

BrokerCheck Report

STRATCAP SECURITIES, LLC

CRD# 151152

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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:
 - o 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
 - o 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.



STRATCAP SECURITIES, LLC

CRD# 151152

SEC# 8-68338

Main Office Location

30 ROCKEFELLER PLAZA, SUITE 2050
NEW YORK, NY 10112
Regulated by FINRA New York Office

Mailing Address

30 ROCKEFELLER PLAZA, SUITE 2050
NEW YORK, NY 10112

Business Telephone Number

657.383.9648

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 03/31/2009.
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
- 1 Self-Regulatory Organization
- 52 U.S. states and territories

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

This firm conducts 3 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm does not have 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 03/31/2009.

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.

STRATCAP SECURITIES, LLC

Doing business as STRATCAP SECURITIES, LLC

CRD# 151152

SEC# 8-68338

Main Office Location

30 ROCKEFELLER PLAZA, SUITE 2050

NEW YORK, NY 10112

Regulated by FINRA New York Office

Mailing Address

30 ROCKEFELLER PLAZA, SUITE 2050

NEW YORK, NY 10112

Business Telephone Number

657.383.9648



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): STRATCAP, LLC

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

Position MEMBER

Position Start Date 01/2016

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): ALLEN, HUNTER WILLIAM
1841253

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

Position NATIONAL SALES MANAGER

Position Start Date 03/2024

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

Legal Name & CRD# (if any): CONDON, JAMES VALENTINE
4965433

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

Position CHIEF EXECUTIVE AND CHIEF OPERATING OFFICER

Position Start Date 09/2024



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

Legal Name & CRD# (if any): LAROSE, JENNIFER
3094139

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 11/2024

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): ROSTVOLD, ERIK KJELL
4384284

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

Position OPERATIONS MANAGER

Position Start Date 09/2024

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

Legal Name & CRD# (if any): RYAN, KIMBERLY ANN

Firm Profile



Direct Owners and Executive Officers (continued)

	4316310
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	11/2024
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

Legal Name & CRD# (if any):	HMC USA HOLDINGS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	STRATCAP LLC
Relationship to Direct Owner	MEMBER
Relationship Established	09/2024
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

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 52 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/28/2010

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	09/28/2010



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/19/2010
Alaska	Approved	10/01/2010
Arizona	Approved	10/07/2010
Arkansas	Approved	10/06/2010
California	Approved	09/29/2010
Colorado	Approved	10/27/2010
Connecticut	Approved	10/12/2010
Delaware	Approved	10/05/2010
District of Columbia	Approved	10/14/2010
Florida	Approved	01/21/2011
Georgia	Approved	10/13/2010
Hawaii	Approved	12/07/2010
Idaho	Approved	09/29/2010
Illinois	Approved	10/06/2010
Indiana	Approved	11/05/2010
Iowa	Approved	10/22/2010
Kansas	Approved	10/29/2010
Kentucky	Approved	10/04/2010
Louisiana	Approved	10/06/2010
Maine	Approved	01/06/2011
Maryland	Approved	10/07/2010
Massachusetts	Approved	10/06/2010
Michigan	Approved	10/25/2010
Minnesota	Approved	10/05/2010
Mississippi	Approved	10/13/2010
Missouri	Approved	11/02/2010
Montana	Approved	10/06/2010
Nebraska	Approved	10/06/2010
Nevada	Approved	10/07/2010
New Hampshire	Approved	11/29/2010
New Jersey	Approved	10/14/2010
New Mexico	Approved	10/04/2010
New York	Approved	10/04/2010

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	10/08/2010
North Dakota	Approved	10/05/2010
Ohio	Approved	10/07/2010
Oklahoma	Approved	09/30/2010
Oregon	Approved	11/09/2010
Pennsylvania	Approved	10/06/2010
Puerto Rico	Approved	11/10/2010
Rhode Island	Approved	10/07/2010
South Carolina	Approved	10/06/2010
South Dakota	Approved	10/04/2010
Tennessee	Approved	12/20/2010
Texas	Approved	10/21/2010
Utah	Approved	09/29/2010
Vermont	Approved	10/12/2010
Virginia	Approved	09/30/2010
Washington	Approved	09/29/2010
West Virginia	Approved	10/15/2010
Wisconsin	Approved	11/04/2010
Wyoming	Approved	10/19/2010



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 3 types of businesses.

Types of Business

Broker or dealer selling tax shelters or limited partnerships in primary distributions

Private placements of securities

Other - ENGAGES IN THE WHOLESALE DISTRIBUTION OF PRIVATE PLACEMENTS VIA OTHER BROKER DEALERS AND INVESTMENT ADVISORS ON A BEST EFFORTS BASIS. APPLICANT MAY ALSO OFFER AT SOME POINT TIC'S, MUTUAL FUNDS, PUBLIC NON TRADED REITS AND VARIABLE ANNUITIES ALL ON WHOLESALE/BEST EFFORT BASIS.

