

BrokerCheck Report

FORTRESS CAPITAL FORMATION LLC

CRD# 152385

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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.



FORTRESS CAPITAL FORMATION LLC

CRD# 152385

SEC# 8-68449

Main Office Location

1345 AVENUE OF THE AMERICAS, 45TH FLOOR
NEW YORK, NY 10105
Regulated by FINRA New York Office

Mailing Address

1345 AVENUE OF THE AMERICAS, 45TH FLOOR
NEW YORK, NY 10105

Business Telephone Number

212-798-6100

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 06/09/2008.

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 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 2 types of businesses.

This firm is affiliated with 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? **No**



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 06/09/2008.

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.

FORTRESS CAPITAL FORMATION LLC

Doing business as FORTRESS CAPITAL FORMATION LLC

CRD# 152385

SEC# 8-68449

Main Office Location

1345 AVENUE OF THE AMERICAS, 45TH FLOOR
NEW YORK, NY 10105

Regulated by FINRA New York Office

Mailing Address

1345 AVENUE OF THE AMERICAS, 45TH FLOOR
NEW YORK, NY 10105

Business Telephone Number

212-798-6100



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):	FORTRESS OPERATING ENTITY I L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MANAGING MEMBER
Position Start Date	06/2008
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):	FISHMAN, ROBERT ADAM 7093592
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	07/2019
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):	RIORDAN, TIFFANY 6313437
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP/CFO/PFO/POO
Position Start Date	10/2017

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

Legal Name & CRD# (if any): WERTHAMER, SCOTT MATTHEW
5163811

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

Position CHIEF EXECUTIVE OFFICER

Position Start Date 01/2025

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):	EIGHTEENTH INVESTMENT COMPANY LLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	MC MANAGEMENT 7 RSC LTD
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	04/2022
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):	FIG BUYER LP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FIG BUYER SUB LLC
Relationship to Direct Owner	MEMBER
Relationship Established	05/2023
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):	FIG BUYER LP
Is this a domestic or foreign entity or an individual?	Domestic Entity



Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established	FIG CAYMAN LP
Relationship to Direct Owner	LIMITED PARTNER
Relationship Established	06/2023
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):	FIG PARENT, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity

Company through which indirect ownership is established	FINCO I LLC
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	12/2017
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):	FINCO I INTERMEDIATE HOLDCO LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FORTRESS INVESTMENT GROUP LLC
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	12/2017



Firm Profile

Indirect Owners (continued)

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): FINCO I LLC

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

Company through which indirect ownership is established FINCO I INTERMEDIATE HOLDCO LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 12/2017

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): FORTRESS INVESTMENT GROUP LLC

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

Company through which indirect ownership is established FIG BLUE LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 01/2007

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

Firm Profile



Indirect Owners (continued) company?

Legal Name & CRD# (if any): FOUNDATION HOLDCO LP

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

Company through which indirect ownership is established FIG PARENT, LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 12/2017

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): GOVERNMENT OF ABU DHABI

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

Company through which indirect ownership is established MUBADALA INVESTMENT COMPANY PJSC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 03/2017

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): MAMOURA DIVERSIFIED GLOBAL HOLDING PJSC

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

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established THIRTY FIFTH INVESTMENT COMPANY LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 12/2023

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): MAMOURA DIVERSIFIED GLOBAL HOLDING PJSC

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

Company through which indirect ownership is established MUBADALA CAPITAL LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 10/2023

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): MC FIG GP, LLC

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

Company through which indirect ownership is established MC FOUNDATION HOLDINGS (GP) LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 03/2025



Firm Profile

Indirect Owners (continued)

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): MC FIG GROUP LP

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

Company through which indirect ownership is established FIG BUYER LP

Relationship to Direct Owner LIMITED PARTNER

Relationship Established 05/2023

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): MDC CAPITAL LLC

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

Company through which indirect ownership is established EIGHTEENTH INVESTMENT COMPANY LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 08/2008

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

Firm Profile



Indirect Owners (continued) company?

Legal Name & CRD# (if any):	MIC CAPITAL MANAGEMENT (RESTRICTED) 7 LTD.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	SIXTY FOURTH 6 RSC LIMITED
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	01/2019
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):	MUBADALA CAPITAL LLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	MDC CAPITAL LLC
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	10/2023
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):	MUBADALA INVESTMENT COMPANY PJSC
Is this a domestic or foreign entity or an individual?	Foreign Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established MIC CAPITAL MANAGEMENT (RESTRICTED) 7 LTD.

