

## BrokerCheck Report

# HEIGHT CAPITAL MARKETS

CRD# 150659

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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](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).

**HEIGHT CAPITAL MARKETS**

CRD# 150659

SEC# 8-68277

**Main Office Location**

1401 NEW YORK AVENUE NW  
SUITE 700  
WASHINGTON, DC 20005  
Regulated by FINRA Philadelphia Office

**Mailing Address**

1401 NEW YORK AVENUE, NW  
SUITE 700  
WASHINGTON, DC 20005

**Business Telephone Number**

202 629-0015

**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 05/22/2009.  
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
- 2 Self-Regulatory Organizations
- 26 U.S. states and territories

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

This firm conducts 7 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 05/22/2009.

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.

### HEIGHT SECURITIES, LLC

#### Doing business as HEIGHT CAPITAL MARKETS

**CRD#** 150659

**SEC#** 8-68277

### Main Office Location

1401 NEW YORK AVENUE NW  
SUITE 700  
WASHINGTON, DC 20005

### Regulated by FINRA Philadelphia Office

### Mailing Address

1401 NEW YORK AVENUE, NW  
SUITE 700  
WASHINGTON, DC 20005

### Business Telephone Number

202 629-0015



## 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):** HEIGHT CAPITAL, LLC

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

**Position** SHAREHOLDER

**Position Start Date** 05/2009

**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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**Legal Name & CRD# (if any):** AKRIDGE, JOHN EDWARD IV  
2943557

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

**Position** MANAGING PARTNER

**Position Start Date** 05/2009

**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):** CASSAGNOL, SABRINA  
1332969

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

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 03/2010

## 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?** No

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

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**Legal Name & CRD# (if any):** SELF, JONATHAN ANDREW  
4497531

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

**Position** FINOP, CHIEF FINANCIAL OFFICER

**Position Start Date** 07/2009

**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

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## 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>	AKRIDGE, JOHN EDWARD IV 2943557
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	HEIGHT CAPITAL, LLC
<b>Relationship to Direct Owner</b>	SHARE-HOLDER
<b>Relationship Established</b>	12/2008
<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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## 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, 2 SROs and 26 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	04/06/2010

### 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	04/06/2010
Nasdaq Stock Market	Approved	04/20/2010

## Firm Operations



### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	01/10/2019
California	Approved	11/29/2011
Colorado	Approved	12/02/2011
Connecticut	Approved	03/10/2011
Delaware	Approved	03/14/2011
District of Columbia	Approved	04/08/2010
Florida	Approved	03/30/2011
Georgia	Approved	01/27/2011
Illinois	Approved	02/24/2011
Indiana	Approved	03/07/2011
Maryland	Approved	02/16/2011
Massachusetts	Approved	02/18/2011
Michigan	Approved	02/24/2011
Minnesota	Approved	02/01/2011
Mississippi	Approved	02/14/2011
Missouri	Approved	03/15/2011
New Jersey	Approved	04/01/2011
New York	Approved	06/21/2010
North Carolina	Approved	01/27/2011
Ohio	Approved	02/18/2011
Oklahoma	Approved	01/31/2011
Pennsylvania	Approved	02/03/2011
Tennessee	Approved	06/14/2011
Texas	Approved	03/11/2011
Virginia	Approved	08/04/2010
Wisconsin	Approved	03/02/2011



## 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 7 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)
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Other - APPLICANT PROVIDES INVESTMENT RESEARCH TO ITS BROKERAGE CLIENTS.

#### 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>	GOLDMAN SACHS & CO. LLC
<b>CRD #:</b>	361
<b>Business Address:</b>	200 WEST STREET NEW YORK, NY 10282
<b>Effective Date:</b>	01/17/2013
<b>Description:</b>	THE FIRM INTRODUCES CLIENTS TO GOLDMAN, SACHS & CO. FOR CLEARANCE AND SETTLEMENT OF TRADES.

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<b>Name:</b>	PERSHING LLC
<b>CRD #:</b>	7560
<b>Business Address:</b>	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
<b>Effective Date:</b>	03/16/2011
<b>Description:</b>	THE FIRM'S FULLY DISCLOSED CLEARING RELATIONSHIP WITH JEFFERIES & COMPANY HAS BEEN ASSIGNED TO PERSHING LLC IN CONNECTION WITH PERSHING LLC'S PURCHASE OF JEFFRIES & COMPANY. THE FIRM WILL INTRODUCE CLIENTS TO PERSHING LLC WHO WILL CLEAR AND SETTLE TRANSACTIONS.

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## Firm Operations

### Industry Arrangements



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

**Name:** GLOBAL RELAY COMMUNICATIONS, INC.  
**Business Address:** 410 PARK AVENUE, 15TH FLOOR  
 NEW YORK, NY 10022  
**Effective Date:** 01/02/2009  
**Description:** ARCHIVING AND STORAGE OF ELECTRONIC MESSAGES AND DATA.

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

**Name:** GOLDMAN SACHS & CO. LLC  
**CRD #:** 361  
**Business Address:** 200 WEST STREET  
 NEW YORK, NY 10282  
**Effective Date:** 01/17/2013  
**Description:** GOLDMAN, SACHS & CO. MAINTAINS A PROPRIETARY ACCOUNT FOR INTRODUCING BROKERS (PAIB) FOR THE FIRM.

**Name:** PERSHING LLC  
**CRD #:** 7560  
**Business Address:** ONE PERSHING PLAZA  
 JERSEY CITY, NJ 07399  
**Effective Date:** 03/16/2011  
**Description:** THE FIRM MAINTAINS A PROPRIETARY ACCOUNT OF INTRODUCING BROKERS AND DEALERS ("PAIB") WITH ITS CLEARING FIRM, PERSHING LLC.

**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.**

**HEIGHT ANALYTICS, LLC is under common control with the firm.**

<b>CRD #:</b>	149162
<b>Business Address:</b>	1775 PENNSYLVANIA AVENUE, NW 11TH FLOOR WASHINGTON, DC 20006
<b>Effective Date:</b>	12/22/2008
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	HEIGHT ANALYTICS, LLC IS 100% OWNED BY HEIGHT CAPITAL, LLC WHICH 100% OWNS APPLICANT.

**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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