 2220
NEW YORK, NY 10019

Business Telephone Number

212 883-9400

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 08/09/2007.

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 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: 12/20/2019

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 08/09/2007.

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.

SILVER LANE ADVISORS LLC

Doing business as SILVER LANE ADVISORS LLC

CRD# 148085

SEC# 8-67965

Main Office Location

3 COLUMBUS CIRCLE
22ND FLOOR, SUITE 2220
NEW YORK, NY 10019

Mailing Address

3 COLUMBUS CIRCLE
22ND FLOOR, SUITE 2220
NEW YORK, NY 10019

Business Telephone Number

212 883-9400



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): SLA ACQUISTION CO.

Is this a domestic or foreign entity or an individual? Domestic Entity

Position DIRECT OWNER

Position Start Date 04/2019

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): BLOOMER, ELIZABETH ANN
4608067

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

Position CEO/MANAGING MEMBER

Position Start Date 08/2007

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

Legal Name & CRD# (if any): NESVOLD, HANS PETER
4518402

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

Position CCO

Position Start Date 03/2018

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):	OLLIA, MARSHALL FARROKH 3195972
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP/CFO
Position Start Date	06/2019
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

Legal Name & CRD# (if any):	RAYMOND JAMES FINANCIAL, INC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	SLA ACQUISITION CO
Relationship to Direct Owner	INDIRECT OWNER
Relationship Established	04/2019
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

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 01/02/2009 to 02/20/2020.



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 - SILVER LANE ADVISORS IS ENGAGED IN THE MERGERS AND ACQUISITIONS ACTIVITIES, SOME OF WHICH MAY BE STRUCTURED AS SECURITIES TRANSACTION.

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 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.



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.

EB MANAGEMENT I LLC. is under common control with the firm.

Business Address:	880 CARILLON PARKWAY ST.PETERSBURG, FL 33716
Effective Date:	04/02/2019
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	MAJORITY-OWNED SUBSIDIARY OF EAGLE ASSET MANAGEMENT, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF CARILLON TOWER ADVISERS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF APPLICANT.

RAYMOND JAMES ASSET MANAGEMENT INTERNATIONAL, S.A. is under common control with the firm.

Business Address:	40 RUE LA BOETIE PARIS, FRANCE 75008
Effective Date:	04/02/2019
Foreign Entity:	Yes
Country:	FRANCE
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	MAJORITY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL HOLDINGS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF APPLICANT.

Firm Operations



Organization Affiliates (continued)

RAYMOND JAMES CORPORATE FINANCE GMBH is under common control with the firm.

Business Address: THEREIENSTRASSE 1
MUNICH, GERMANY 80333

Effective Date: 04/02/2019

Foreign Entity: Yes

Country: GERMANY

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES GLOBAL HOLDINGS LIMITED, WHICH IS A WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL HOLDINGS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF APPLICANT.

CARILLON TOWER ADVISERS, INC. is under common control with the firm.

CRD #: 174904

Business Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Effective Date: 04/02/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF APPLICANT.

CLARIVEST ASSET MANAGEMENT LLC is under common control with the firm.

CRD #: 139785

Business Address: 3611 VALLEY CENTRE DRIVE
SUITE 100
SAN DIEGO, CA 92130

Effective Date: 04/02/2019

Foreign Entity: No

Firm Operations



Organization Affiliates (continued)

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: AFFILIATE OF EAGLE ASSET MANAGEMENT, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF CARILLON TOWER ADVISORS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF THE APPLICANT.

COUGAR GLOBAL INVESTMENTS is under common control with the firm.

CRD #: 109439

Business Address: 357 BAY STREET
SUITE # 1001
TORONTO, CANADA M5H 2T7

Effective Date: 04/02/2019

Foreign Entity: Yes

Country: CANADA

Securities Activities: No

Investment Advisory Activities: Yes

Description: WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL CANADA, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL HOLDINGS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF THE APPLICANT.

RAYMOND JAMES INVESTMENT COUNSEL LTD. is under common control with the firm.

CRD #: 128324

Business Address: 100 DE LA GAUCHETIERE W.
SUITE 2600
MONTRAL, CANADA H3B 4W5

Effective Date: 04/02/2019

Foreign Entity: Yes

Country: CANADA

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: RAYMOND JAMES INVESTMENT COUNSEL LTD. IS A WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES LTD., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES CANADA, LLC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF THE APPLICANT.

EAGLE ASSET MANAGEMENT INC is under common control with the firm.