Relationship to Direct Owner SOLE MEMBER

Relationship Established 09/2017

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): MUBADALA INVESTMENT COMPANY PJSC

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

Company through which indirect ownership is established MAMOURA DIVERSIFIED GLOBAL HOLDING PJSC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 03/2017

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): SIXTY FOURTH 6 RSC LIMITED

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

Company through which indirect ownership is established MIC CAPITAL MANAGEMENT 86 RSC LTD.

Relationship to Direct Owner SOLE MEMBER

Relationship Established 08/2023

Firm Profile



Indirect Owners (continued)

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): THIRTY FIFTH INVESTMENT COMPANY LLC

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

Company through which indirect ownership is established MIC CAPITAL MANAGEMENT 39 RSC LTD.

Relationship to Direct Owner SOLE MEMBER

Relationship Established 11/2018

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

Legal Name & CRD# (if any): FIG BUYER SUB LLC

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

Company through which indirect ownership is established MC FOUNDATION HOLDINGS LP

Relationship to Direct Owner LIMITED PARTNER

Relationship Established 05/2024

Percentage of Ownership 50% but less than 75%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile



Indirect Owners (continued) company?

Legal Name & CRD# (if any):	FIG CAYMAN LP
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	MC FOUNDATION HOLDINGS LP
Relationship to Direct Owner	LIMITED PARTNER
Relationship Established	05/2024
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MC FOUNDATION HOLDINGS LP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FOUNDATION HOLDCO LP
Relationship to Direct Owner	LIMITED PARTNER
Relationship Established	12/2017
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MIC CAPITAL MANAGEMENT 86 RSC LTD.
Is this a domestic or foreign entity or an individual?	Foreign Entity



Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established	MC FIG GROUP LP
Relationship to Direct Owner	LIMITED PARTNER
Relationship Established	05/2024
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any): BARHOUSH, HANI AHMAD
4282094

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

Company through which indirect ownership is established	MC FIG GP, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	07/2023
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

Legal Name & CRD# (if any): BRIGER, PETER LIONEL JR
1867239

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

Company through which indirect ownership is established	FIG BUYER GP, LLC
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Firm Profile



Indirect Owners (continued)

Relationship to Direct Owner	MEMBER
Relationship Established	05/2024
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

Legal Name & CRD# (if any): CANNON, RODNEY WAYNE
7227307

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

Company through which indirect ownership is established MC FIG GP, LLC

Relationship to Direct Owner	MEMBER
Relationship Established	05/2023
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

Legal Name & CRD# (if any): FM INVESTOR AGGREGATOR LP

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

Company through which indirect ownership is established FOUNDATION HOLDCO LP

Relationship to Direct Owner	LIMITED PARTNER
Relationship Established	05/2024
Percentage of Ownership	25% but less than 50%

Firm Profile



Indirect Owners (continued)

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): KOKKO, KEVIN MIKAEL
7183444

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

Company through which indirect ownership is established MC FIG GP, LLC

Relationship to Direct Owner MEMBER

Relationship Established 07/2023

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

Legal Name & CRD# (if any): MCKNIGHT, ANDREW ADDISON
4234427

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

Company through which indirect ownership is established FIG BUYER GP, LLC

Relationship to Direct Owner MEMBER

Relationship Established 05/2024

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Firm Profile



Indirect Owners (continued)

Is this a public reporting company? No

Legal Name & CRD# (if any): MIC CAPITAL MANAGEMENT 39 RSC LTD.

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

Company through which indirect ownership is established MC FIG GROUP LP

Relationship to Direct Owner LIMITED PARTNER

Relationship Established 04/2024

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PACK, JOSHUA ANTHONY
7432078

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

Company through which indirect ownership is established FIG BUYER GP, LLC

Relationship to Direct Owner MEMBER

Relationship Established 05/2024

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

Legal Name & CRD# (if any): FIG BLUE LLC



Firm Profile

Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FORTRESS OPERATING ENTITY I, L.P.
Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	01/2007
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	FIG BUYER GP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FOUNDATION HOLDCO LP
Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	05/2024
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	FIG BUYER GP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FM INVESTOR AGGREGATOR LP

Firm Profile



Indirect Owners (continued)

Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	05/2024
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MC FIG GP, LLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	FIG BUYER LP
Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	05/2024
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MC FIG GP, LLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	FIG CAYMAN LP
Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	06/2023
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes



Firm Profile

Indirect Owners (continued) the firm?