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 have books or records maintained by a third party.

Name: MY COMPLIANCE OFFICE

Business Address: 535 FIFTH STREET
NEW YORK, NY 10017

Effective Date: 06/06/2025

Description: BOOKS RECORDS - KYE DISCLOSURES

Name: QUEST CE

Business Address: 10100 W. INNOVATION DRIVE, SUITE 200
MILWAUKEE, WI 53226

Effective Date: 04/11/2023

Description: CONTINUING EDUCATION BOOKS AND RECORDS.

Name: SMARSH INC

Business Address: 851 SW 6TH AVE
PORTLAND, OR 97204

Effective Date: 09/28/2010

Description: E-MAIL RETENTION

Name: MICROSOFT

Business Address: ONE MICROSOFT WAY
REDMOND, WA 98052

Effective Date: 03/01/2023

Description: CLOUD-SELF UNDERTAKING --BOOKS AND RECORDS
WE ARE A LIMITED PURPOSE WHOLESALE BD, DON'T
CARRY/CLEAR/HAVE RETAIL CLIENTS

Name: IRON MOUNTAIN

Business Address: 8700 MERCURY LANE
PICO RIVERA, CA 90660

Effective Date: 07/08/2021

Description: STRATCAP SECURITIES, LLC UTILIZES THE SERVICES OF IRON
MOUNTAIN FOR OFF-SITE STORAGE OF RECORDS

This firm does not have accounts, funds, or securities maintained by a third party.

Firm Operations



Industry Arrangements (continued)

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 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



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Current Status: Final



Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS MINIMUM REQUIRED NET CAPITAL. THE FINDINGS STATED THAT THE FIRM RECEIVED CAPITAL CONTRIBUTIONS FROM ITS PARENT COMPANY TOTALING \$530,000 THAT CAUSED IT TO FALL BELOW ITS MINIMUM REQUIRED NET CAPITAL ON 12 CONSECUTIVE BUSINESS DAYS IN AMOUNTS RANGING FROM APPROXIMATELY \$58,000 TO APPROXIMATELY \$700,000. DURING THIS PERIOD OF NET CAPITAL DEFICIENCY, THE FIRM CONTINUED TO OPERATE A SECURITIES BUSINESS BY ACTING AS A WHOLESALE DISTRIBUTOR OF PRIVATE PLACEMENT OFFERINGS.

Initiated By: FINRA

Date Initiated: 08/10/2023

Docket/Case Number: [2022074311701](#)

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: N/A

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 08/10/2023

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Censure
Monetary/Fine \$15,000.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$15,000. FINE PAID IN FULL ON AUGUST 30, 2023.

Reporting Source: Firm

Current Status: Final



Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS MINIMUM REQUIRED NET CAPITAL. THE FINDINGS STATED THAT THE FIRM RECEIVED CAPITAL CONTRIBUTIONS FROM ITS PARENT COMPANY TOTALING \$530,000 THAT CAUSED IT TO FALL BELOW ITS MINIMUM REQUIRED NET CAPITAL ON 12 CONSECUTIVE BUSINESS DAYS IN AMOUNTS RANGING FROM APPROXIMATELY \$58,000 TO APPROXIMATELY \$700,000. DURING THIS PERIOD OF NET CAPITAL DEFICIENCY, THE FIRM CONTINUED TO OPERATE A SECURITIES BUSINESS BY ACTING AS A WHOLESALE DISTRIBUTOR OF PRIVATE PLACEMENT OFFERINGS.
Initiated By:	FINRA
Date Initiated:	08/10/2023
Docket/Case Number:	20220734311701
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/10/2023
Sanctions Ordered:	Censure Monetary/Fine \$15,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED \$15,000
Firm Statement	THIS MITIGATION STATEMENT IS SUBMITTED BY STRATCAP SECURITIES, LLC (FORMERLY, SC DISTRIBUTORS, LLC OR "SCD"). IT DOES NOT CONSTITUTE FACTUAL OR LEGAL FINDINGS BY FINRA, NOR DOES IT REFLECT THE VIEWS OF FINRA, OR ITS STAFF. SCD FELL BELOW ITS MINIMUM NET CAPITAL REQUIREMENT FOR A BRIEF PERIOD BETWEEN OCTOBER 13, 2021 AND OCTOBER 28, 2021. SINCE THE PERIOD IN QUESTION, SCD HAS ENHANCED ITS OPERATIONAL PROCEDURES TO PREVENT A NET CAP VIOLATION FROM OCCURRING AND HAS HAD NO FURTHER NONCOMPLIANCE ISSUES WITH ITS NET CAPITAL REQUIREMENTS.

End of Report



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