

## BrokerCheck Report

# STRATEGAS SECURITIES, LLC DBA STRATEGAS RESEARCH PARTNERS

CRD# 149326

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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).



## STRATEGAS SECURITIES, LLC DBA STRATEGAS RESEARCH PARTNERS

CRD# 149326

SEC# 8-68138

### Main Office Location

52 VANDERBILT AVENUE, 19TH FLOOR  
NEW YORK, NY 10017  
Regulated by FINRA New York Office

### Mailing Address

52 VANDERBILT AVENUE, 19TH FLOOR  
NEW YORK, NY 10017

### Business Telephone Number

6462927950

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 New York on 12/06/2007.

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
- 16 U.S. states and territories

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

This firm conducts 5 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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 New York on 12/06/2007.

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.

### **STRATEGAS SECURITIES, LLC**

**Doing business as STRATEGAS SECURITIES, LLC DBA STRATEGAS RESEARCH PARTNERS**

**CRD#** 149326

**SEC#** 8-68138

### **Main Office Location**

52 VANDERBILT AVENUE, 19TH FLOOR  
NEW YORK, NY 10017

**Regulated by FINRA New York Office**

### **Mailing Address**

52 VANDERBILT AVENUE, 19TH FLOOR  
NEW YORK, NY 10017

### **Business Telephone Number**

6462927950



## 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>	BAIRD FINANCIAL CORPORATION
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	SHAREHOLDER
<b>Position Start Date</b>	01/2018
<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>	ANTHONY, DANNELL WAYNE 7038021
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	FINOP, DIRECTOR OF FINANCE
<b>Position Start Date</b>	07/2024
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	BOHNSACK, NICHOLAS GREGORY 4571796
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRESIDENT / COO
<b>Position Start Date</b>	09/2008

## 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):** BOOTH, STEVEN GREGORY  
2147388

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

**Position** DIRECTOR

**Position Start Date** 01/2018

**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

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**Legal Name & CRD# (if any):** GABAY, EILEEN MARGARET  
5602349

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

**Position** CHIEF OPERATING OFFICER

**Position Start Date** 11/2010

**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):** LANGENFELD, JON A

## Firm Profile



### Direct Owners and Executive Officers (continued)

4322120

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

**Position** DIRECTOR

**Position Start Date** 01/2018

**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):** LOGUE, SOFIA  
6406784

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

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 06/2025

**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

**Legal Name & CRD# (if any):** RISSMILLER, DONALD JAMES  
5227351

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

**Position** VICE CHAIRMAN / PRINCIPAL

**Position Start Date** 09/2008

**Percentage of Ownership** Less than 5%

## Firm Profile



### Direct Owners and Executive Officers (continued)

**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):** TOTORO, MICHAEL A  
1552053

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

**Position** CHIEF TECHNOLOGY OFFICER

**Position Start Date** 09/2008

**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):** TRENNERT, JASON RICHARD  
2079457

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

**Position** CHAIRMAN / CEO

**Position Start Date** 09/2008

**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):	BAIRD FINANCIAL GROUP, INC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	BAIRD FINANCIAL CORPORATION
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/2018
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

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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 currently registered with the SEC, 1 SRO and 16 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	02/10/2010

### 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	02/10/2010



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	06/21/2011
California	Approved	02/10/2014
Connecticut	Approved	04/15/2010
Delaware	Approved	07/25/2014
District of Columbia	Approved	07/29/2010
Georgia	Approved	09/02/2010
Hawaii	Approved	01/09/2015
Illinois	Approved	04/26/2010
Massachusetts	Approved	09/21/2010
New York	Approved	02/11/2010
North Carolina	Approved	10/02/2024
Ohio	Approved	07/13/2010
Oklahoma	Approved	05/03/2011
Pennsylvania	Approved	06/09/2010
Tennessee	Approved	08/08/2014
Texas	Approved	07/07/2010



## 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 5 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Underwriter or selling group participant (corporate securities other than mutual funds)

Investment advisory services

Non-exchange member arranging for transactions in listed securities by exchange member