Is this a public reporting company? No

Legal Name & CRD# (if any): MC FIG GP, LLC

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

Company through which indirect ownership is established MC FIG GROUP LP

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 05/2023

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): MC FOUNDATION HOLDINGS (GP) LLC

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

Company through which indirect ownership is established MC FOUNDATION HOLDINGS LP

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 02/2017

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): MC MANAGEMENT 7 RSC LTD

Firm Profile



Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	FIG BUYER SUB LLC
Relationship to Direct Owner	MANAGING MEMBER
Relationship Established	05/2024
Percentage of Ownership	Other General Partners
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	12/21/2010

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	12/21/2010



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	08/23/2011
Alaska	Approved	03/15/2011
Arizona	Approved	03/03/2011
Arkansas	Approved	06/30/2011
California	Approved	01/10/2011
Colorado	Approved	01/07/2011
Connecticut	Approved	01/26/2011
Delaware	Approved	02/17/2011
District of Columbia	Approved	03/28/2011
Florida	Approved	02/02/2011
Georgia	Approved	01/26/2011
Hawaii	Approved	07/12/2011
Idaho	Approved	01/28/2011
Illinois	Approved	01/24/2011
Indiana	Approved	02/09/2011
Iowa	Approved	03/14/2011
Kansas	Approved	06/01/2011
Kentucky	Approved	03/21/2011
Louisiana	Approved	03/21/2011
Maine	Approved	04/20/2011
Maryland	Approved	02/15/2011
Massachusetts	Approved	01/10/2011
Michigan	Approved	02/25/2011
Minnesota	Approved	01/03/2011
Mississippi	Approved	03/14/2011
Missouri	Approved	03/17/2011
Montana	Approved	03/25/2011
Nebraska	Approved	04/19/2011
Nevada	Approved	02/24/2011
New Hampshire	Approved	04/13/2011
New Jersey	Approved	03/21/2011
New Mexico	Approved	03/18/2011
New York	Approved	12/21/2010

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	12/23/2010
North Dakota	Approved	05/02/2011
Ohio	Approved	01/25/2010
Oklahoma	Approved	03/15/2011
Oregon	Approved	02/23/2011
Pennsylvania	Approved	01/11/2011
Puerto Rico	Approved	02/05/2025
Rhode Island	Approved	06/29/2011
South Carolina	Approved	04/05/2011
South Dakota	Approved	03/15/2011
Tennessee	Approved	10/07/2011
Texas	Approved	04/18/2011
Utah	Approved	03/16/2011
Vermont	Approved	05/05/2011
Virgin Islands	Approved	04/26/2011
Virginia	Approved	01/11/2011
Washington	Approved	12/21/2010
West Virginia	Approved	05/02/2011
Wisconsin	Approved	02/28/2011
Wyoming	Approved	04/05/2011



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 2 types of businesses.

Types of Business

Private placements of securities

Other - THE FIRM ENGAGES IN PRIVATE PLACEMENT ACTIVITIES SUBJECT TO ANY RESTRICTIONS DESCRIBED IN FINRA CAB RULE 016(C) (1)

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:	NASUNI CORPORATION
Business Address:	ONE MARINA PARK DRIVE 6TH FLOOR BOSTON, MA 02210
Effective Date:	07/26/2024
Description:	RECORDKEEPER OF FIRM RECORDS.

Name:	MICROSOFT CORPORATION
Business Address:	ONE MICROSOFT WAY REDMOND, WA 98052
Effective Date:	07/26/2024
Description:	RECORDKEEPER OF FIRM RECORDS.

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

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.**

FORTRESS MULTI-ASSET CREDIT ADVISORS LLC is under common control with the firm.

CRD #:	338222
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	08/01/2025
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FPLF MANAGEMENT LLC is under common control with the firm.

CRD #:	331881
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	09/16/2024
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: FPLF MANAGEMENT LLC ("FPLF") IS UNDER COMMON CONTROL WITH THE APPLICANT IN THAT FPLF IS INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS ABC II ADVISORS LLC is under common control with the firm.

CRD #: 335423

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 03/03/2025

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS EUROPEAN NPL & ASSET RECOVERY III ADVISORS LLC is under common control with the firm.

CRD #: 335620

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 03/12/2025

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

Firm Operations



Organization Affiliates (continued)

FCO XXIX CLO CM LLC is under common control with the firm.

CRD #:	335526
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	03/06/2025
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS MIC MA ADVISORS LLC is under common control with the firm.

CRD #:	335472
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	03/05/2025
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS LHB ADVISORS LLC is under common control with the firm.

CRD #:	334684
Business Address:	1345 AVENUE OF THE AMERICAS

Firm Operations



Organization Affiliates (continued)

NEW YORK, NY 10105

Effective Date: 01/13/2025

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FC BSL CLO MANAGER VI LLC is under common control with the firm.

CRD #: 334633

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 01/13/2025

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS CLO MANAGER B LLC is under common control with the firm.

CRD #: 334600

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 01/02/2025

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS WEALTH SOLUTIONS LLC is under common control with the firm.