CRD #: 110653

Business Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Effective Date: 04/02/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: WHOLLY-OWNED SUBSIDIARY OF CARILLON TOWER ADVISORS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF THE APPLICANT.

RAYMOND JAMES EURO EQUITIES SAS is under common control with the firm.

Business Address: 40 RUE DE LA BOETIE
PARIS, FRANCE 75008

Effective Date: 04/02/2019

Foreign Entity: Yes

Country: FRANCE

Securities Activities: Yes

Investment Advisory Activities: No

Description: WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES EUROPEAN SECURITIES SAS, WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF THE APPLICANT.

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

CRD #: 149018

Business Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Effective Date: 04/02/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF THE APPLICANT

RAYMOND JAMES TRUST COMPANY is under common control with the firm.

Business Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Effective Date: 04/02/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAYMOND JAMES TRUST, NATIONAL ASSOCIATION FORMALLY KNOWN AS RAYMOND JAMES TRUST COMPANY IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF THE APPLICANT.

RAYMOND JAMES INVESTMENT SERVICES LTD. is under common control with the firm.

Business Address: 77 CORNHILL
LONDON, ENGLAND EC3V 3QQ

Effective Date: 04/02/2019

Foreign Entity: Yes

Country: ENGLAND

Securities Activities: Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities:	No
Description:	WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF THE APPLICANT

RAYMOND JAMES FINANCIAL INTERNATIONAL, LTD. is under common control with the firm.

Business Address:	BISHOPSGATE COURT LONDON, ENGLAND E16DB
Effective Date:	04/02/2019
Foreign Entity:	Yes
Country:	ENGLAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL HOLDINGS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF APPLICANT

EAGLE BOSTON INVESTMENT MANAGEMENT, INC is under common control with the firm.

Business Address:	880 CARILLON PARKWAY ST PETERSBURG, FL 33716
Effective Date:	04/02/2019
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	WHOLLY-OWNED SUBSIDIARY OF EAGLE ASSET MANAGEMENT, INC, WHICH IS WHOLLY-OWNED SUBSIDIARY OF CARILLON TOWER ADVISORS, INC., WHICH IS WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF THE APPLICANT.

CARILLON FUND DISTRIBUTORS, INC. is under common control with the firm.

CRD #:	139749
Business Address:	880 CARILLON PARKWAY

Firm Operations



Organization Affiliates (continued)

ST. PETERSBURG, FL 33716

Effective Date: 04/02/2019

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: WHOLLY-OWNED SUBSIDIARY OF EAGLE ASSET MANAGEMENT, INC WHICH IS WHOLLY-OWNED SUBSIDIARY OF CARILLON TOWER ADVISORS, INC, WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARANT OF APPLICANT.

RAYMOND JAMES LTD. (CANADA) is under common control with the firm.

Business Address: 601 WEST HASTINGS ST., SUITE 800
VANCOUVER, B.C., CANADA V6B 5E2

Effective Date: 04/02/2019

Foreign Entity: Yes

Country: CANADA

Securities Activities: Yes

Investment Advisory Activities: No

Description: WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES CANADA, LLC. WHICH IS WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF APPLICANT

RAYMOND JAMES (USA) LTD. is under common control with the firm.

CRD #: 25853

Business Address: 40 KING STREET WEST, SUITE 5300
TORONTO ONTARIO, CANADA M5H 3Y2

Effective Date: 04/02/2019

Foreign Entity: Yes

Country: CANADA

Securities Activities: Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: WHOLLY-OWNED SUSIDIARY OF RAYMOND JAMES LTD., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES CANADA, LLC WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF APPLICANT

RAYMOND JAMES FINANCIAL SERVICES, INC. is under common control with the firm.

CRD #: 6694

Business Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Effective Date: 04/02/2019

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF APPLICANT

RAYMOND JAMES & ASSOCIATES, INC. is under common control with the firm.

CRD #: 705

Business Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Effective Date: 04/02/2019

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: WHOLLY-OWNED SUBSIDIARY OF THE ULTIMATE PARENT OF APPLICANT

This firm is directly or indirectly, controlled by the following:

- bank holding company

Firm Operations



Organization Affiliates (continued)

- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

RAYMOND JAMES FINANCIAL, INC is a Bank Holding Company and controls the firm.

Business Address:	880 CARILLON PARWAY ST. PETERSBURG, FL 33716
Effective Date:	04/02/2019
Description:	ULTIMATE PARENT OF APPLICANT

End of Report



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