Other - STRATEGAS SECURITIES LLC DBA STRATEGAS RESEARCH PARTNERS ("STRATEGAS") INTENDS TO PUBLISH INVESTMENT & SECTOR STRATEGY, MACROECONOMIC & POLICY RESEARCH. THE RESEARCH WILL BE DISSEMINATED EXCLUSIVELY TO INSTITUTIONAL ASSET MANAGERS I.E. MUTUAL FUNDS, HEDGE FUNDS, PENSION FUNDS, PRIVATE HIGH NET WORTH MANAGERS, IN THE U.S., EUROPE, AND ASIA. STRATEGAS WILL ONLY DISTRIBUTE MARKET COMMENTARY AND NO STOCK SPECIFIC RESEARCH. STRATEGAS WILL ALSO INTRODUCE THESE SAME INSTITUTIONAL CLIENTS TO THIRD PARTY BROKER-DEALERS.

#### 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 refer or introduce customers to other brokers and dealers.

<b>Name:</b>	BOFA SECURITIES, INC.
<b>CRD #:</b>	283942
<b>Business Address:</b>	ONE BRYANT PARK NEW YORK, NY 10036
<b>Effective Date:</b>	05/13/2019
<b>Description:</b>	STRATEGAS SECURITIES LLC WILL ACT AS FULLY DISCLOSED INTRODUCING BROKER-DEALER PURSUANT TO A CLEARING AGREEMENT WITH BOFA SECURITIES LLC, INC

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## Firm Operations

### Industry Arrangements



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

**Name:** BOFA SECURITIES, INC.  
**CRD #:** 283942  
**Business Address:** ONE BRYANT PARK  
NEW YORK, NY 10036  
**Effective Date:** 05/13/2019  
**Description:** STRATEGAS SECURITIES LLC WILL ACT AS FULLY DISCLOSED INTRODUCING BROKER-DEALER PURSUANT TO A CLEARING AGREEMENT WITH BOFA SECURITIES, INC. PURSUANT TO THE CLEARING AGGREETMENT ACCOUNTS, FUNDS AND/OR SECURITIES OF THE CUSTOMERS OF THE APPLICANT WILL BE HELD OR MAINTAINED BY BOFA SECURITIES, INC.

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

**Name:** BOFA SECURITIES, INC.  
**CRD #:** 283942  
**Business Address:** ONE BRYANT PARK  
NEW YORK, NY 10036  
**Effective Date:** 05/13/2019  
**Description:** STRATEGAS SECURITIES LLC WILL ACT AS FULLY DISCLOSED INTRODUCING BROKER-DEALER PURSUANT TO A CLEARING AGREEMENT WITH BOFA SECURITIES, INC. PURSUANT TO THE CLEARING AGGREETMENT ACCOUNTS, FUNDS AND/OR SECURITIES OF THE CUSTOMERS OF THE APPLICANT WILL BE HELD OR MAINTAINED BY BOFA SECURITIES, INC.

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

**Name:** BOFA SECURITIES, INC.  
**CRD #:** 283942  
**Business Address:** ONE BRYANT PARK  
NEW YORK, NY 10036  
**Effective Date:** 05/13/2019  
**Description:** STRATEGAS SECURITIES LLC WILL ACT AS FULLY DISCLOSED INTRODUCING BROKER-DEALER PURSUANT TO A CLEARING AGREEMENT WITH BOFA SECURITIES, INC. PURSUANT TO THE

## Firm Operations



### Industry Arrangements (continued)

CLEARING AGGREEMENT ACCOUNTS, FUNDS AND/OR SECURITIES OF THE CUSTOMERS OF THE APPLICANT WILL BE HELD OR MAINTAINED BY BOFA SECURITIES, INC.

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### 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.**

**GREENHOUSE FUNDS LLLP is under common control with the firm.**

<b>CRD #:</b>	169840
<b>Business Address:</b>	650 SOUTH EXETER STREET SUITE 1080 BALTIMORE, MD 21202
<b>Effective Date:</b>	03/01/2014
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIRD FINANCIAL CORP, THE PARENT OF ROBERT W BAIRD & CO INC, OWNS LESS THAN 25% OF THE OUTSTANDING EQUITY INTERESTS OF GREENHOUSE FUNDS LLLP. ON JULY 9 WE FILED AN AMENDMENT TO THE FORM BD TO TERMINATE GREENHOUSE AS AN AFFILIATE BUT FINRA HAS ASKED US TO REFILE AND ADD BACK

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**BAIRD CAPITAL GLOBAL GP III LLC is under common control with the firm.**

<b>Business Address:</b>	227 W. MONROE STREET SUITE 2200 CHICAGO, IL 60606
<b>Effective Date:</b>	12/20/2024
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes

## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, CONTROLS BAIRD CAPITAL GLOBAL GP III.