CRD #: 324594

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 07/16/2024

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: FORTRESS WEALTH SOLUTIONS LLC ("FWS") IS UNDER COMMON CONTROL WITH THE APPLICANT IN THAT FWS IS INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FPE MANAGEMENT LLC is under common control with the firm.

CRD #: 332178

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/17/2024

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC

Firm Operations



Organization Affiliates (continued)

(CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC

FCR ADVISORS LLC is under common control with the firm.

CRD #: 331961

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/05/2024

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS REDCO CO-INVESTMENT GP LLC is under common control with the firm.

CRD #: 331492

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 04/24/2024

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S

Firm Operations



Organization Affiliates (continued)

SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS IP ADVISORS III C LLC is under common control with the firm.

CRD #: 332080

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/10/2024

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS IP ADVISORS III LLC is under common control with the firm.

CRD #: 332079

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/10/2024

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS MULTI-MANAGER ASIA ADVISORS LLC is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

CRD #: 330013

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 01/25/2024

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS MULTI-MANAGER ADVISORS LP is under common control with the firm.

CRD #: 329488

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 12/08/2023

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS IMA MANAGEMENT LLC is under common control with the firm.

CRD #: 328558

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Firm Operations



Organization Affiliates (continued)

Effective Date: 09/27/2023

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FC BSL CLO MANAGER V LLC is under common control with the firm.

CRD #: 328389

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 09/06/2023

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS LEGAL ASSETS ADVISORS II LLC is under common control with the firm.

CRD #: 328393

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 09/06/2023

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS LENDING ADVISORS IV LLC is under common control with the firm.

CRD #:	327366
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	06/14/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FC BSL CLO MANAGER III LLC is under common control with the firm.

CRD #:	327070
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	05/19/2023
Foreign Entity:	No
Country:	
Securities Activities:	No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS CREDIT INVESTMENTS (IRELAND) LIMITED is under common control with the firm.

CRD #: 326435

Business Address: 1ST FLOOR, CAPE HOUSE, WESTEND OFFICE PARK
BLANCHARDSTOW, DUBLIN, IRELAND

Effective Date: 03/31/2023

Foreign Entity: Yes

Country: IRELAND

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS INVESTMENT GROUP IBERIA S.L. is under common control with the firm.

CRD #: 326187

Business Address: CALLE DE DON RAMON DE LA CRUZ 1, PISO 3
MADRID, SPAIN 128001

Effective Date: 03/31/2023

Foreign Entity: Yes

Country: SPAIN

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS INVESTMENT GROUP FRANCE SAS is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

CRD #: 326183

Business Address: 4 RUE BALZAC
1ST FLOOR
PARIS, FRANCE 75008

Effective Date: 03/31/2023

Foreign Entity: Yes

Country: FRANCE

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS INVESTMENT GROUP LUXEMBOURG SARL is under common control with the firm.

CRD #: 326185

Business Address: 26 BOULEVARD ROYAL, 2ND FLOOR
SUITE 222
LUXEMBOURG, LUXEMBOURG L-2449

Effective Date: 03/31/2023

Foreign Entity: Yes

Country: LUXEMBOURG

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FIG NETHERLANDS B.V. is under common control with the firm.

CRD #: 326184

Business Address: NOMA HOUSE, GUSTAVE MAHLERLAAN
1240, 1081 LA
AMSTERDAM, NETHERLANDS

Firm Operations



Organization Affiliates (continued)

Effective Date: 03/31/2023

Foreign Entity: Yes

Country: NETHERLANDS

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FCF CONSULTING S.R.L. is under common control with the firm.

CRD #: 326182

Business Address: LUNGOTEVERE FLAMINIO, 18
ROME, ITALY 00196

Effective Date: 03/31/2023

Foreign Entity: Yes

Country: ITALY

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT OPPORTUNITIES VI-C ADVISORS LLC is under common control with the firm.

CRD #: 325774

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FLOOR
NEW YORK, NY 10105

Effective Date: 03/08/2023

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS CREDIT OPPORTUNITIES VI ADVISORS LLC is under common control with the firm.

CRD #:	325773
Business Address:	1345 AVENUE OF THE AMERICAS 46TH FLOOR NEW YORK, NY 10105
Effective Date:	03/08/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS LENDING ADVISORS IV (U) LLC is under common control with the firm.

CRD #:	325628
Business Address:	1345 AVENUE OF THE AMERICAS 46TH FLOOR NEW YORK, NY 10105
Effective Date:	03/01/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#

Firm Operations



Organization Affiliates (continued)

129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FNLR MANAGEMENT LLC is under common control with the firm.

CRD #:	325153
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	01/25/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS BERMUDA INFRASTRUCTURE PARTNERS ADVISORS LLC is under common control with the firm.

