BrokerCheck Report

OASIS PRO MARKETS LLC

CRD# 149420

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

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.

OASIS PRO MARKETS LLC

CRD# 149420

SEC# 8-68164

Main Office Location

1266 EAST MAIN STREET
SUITE 603
STAMFORD, CT 06902
Regulated by FINRA Boston Office

Mailing Address

1266 EAST MAIN STREET
SUITE 603
STAMFORD, CT 06902

Business Telephone Number

203-247-6700

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 02/07/2019.

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
- 53 U.S. states and territories

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

This firm conducts 6 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 Delaware on 02/07/2019.

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.

OASIS PRO MARKETS LLC

Doing business as OASIS PRO MARKETS LLC

CRD# 149420

SEC# 8-68164

Main Office Location

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SUITE 603
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Business Telephone Number

203-247-6700

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):	ONDO FINANCE INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	09/2025
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CHRISTOFILIS, CHARLES ANTHONY 1518196
Is this a domestic or foreign entity or an individual?	Individual
Position	CO-CCO
Position Start Date	12/2025
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):	KLEINER, JOEL 7450898
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	11/2025

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

Legal Name & CRD# (if any):	LAVECCHIA, PASQUALE MARIO 2403011
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER / MANAGING MEMBER / CO-CCO
Position Start Date	11/2008
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

Legal Name & CRD# (if any):	YOSTPILLE, ROBERT G 4822760
Is this a domestic or foreign entity or an individual?	Individual
Position	EXECUTIVE VICE PRESIDENT
Position Start Date	08/2024
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

Legal Name & CRD# (if any):	ALLMAN, NATHAN LAWRENCE
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ONDO FINANCE
Relationship to Direct Owner	SHAREHOLDER - PREFERRED
Relationship Established	03/2021
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	08/19/2009

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	08/19/2009

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	11/03/2025
Alaska	Approved	10/27/2025
Arizona	Approved	01/01/2026
Arkansas	Approved	12/23/2025
California	Approved	11/18/2025
Colorado	Approved	12/17/2025
Connecticut	Approved	06/20/2025
Delaware	Approved	11/10/2025
District of Columbia	Approved	04/20/2026
Florida	Approved	01/06/2026
Georgia	Approved	11/17/2025
Hawaii	Approved	01/13/2026
Idaho	Approved	10/22/2025
Illinois	Approved	01/30/2026
Indiana	Approved	01/07/2026
Iowa	Approved	10/21/2025
Kansas	Approved	11/12/2025
Kentucky	Approved	12/12/2025
Louisiana	Approved	10/27/2025
Maine	Approved	11/14/2025
Maryland	Approved	12/02/2025
Massachusetts	Approved	02/17/2026
Michigan	Approved	10/23/2025
Minnesota	Approved	12/03/2025
Mississippi	Approved	10/28/2024
Missouri	Approved	01/01/2026
Montana	Approved	10/21/2025
Nebraska	Approved	12/03/2025
Nevada	Approved	10/21/2025
New Hampshire	Approved	12/12/2025
New Jersey	Approved	12/16/2025
New Mexico	Approved	01/02/2026
New York	Approved	08/01/2025

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	10/28/2025
North Dakota	Approved	12/16/2025
Ohio	Approved	10/24/2025
Oklahoma	Approved	10/30/2025
Oregon	Approved	11/05/2025
Pennsylvania	Approved	12/04/2025
Puerto Rico	Approved	07/14/2026
Rhode Island	Approved	10/22/2025
South Carolina	Approved	10/29/2025
South Dakota	Approved	10/21/2025
Tennessee	Approved	12/18/2025
Texas	Approved	03/05/2026
Utah	Approved	10/29/2025
Vermont	Approved	10/29/2025
Virgin Islands	Approved	04/17/2026
Virginia	Approved	12/24/2025
Washington	Approved	12/23/2025
West Virginia	Approved	11/06/2025
Wisconsin	Approved	12/04/2025
Wyoming	Approved	12/19/2025

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 6 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)
Mutual fund retailer
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - M&A SERVICES,INCLUDING ADVISORY SERVICES OR FAIRNESS OPINIONS. OPERATE AN ALTERNATIVE TRADING SYSTEM (ATS) PLATFORM THAT MATCHES BUYERS AND SELLERS (ON AN AGENCY BASIS) OF REGISTERED AND UNREGISTERED EXEMPT SECURITIES THAT MAY BE REPRESENTED ON A BLOCKCHAIN IN DIGITAL FORM; AS WELL AS OVER-THE-COUNTER ("OTC") CORPORATE EQUITY AND DEBT SECURITIES.

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.

Name:	ALPACA SECURITIES LLC
CRD #:	288202
Business Address:	12 EAST 49TH STREET 11TH FLOOR NEW YORK, NY 10017
Effective Date:	05/01/2026
Description:	WE WILL INTRODUCE CUSTOMERS TO ALPACA

Firm Operations

Industry Arrangements

This firm does not have books or records maintained by a third party.

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

Name:	ALPACA SECURITIES LLC
CRD #:	288202
Business Address:	12 EAST 49TH STREET 11TH FLORR NEW YORK, NY 10017
Effective Date:	05/01/2026
Description:	ALPACA WILL ACT AS OUR CLEARING BROKER

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.

ONDO CAPITAL MANAGEMENT LLC is under common control with the firm.

CRD #:	325197
Business Address:	500 WEST PUTNAM AVE GREENWICH, CT 06830
Effective Date:	10/02/2025
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ONDO CAPITAL MANAGEMENT LLC IS CONTROLLED BY, UNDER COMMON OPERATIONAL CONTROL WITH ONDO FINANCE, BUT THE ENTITIES OPERATE INDEPENDENTLY. PASQUALE LAVECCHIA IS REGISTERED WITH ONDO CAPITAL MANAGEMENT AS WELL AS OASIS PRO MARKETS

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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