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**BAIRD PRINCIPAL GROUP GP III, LLC is under common control with the firm.**

**Business Address:** 77 EAST WISCONSIN AVENUE  
MIKWAUKEE, WI 53202

**Effective Date:** 01/01/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, CONTROLS BAIRD PRINCIPAL GROUP GP III, LLC.

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**BAIRD INSURANCE SERVICES INC is under common control with the firm.**

**Business Address:** 77 EAST WISCONSIN AVENUE  
MIKWAUKEE, WI 53202

**Effective Date:** 01/01/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, WHOLLY OWNS BAIRD INSURANCE SERVICES INC.

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**TECHNOLOGY GROWTH FUND(GENERAL PARTNER) SLP is under common control with the firm.**

**Business Address:** FINSBURY CIRCUS HOUSE  
15 FINSBURY CIRCUS  
LONDON, UK EC2M 7EB

## Firm Operations



### Organization Affiliates (continued)

**Effective Date:** 01/01/2018

**Foreign Entity:** Yes

**Country:** UK

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** STRATEGAS AND TECHNOLOGY GROWTH FUND (GENERAL PARTNER) SLP ARE UNDER COMMON CONTROL BECAUSE BAIRD FINANCIAL CORPORATION WHOLLY OWNS STRATEGAS AND CONTROLS TECHNOLOGY GROWTH FUND (GENERAL PARTNER) SLP

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#### BCPE II GENERAL PARTNER LLP is under common control with the firm.

**Business Address:** FINSBURY CIRCUS HOUSE  
15 FINSBURY CIRCUS  
LONDON, UK EC2M 7EB

**Effective Date:** 01/01/2018

**Foreign Entity:** Yes

**Country:** UK

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BCPE II GENERAL PARTNER LLP IS CONTROLLED BY ROBERT W. BAIRD GROUP LIMITED WHICH IN TURN IS 48% OWNED BY ROBERT W. BAIRD & CO. INCORPORATED AND 52% OWNED BY BAIRD FINANCIAL CORPORATION, THE PARENT COMPANY OF STRATEGAS.

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#### BAIRD VENTURE PARTNERS GP VI, LLC is under common control with the firm.

**Business Address:** 77 EAST WISCONSIN AVENUE  
MIKWAUKEE, WI 53202

**Effective Date:** 07/08/2022

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, OWNS APPROXIMATELY 80% OF BAIRD VENTURE PARTNERS GP VI, LLC

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**BAIRD PRINCIPAL GROUP MANAGEMENT COMPANY, LLC is under common control with the firm.**

**CRD #:** 326646

**Business Address:** 777 EAST WISCONSIN AVENUE  
MILWAUKEE, WI 53202

**Effective Date:** 03/06/2023

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, CONTROLS BAIRD PRINCIPAL GROUP MANAGEMENT COMPANY, LLC.

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**BAIRD CAPITAL MANAGEMENT COMPANY, LLC is under common control with the firm.**

**CRD #:** 323309

**Business Address:** 777 E WISCONSIN AVENUE  
MILWAUKEE, WI 53202

**Effective Date:** 03/06/2023

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, OWNS 100% OF BAIRD CAPITAL MANAGEMENT COMPANY, LLC.

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**GAMMA INVESTING LLC is under common control with the firm.**

## Firm Operations



### Organization Affiliates (continued)

**CRD #:** 312573

**Business Address:** 1825 S GRANT STREET  
9TH FLOOR  
SAN MATEO, CA 94402

**Effective Date:** 01/12/2022

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** STRATEGAS AND GAMMA INVESTING, LLC ARE UNDER COMMON CONTROL BECAUSE EACH FIRM IS CONTROLLED BY BAIRD FINANCIAL BAIRD FINANCIAL CORPORATION, WHICH WHOLLY OWNS STRATEGAS AND HAS A GREATER THAN 25% INDIRECT OWNERSHIP INTEREST IN GAMMA INVESTING LLC.