CRD #:	290809
Business Address:	1345 AVENUE OF THE AMERICAS 46TH FLOOR NEW YORK, NY 10105
Effective Date:	03/30/2017
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

Firm Operations



Organization Affiliates (continued)

FCOO CLO MANAGEMENT LLC is under common control with the firm.

CRD #: 290804

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FLOOR
NEW YORK, NY 10105

Effective Date: 11/05/2014

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO XXI CLO CM LLC is under common control with the firm.

CRD #: 321677

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 04/22/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL XVII MANAGEMENT LLC is under common control with the firm.

CRD #: 322114

Firm Operations



Organization Affiliates (continued)

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 05/19/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCFE CM LLC is under common control with the firm.

CRD #: 322566

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 06/24/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FLF III-IV MA-CRPTF ADVISORS LLC is under common control with the firm.

CRD #: 322895

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Firm Operations



Organization Affiliates (continued)

Effective Date: 07/21/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS REAL ESTATE OPPORTUNITIES ADVISORS IVA LLC is under common control with the firm.

CRD #: 322907

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY

Effective Date: 07/21/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS REAL ESTATE OPPORTUNITIES ADVISORS IV LLC is under common control with the firm.

CRD #: 323027

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 08/01/2022

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL CLO MANAGER IV LLC is under common control with the firm.

CRD #:	323787
Business Address:	1345 AVENUE OF THE AMERICAS 46TH FL NEW YORK, NY 10105
Effective Date:	10/03/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS LENDING ADVISORS III LLC is under common control with the firm.

CRD #:	316835
Business Address:	1345 AVENUE OF THE AMERICAS 46TH FL NEW YORK, NY 10105
Effective Date:	09/09/2021
Foreign Entity:	No
Country:	
Securities Activities:	No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORT CRE 2022-FL3 CM LLC is under common control with the firm.

CRD #: 319303

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 02/22/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FCO XVII CLO CM LLC is under common control with the firm.

CRD #: 319215

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 02/16/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON

Firm Operations



Organization Affiliates (continued)

CONTROL WITH THE APPLICANT.

FC BSL XVIII MANAGEMENT LLC is under common control with the firm.

CRD #: 319488

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 03/14/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL CLO MANAGER II LLC is under common control with the firm.

CRD #: 317367

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 10/29/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL CLO MANAGER LLC is under common control with the firm.

CRD #: 316692

Firm Operations



Organization Affiliates (continued)

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 08/31/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL XIV MANAGEMENT LLC is under common control with the firm.

CRD #: 317445

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 10/29/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL XIII MANAGEMENT LLC is under common control with the firm.

CRD #: 315715

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 06/28/2021

Firm Operations



Organization Affiliates (continued)

Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL X MANAGEMENT LLC is under common control with the firm.

CRD #:	320887
Business Address:	1345 AVENUE OF THE AMERICAS 46TH FL NEW YORK, NY 10105
Effective Date:	03/31/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

DCVR INVESTMENT ADVISORS LLC is under common control with the firm.

CRD #:	318182
Business Address:	1345 AVENUE OF THE AMERICAS 46TH FL NEW YORK, NY 10105
Effective Date:	12/17/2021
Foreign Entity:	No
Country:	
Securities Activities:	No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

DC VALUE RECOVERY V MANAGER LLC is under common control with the firm.

CRD #: 318181

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 12/17/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

DC VALUE RECOVERY IV MANAGER LLC is under common control with the firm.

CRD #: 318180

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 12/17/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

Firm Operations



Organization Affiliates (continued)

DC VALUE RECOVERY III MANAGER LLC is under common control with the firm.

CRD #: 318179

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 12/17/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

DC VALUE RECOVERY II MANAGER LLC is under common control with the firm.

CRD #: 318178

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FL
NEW YORK, NY 10105

Effective Date: 12/17/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS FCO FUND V MA-CRPTF ADVISORS LLC is under common control with the firm.

CRD #: 313474

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Firm Operations



Organization Affiliates (continued)

Effective Date: 03/05/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FC BSL XII MANAGEMENT LLC is under common control with the firm.

CRD #: 313883

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 03/31/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL XI MANAGEMENT LLC is under common control with the firm.

CRD #: 313884

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 03/31/2021

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS IP ADVISORS II C LLC is under common control with the firm.

CRD #:	312954
Business Address:	1345 AVENUE OF THE AMERICAS, 46TH FL NEW YORK, NY 10105
Effective Date:	02/04/2021
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS IP ADVISORS II LLC is under common control with the firm.

CRD #:	312953
Business Address:	1345 AVENUE OF THE AMERICAS, 46TH FL NEW YORK, NY 10105
Effective Date:	02/04/2021
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#

Firm Operations



Organization Affiliates (continued)

129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS NLI ADVISORS LLC is under common control with the firm.

