

BrokerCheck Report

MAYFAIR CAPITAL MARKETS LLC

CRD# 149177

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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)

MAYFAIR CAPITAL MARKETS LLC

CRD# 149177

SEC# 8-68120

Main Office LocationTWO GREENWICH OFFICE PARK, SUITE 300
GREENWICH, CT 06831**Mailing Address**93 E. MIDDLE PATENT ROAD
GREENWICH, CT 06831-2807**Business Telephone Number**

203-622-4960

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 11/18/2008.

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: 08/31/2013

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 11/18/2008.

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.

MAYFAIR CAPITAL MARKETS LLC

Doing business as MAYFAIR CAPITAL MARKETS LLC

CRD# 149177

SEC# 8-68120

Main Office Location

TWO GREENWICH OFFICE PARK, SUITE 300
GREENWICH, CT 06831

Mailing Address

93 E. MIDDLE PATENT ROAD
GREENWICH, CT 06831-2807

Business Telephone Number

203-622-4960



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): | KELLEY, DAVID KINGSBURY 1876804 |
| Is this a domestic or foreign entity or an individual? | Individual |
| Position | CEO, CCO |
| Position Start Date | 11/2008 |
| 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): | EFREM, KATHY KHATINA 3248100 |
| Is this a domestic or foreign entity or an individual? | Individual |
| Position | FINOP AND CFO |
| Position Start Date | 05/2009 |
| 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 |

Firm Profile

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



Indirect Owners

No information reported.

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 08/19/2009 to 11/15/2013.

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 8 types of businesses.

Types of Business

| |
|---|
| Broker or dealer selling corporate debt securities |
| Underwriter or selling group participant (corporate securities other than mutual funds) |
| U S. government securities dealer |
| U S. government securities broker |
| Real estate syndicator |
| Trading securities for own account |
| Private placements of securities |
| Broker or dealer selling interests in mortgages or other receivables |

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: FULCRUM SECURITIES, INC.
CRD #: 140084
Business Address: 555 MARYVILLE UNIVERSITY DRIVE
SUITE 250
SAINT LOUIS, MO 63141
Effective Date: 09/22/2009
Description: APPLICANT INTRODUCES CUSTOMER ACCOUNTS ON A FULLY-DISCLOSED BASIS TO FULCRUM SECURITIES, INC WHICH IN TURN INTRODUCES THOSE CUSTOMER ACCOUNTS ON A FULLY DISCLOSED BASIS TO PERSHING LLC, ITS CLEARING BROKER.

Firm Operations**Industry Arrangements****This firm does have books or records maintained by a third party.**

Name: FULCRUM SECURITIES, INC.
CRD #: 140084
Business Address: 555 MARYVILLE UNIVERSITY DRIVE
 SUITE 250
 SAINT LOUIS, MO 63141
Effective Date: 09/22/2009
Description: CERTAIN BOOKS OR RECORDS OF APPLICANT ARE HELD OR MAINTAINED BY FULCRUM SECURITIES, INC. OR ITS CLEARING BROKER PERSHING LLC.

This firm does have accounts, funds, or securities maintained by a third party.

Name: FULCRUM SECURITIES, INC.
CRD #: 140084
Business Address: 555 MARYVILLE UNIVERSITY DRIVE
 SUITE 250
 SAINT LOUIS, MO 63141
Effective Date: 09/22/2009
Description: APPLICANT'S ACCOUNTS, FUNDS OR SECURITIES ARE INTRODUCED ON A FULLY-DISCLOSED BASIS TO FULCRUM SECURITIES, INC WHICH IN TURN INTRODUCES THOSE ACCOUNTS ON A FULLY DISCLOSED BASIS TO PERSHING LLC, ITS CLEARING BROKER.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: PERSHING LLC
CRD #: 7560
Business Address: ONE PERSHING PLAZA
 JERSEY CITY, NJ 07399
Effective Date: 09/22/2009
Description: APPLICANT INTRODUCES CUSTOMER ACCOUNTS ON A FULLY-DISCLOSED BASIS TO FULCRUM SECURITIES, INC WHICH IN TURN INTRODUCES THOSE CUSTOMER ACCOUNTS ON A FULLY DISCLOSED BASIS TO PERSHING LLC, ITS CLEARING BROKER.

Control Persons/Financing

Firm Operations



Industry Arrangements (continued)

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 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

End of Report



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