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#### BAIRD CAPITAL GLOBAL FUND MANAGEMENT II LLC is under common control with the firm.

**CRD #:** 309991

**Business Address:** 777 EAST WISCONSIN AVENUE  
MILWAUKEE, WI 53202

**Effective Date:** 07/10/2020

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, OWNS APPROXIMATELY 80% OF BAIRD CAPITAL GLOBAL FUND MANAGEMENT II LLC.

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#### BAIRD VENTURE PARTNERS MANAGEMENT COMPANY V, LLC is under common control with the firm.

**CRD #:** 298155

**Business Address:** 777 EAST WISCONSIN AVENUE  
MILWAUKEE, WI 53202

## Firm Operations



### Organization Affiliates (continued)

**Effective Date:** 05/02/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, OWNS APPROXIMATELY 80% OF BAIRD VENTURE PARTNERS MANAGEMENT COMPANY V, LLC.

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#### BAIRD PRINCIPAL GROUP MANAGEMENT COMPANY II, LLC is under common control with the firm.

**CRD #:** 292786

**Business Address:** 777 EAST WISCONSIN AVENUE  
MILWAUKEE, WI 53202

**Effective Date:** 01/23/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, CONTROLS BAIRD PRINCIPAL GROUP MANAGEMENT COMPANY II, LLC.

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#### BAIRD TRUST COMPANY is under common control with the firm.

**Business Address:** 500 W. JEFFERSON ST, SUITE 700  
SUITE 700  
LOUISVILLE, KY 40202

**Effective Date:** 04/19/2019

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** Yes

**Description:** STRATEGAS AND BAIRD TRUST COMPANY ARE UNDER COMMON CONTROL BECAUSE EACH IS WHOLLY OWNED BY BAIRD FINANCIAL CORPORATION.

**ROBERT W. BAIRD & CO. INCORPORATED is under common control with the firm.**

**CRD #:** 8158

**Business Address:** 777 EAST WISCONSIN AVENUE  
MILWAUKEE, WI 53202

**Effective Date:** 01/02/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** Yes

**Description:** REGISTRANT AND ROBERT W. BAIRD & CO INCORPORATED ARE EACH 100% OWNED BY BAIRD FINANCIAL CORPORATION.

**ROBERT W. BAIRD GMBH is under common control with the firm.**

**Business Address:** NEVE MAINZER STRASSE  
FRANKFURT, GERMANY

**Effective Date:** 01/02/2018

**Foreign Entity:** Yes

**Country:** GERMANY

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD GMBH AND STRATEGAS ARE UNDER COMMON CONTROL BECAUSE BAIRD FINANCIAL CORPORATION WHOLLY OWNS STRATEGAS AND CONTROLS ROBERT W. BAIRD GMBH.

**BAIRD VENTURE PARTNERS MANAGEMENT COMPANY III, LLC is under common control with the firm.**

**CRD #:** 145166

**Business Address:** 777 EAST WISCONSIN AVENUE

## Firm Operations



### Organization Affiliates (continued)

MILWAUKEE, WI 53202

**Effective Date:** 01/02/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, OWNS APPROXIMATELY 80% OF BAIRD VENTURE PARTNERS MANAGEMENT COMPANY III, LLC.

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#### BAIRD CAPITAL GLOBAL FUND MANAGEMENT I LP is under common control with the firm.

**CRD #:** 283680

**Business Address:** PO BOX 309  
UGLAND HOUSE, GRAND CAYMAN ISLANDS KY1-9004

**Effective Date:** 01/02/2018

**Foreign Entity:** Yes

**Country:** GRAND CAYMAN ISLANDS

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, OWNS APPROXIMATELY 80% OF BAIRD CAPITAL GLOBAL FUND MANAGEMENT I LP.

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#### BAIRD PRINCIPAL GROUP MANAGEMENT COMPANY I, LLC is under common control with the firm.