CRD #: 312654

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 01/19/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS MBI ADVISOR LLC is under common control with the firm.

CRD #: 311883

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 11/18/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT,

Firm Operations



Organization Affiliates (continued)

FORTRESS INVESTMENT GROUP LLC.

FLF II MA-CRPTF ADVISORS LLC is under common control with the firm.

CRD #: 311826

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 11/13/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS FCO FUND V MA-C ADVISORS LLC is under common control with the firm.

CRD #: 311433

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 10/15/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS VINTAGE SECURITIES FUND ADVISORS LLC is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

CRD #: 309215

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 04/28/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS LENDING ADVISORS II LLC is under common control with the firm.

CRD #: 308925

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 04/02/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FC BSL IX MANAGEMENT LLC is under common control with the firm.

CRD #: 308175

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Firm Operations



Organization Affiliates (continued)

Effective Date: 03/09/2020
Foreign Entity: No
Country:
Securities Activities: No
Investment Advisory Activities: Yes
Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS LEGAL ASSETS ADVISORS LLC is under common control with the firm.

CRD #: 307938
Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105
Effective Date: 02/27/2020
Foreign Entity: No
Country:
Securities Activities: No
Investment Advisory Activities: Yes
Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA CENTRE II ADVISORS LLC is under common control with the firm.

CRD #: 306908
Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105
Effective Date: 12/05/2019
Foreign Entity: No
Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.
	"

FDF V MANAGEMENT LLC is under common control with the firm.

CRD #:	306012
Business Address:	1345 AVENUE OF THE AMERICAS, 46TH FL NEW YORK, NY 10105
Effective Date:	10/03/2019
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FCO V LSS SUBCO ADVISORS LLC is under common control with the firm.

CRD #:	305192
Business Address:	1345 AVENUE OF THE AMERICAS, 46TH FL NEW YORK, NY 10105
Effective Date:	07/23/2019
Foreign Entity:	No
Country:	
Securities Activities:	No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: "THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

"

DBSO TRG FUND (A) ADVISORS LLC is under common control with the firm.

CRD #: 305190

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 07/23/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS EUROPEAN NPL MA I ADVISORS LLC is under common control with the firm.

CRD #: 304635

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH FL
NEW YORK, NY 10105

Effective Date: 06/10/2019

Foreign Entity: No

Country:

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA MI II ADVISORS LLC is under common control with the firm.

CRD #: 304158

Business Address: 1345 AVENUE OF THE AMERICAS, 46TH F
NEW YORK, NY 10105

Effective Date: 05/02/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD# 129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS EUROPEAN NPL OPPORTUNITIES II ADVISORS LLC is under common control with the firm.

CRD #: 299784

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 11/13/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC

Firm Operations



Organization Affiliates (continued)

(CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FDF MANAGEMENT LLC SERIES III is under common control with the firm.

CRD #: 291023

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 04/20/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT

FDF MANAGEMENT LLC is under common control with the firm.

CRD #: 291022

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 09/18/2017

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FCO MA V ADVISORS LLC is under common control with the firm.

CRD #: 300976

Firm Operations



Organization Affiliates (continued)

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 02/12/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA J5 ADVISORS LLC is under common control with the firm.

CRD #: 301064

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 02/21/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FC BSL VIII MANAGEMENT LLC is under common control with the firm.

CRD #: 301080

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Firm Operations



Organization Affiliates (continued)

Effective Date: 02/21/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL VII MANAGEMENT LLC is under common control with the firm.

CRD #: 300441

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 12/28/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FC BSL MANAGEMENT LLC SERIES V is under common control with the firm.

CRD #: 292143

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 12/01/2017

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL MANAGEMENT LLC SERIES III is under common control with the firm.

CRD #:	296548
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	02/20/2018
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FC BSL MANAGEMENT LLC is under common control with the firm.

CRD #:	291020
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	09/09/2017
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

Firm Operations



Organization Affiliates (continued)

FRO MA I ADVISORS LLC is under common control with the firm.

CRD #:	298414
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	12/31/2017
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS CREDIT OPPORTUNITIES V ADVISORS LLC is under common control with the firm.

CRD #:	298314
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	07/31/2018
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT OPPORTUNITIES V-C ADVISORS LLC is under common control with the firm.

CRD #:	298313
Business Address:	1345 AVENUE OF THE AMERICAS

Firm Operations



Organization Affiliates (continued)

NEW YORK, NY 10105

Effective Date: 07/31/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FC BSL VI MANAGEMENT LLC is under common control with the firm.

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 07/31/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS LENDING ADVISORS LLC is under common control with the firm.

CRD #: 298118

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 07/31/2018

Foreign Entity: No

Country:

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS TSX BROADWAY ADVISORS LLC is under common control with the firm.

CRD #: 297994

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 07/31/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FDF MANAGEMENT LLC SERIES IV is under common control with the firm.

CRD #: 297352

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/30/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Firm Operations



Organization Affiliates (continued)

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS REAL ESTATE OPPORTUNITIES ADVISORS III LLC is under common control with the firm.

CRD #: 296972

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 05/31/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS NSR ADVISOR LLC is under common control with the firm.

CRD #: 296558

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 07/31/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

Firm Operations



Organization Affiliates (continued)

FORTRESS REAL ESTATE OPPORTUNITIES ADVISORS IIIA LLC is under common control with the firm.

CRD #: 290839

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 07/31/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCOD CLO MANAGEMENT LLC is under common control with the firm.

CRD #: 291682

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 12/31/2017

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS CLO ADVISORS LLC is under common control with the firm.

CRD #: 291162

Business Address: 1345 AVENUE OF THE AMERICAS

Firm Operations



Organization Affiliates (continued)

NEW YORK, NY 10105

Effective Date: 12/31/2017

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS IP ADVISORS C LLC is under common control with the firm.

CRD #: 290961

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY

Effective Date: 10/01/2017

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT OPPORTUNITIES IVA ADVISORS LLC is under common control with the firm.

CRD #: 290819

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 08/10/2014

Firm Operations



Organization Affiliates (continued)

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA MI ADVISORS LLC is under common control with the firm.

CRD #: 290800

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/30/2010

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS IP ADVISORS LLC is under common control with the firm.

CRD #: 290827

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 09/21/2017

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS ITALIAN REAL ESTATE OPPORTUNITIES FUND ADVISORS LLC is under common control with the firm.

CRD #:	290829
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	04/28/2016
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCF JPEL MANAGEMENT LLC is under common control with the firm.

CRD #:	290790
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	03/11/2016
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory	Yes

Firm Operations



Organization Affiliates (continued)

Activities:

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS MK ADVISORS LLC is under common control with the firm.

CRD #: 290833

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 08/03/2015

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA IV ADVISORS LLC is under common control with the firm.

CRD #: 290798

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 02/15/2015

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER

Firm Operations



Organization Affiliates (continued)

COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS REAL ESTATE (HK) LIMITED is under common control with the firm.

CRD #: 290838

Business Address: 28/F., AIA CENTRAL
NO. 1 CONNAUGHT ROAD
CENTRAL, HONG KONG

Effective Date: 04/01/2015

Foreign Entity: Yes

Country: HONG KONG

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT OPPORTUNITIES IV ADVISORS LLC is under common control with the firm.

CRD #: 290818

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 07/09/2014

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S

Firm Operations



Organization Affiliates (continued)

SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS JAPAN INCOME MANAGEMENT LLC is under common control with the firm.

CRD #: 290830

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 09/05/2013

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS ITALIAN NPL OPPORTUNITIES FUND ADVISORS LLC is under common control with the firm.

CRD #: 290828

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 09/24/2013

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA III ADVISORS LLC is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

CRD #: 290797

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 04/20/2012

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA SUP ADVISORS LLC is under common control with the firm.

CRD #: 290802

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 03/29/2012

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA CENTRE ADVISORS LLC is under common control with the firm.

CRD #: 290796

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NH 10105

Firm Operations



Organization Affiliates (continued)

Effective Date: 03/15/2012

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA SC ADVISORS LLC is under common control with the firm.

CRD #: 290801

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 03/29/2012

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS INVESTMENT GROUP (AUSTRALIA) PTY LTD is under common control with the firm.

CRD #: 290824

Business Address: LEVEL 19 GATEWAY
1 MACQUARIE PLACE
SYDNEY NSW, AUSTRALIA 2000

Effective Date: 11/24/2004

Firm Operations



Organization Affiliates (continued)

Foreign Entity: Yes

Country: AUSTRALIA

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS INVESTMENT GROUP (JAPAN) GK is under common control with the firm.

CRD #: 290825

Business Address: ROPPONGI HILLS MORI TOWER 29F
6-10-1 ROPPONGI, MINATO-KU
TOKYO, JAPAN 106-6129

Effective Date: 12/18/2007

Foreign Entity: Yes

Country: JAPAN

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS INVESTMENT GROUP (UK) LTD is under common control with the firm.

CRD #: 290826

Business Address: 7 CLARGES STREET
4TH FLOOR
LONDON, UNITED KINGDOM W1J 8AE

Effective Date: 08/04/1998

Foreign Entity: Yes

Firm Operations



Organization Affiliates (continued)

Country: UNITED KINGDOM

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FRO REOC ADVISORS LLC is under common control with the firm.