**CRD #:** 269982

**Business Address:** 777 EAST WISCONSIN AVENUE  
MILWAUKEE, WI 53202

**Effective Date:** 01/02/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No



## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, CONTROLS BAIRD PRINCIPAL GROUP MANAGEMENT COMPANY I, LLC.

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**BAIRD VENTURE PARTNERS MANAGEMENT COMPANY IV, LLC is under common control with the firm.**

**CRD #:** 168956

**Business Address:** 777 EAST WISCONSIN AVENUE  
MILWAUKEE, WI 53202

**Effective Date:** 01/02/2018

**Foreign Entity:** No

**Country:** UNITED STATES

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, OWNS APPROXIMATELY 80% OF BAIRD VENTURE PARTNERS MANAGEMENT COMPANY IV, LLC.

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**BAIRD CAPITAL PARTNERS MANAGEMENT COMPANY V, LLC is under common control with the firm.**

**CRD #:** 148519

**Business Address:** 777 EAST WISCONSIN AVENUE  
MILWAUKEE, WI 53202

**Effective Date:** 01/02/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ROBERT W. BAIRD & CO. INCORPORATED, WHICH IS UNDER COMMON CONTROL WITH STRATEGAS, OWNS APPROXIMATELY 80% OF BAIRD CAPITAL PARTNERS MANAGEMENT COMPANY V, LLC.

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**RIVERFRONT INVESTMENT GROUP, LLC is under common control with the firm.**

## Firm Operations



### Organization Affiliates (continued)

**CRD #:** 146221

**Business Address:** 1214 EAST CARY STREET  
RICHMOND, VA 23219

**Effective Date:** 01/02/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** STRATEGAS AND RIVERFRONT INVESTMENT GROUP, LLC ARE UNDER COMMON CONTROL BECAUSE EACH FIRM IS CONTROLLED BY BAIRD FINANCIAL CORPORATION, WHICH WHOLLY OWNS STRATEGAS AND OWNS MORE THAN 25% OF RIVERFRONT INVESTMENT GROUP, LLC.

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#### BAIRD CAPITAL PARTNERS EUROPE LIMITED is under common control with the firm.

**Business Address:** FINSBURY CIRCUS HOUSE  
15 FINSBURY CIRCUS  
LONDON, UNITED KINGDOM EC2M 7EB

**Effective Date:** 01/02/2018

**Foreign Entity:** Yes

**Country:** UNITED KINGDOM

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIRD CAPITAL PARTNERS EUROPE LIMITED IS CONTROLLED BY ROBERT W. BAIRD GROUP LIMITED WHICH IN TURN IS 48% OWNED BY THE APPLICANT ROBERT W. BAIRD & CO. INCORPORATED AND 52% OWNED BY BAIRD FINANCIAL CORPORATION, THE PARENT COMPANY OF STRATEGAS.

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#### ROBERT W. BAIRD LIMITED is under common control with the firm.

**Business Address:** FINSBURY CIRCUS HOUSE  
15 FINSBURY CIRCUS  
LONDON, UNITED KINGDOM EC2M 7EB

**Effective Date:** 01/02/2018

## Firm Operations



### Organization Affiliates (continued)

<b>Foreign Entity:</b>	Yes
<b>Country:</b>	UNITED KINGDOM
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	ROBERT W. BAIRD LIMITED AND STRATEGAS ARE UNDER COMMON CONTROL BECAUSE BAIRD FINANCIAL CORPORATION WHOLLY OWNS STRATEGAS AND INDIRECTLY OWNS 100% OF ROBERT W. BAIRD LIMITED.

### STRATEGAS ASSET MANAGEMENT, LLC is under common control with the firm.

<b>CRD #:</b>	172000
<b>Business Address:</b>	52 VANDERBILT AVENUE EIGHTH FLOOR UNITED STATES NEW YORK, NY 10017
<b>Effective Date:</b>	09/30/2014
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	STRATEGAS ASSET MANAGEMENT, LLC AND STRATEGAS SECURITIES, LLC ARE UNDER COMMON CONTROL BECAUSE EACH IS WHOLLY OWNED BY BAIRD FINANCIAL CORPORATION.

### 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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