CRD #: 290844

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 08/10/2011

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS REAL ESTATE OPPORTUNITIES ADVISORS LLC is under common control with the firm.

CRD #: 290840

Business Address: 1345 AVE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 05/10/2011

Foreign Entity: No

Country:

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT OPPORTUNITIES III ADVISORS LLC is under common control with the firm.

CRD #: 290817

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 05/06/2011

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT ADVISORS LLC is under common control with the firm.

CRD #: 290811

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/20/2011

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC

Firm Operations



Organization Affiliates (continued)

(CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT OPPORTUNITIES MA MAPLE LEAF ADVISORS LLC is under common control with the firm.

CRD #:	290822
Business Address:	1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105
Effective Date:	10/27/2010
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

CWCI LLC is under common control with the firm.

CRD #:	144535
Business Address:	900 19TH STREET NW 8TH FLOOR WASHINGTON, DC 20006
Effective Date:	10/14/2010
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	S.E.C. REGISTERED INVESTMENT ADVISER UNDER THE SAME COMMON CONTROL WITH THE APPLICANT (GALAXY CF HOLDINGS LLC, GALAXY PEF

Firm Operations



Organization Affiliates (continued)

HOLDINGS LLC, GALAXY CF UST INVESTMENT HOLDINGS LLC, FORTRESS CREDIT OPPORTUNITIES FUND (B) LP, FTS SIP L.P., FORTRESS INVESTMENT FUND V (FUND A) LP, AND GALAXY ACQUISITION LLC ARE INDIRECTLY OWNED AND/OR UNDER COMMON CONTROL BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC).

FORTRESS SPECIAL OPPORTUNITIES ADVISORS LLC is under common control with the firm.

CRD #: 290842

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 01/31/2010

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FCO MA LSS ADVISORS LLC is under common control with the firm.

CRD #: 290799

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 05/14/2010

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT

Firm Operations



Organization Affiliates (continued)

ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT OPPORTUNITIES MA II ADVISORS LLC is under common control with the firm.

CRD #: 290821

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/24/2010

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

TABERNA EUROPEAN CAPITAL MANAGEMENT,LLC is under common control with the firm.

CRD #: 152652

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 04/22/2010

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT.

FORTRESS GLOBAL OPPORTUNITIES (YEN) ADVISORS LLC is under common control with the firm.

CRD #: 290823

Firm Operations



Organization Affiliates (continued)

Business Address: 1345 AVENUE OF THE AMERICAS
46TH FLOOR
NEW YORK, NY 10105

Effective Date: 02/24/2010

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS JAPAN OPPORTUNITY MANAGEMENT LLC is under common control with the firm.

CRD #: 290831

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 05/15/2009

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT OPPORTUNITIES MA ADVISORS LLC is under common control with the firm.

CRD #: 290820

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Firm Operations



Organization Affiliates (continued)

Effective Date: 06/29/2008

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS CREDIT OPPORTUNITIES ADVISORS LLC is under common control with the firm.

CRD #: 290815

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/09/2008

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

FORTRESS INVESTMENT GROUP is under common control with the firm.

CRD #: 129612

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/09/2008

Foreign Entity: No

Firm Operations



Organization Affiliates (continued)

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: S.E.C. REGISTERED INVESTMENT ADVISER UNDER COMMON CONTROL WITH APPLICANT (THE INVESTMENT ADVISER IS INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC).FIG LLC (CRD #129612) PRIMARILY CONDUCTS ITS ADVISORY BUSINESS UNDER THE NAME FORTRESS INVESTMENT GROUP, AS DISCLOSED ON FIG LLC'S FORM ADV.

DRAWBRIDGE LDVF PATENT ADVISORS LLC is under common control with the firm.

CRD #: 290783

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/09/2008

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

DRAWBRIDGE LONG DATED VALUE ADVISORS LLC is under common control with the firm.

CRD #: 139322

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/09/2008

Foreign Entity: No

Country:

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

DRAWBRIDGE SPECIAL OPPORTUNITIES ADVISORS LLC is under common control with the firm.

CRD #: 290786

Business Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Effective Date: 06/09/2008

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE INVESTMENT ADVISOR IS A RELYING ADVISOR OF FIG LLC (CRD#129612). THE INVESTMENT ADVISOR AND FIG LLC ARE UNDER COMMON CONTROL WITH THE APPLICANT IN THAT THE INVESTMENT ADVISOR AND FIG LLC ARE INDIRECTLY OWNED BY THE APPLICANT'S SAME PARENT, FORTRESS INVESTMENT GROUP LLC.

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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