BrokerCheck Report

SIGNET SECURITIES, LLC

CRD# 154198

Section Title	Page(s)
Report Summary	1
Registration and Withdrawal	2
Firm Profile	3 - 6
Firm History	7
Firm Operations	8 - 12
Disclosure Events	13

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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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.

SIGNET SECURITIES, LLC

CRD# 154198

SEC# 8-68615

Main Office Location

250 CIVIC CENTER DRIVE, SUITE 300
COLUMBUS, OH 43215

Mailing Address

250 CIVIC CENTER DRIVE,SUITE 300
COLUMBUS, OH 43215

Business Telephone Number

(614) 545-8920

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 Ohio on 07/08/2008.

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 brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm?	**Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

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Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.

Date firm ceased business:	01/10/2025
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	No

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Ohio on 07/08/2008.

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.

SIGNET SECURITIES, LLC

Doing business as SIGNET SECURITIES, LLC

CRD# 154198

SEC# 8-68615

Main Office Location

250 CIVIC CENTER DRIVE, SUITE 300
COLUMBUS, OH 43215

Mailing Address

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COLUMBUS, OH 43215

Business Telephone Number

(614) 545-8920

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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):	SIGNET FINANCE GROUP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER/MEMBER
Position Start Date	07/2008
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	FUMI, DAVID DARRIN 1665922
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO, MANAGING DIRECTOR, MUNICIPAL PRINCIPAL, SHAREHOLDER
Position Start Date	08/2013
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BRINKERHOFF, NICOLE SYLVESTER 5742266
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	05/2024

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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):	RIP, OLGA 5440553
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	04/2024
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	SIGNET INVESTMENT HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	SIGNET FINANCE GROUP LLC
Relationship to Direct Owner	CLASS A & B SHAREHOLDER
Relationship Established	07/2008
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	MANNA, ANTHONY SCOT
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	SIGNET INVESTMENT HOLDINGS, LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	07/2008
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?	

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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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 no longer registered.

The firm's registration was from 01/03/2011 to 03/12/2025.

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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 1 type of business.

Types of Business

Private placements of securities

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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.

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Firm Operations

Industry Arrangements

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

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.

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Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is not, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

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Disclosure Events

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

	Pending	Final	On Appeal
Regulatory Event	0	1	0

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Disclosure Event Details

What you should know about reported disclosure events:

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

Regulatory - Final

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

Disclosure 1 of 1

Reporting Source:	Regulator
Current Status:	Final

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Allegations:

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT WILLFULLY VIOLATED RULE 15L-1(A)(1) OF THE SECURITIES EXCHANGE ACT OF 1934 BY FAILING TO MAINTAIN, AND ENFORCE WRITTEN POLICIES AND PROCEDURES, AND FAILED TO MAINTAIN A SUPERVISORY SYSTEM REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE FIRM'S OBLIGATION UNDER REGULATION BEST INTEREST (REG BI) TO CONDUCT REASONABLE DUE DILIGENCE OF PRIVATE PLACEMENT OFFERINGS SO AS TO ENSURE IT HAD A REASONABLE BASIS TO BELIEVE THE RECOMMENDATION COULD BE IN THE BEST INTEREST OF AT LEAST SOME RETAIL INVESTORS. THE FINDINGS STATED THAT THE FIRM RECOMMENDED SALES TOTALING $140 MILLION TO INVESTORS IN REGULATION D PRIVATE PLACEMENT OFFERINGS, SOME OF THESE SALES WERE TO ACCREDITED RETAIL INVESTORS. AT ALL TIMES, THE FIRM MAINTAINED WRITTEN PROCEDURES REQUIRING THE FIRM, WHEN ENGAGING IN REGULATION D OFFERINGS, TO CONDUCT A REASONABLE INVESTIGATION OF THE ISSUER AND ITS MANAGEMENT. DESPITE THE REQUIREMENT, THE FIRM'S DUE DILIGENCE FOR SOME OF THE OFFERINGS WAS NOT REASONABLE AS ALL THE OFFERINGS WERE SOLD BY AFFILIATES OF A COMMERCIAL REAL ESTATE INVESTMENT COMPANY AND THE FIRM'S DILIGENCE REVIEW WAS LIMITED TO DOCUMENTED PROVIDED BY THAT COMPANY. THE FINDINGS ALSO STATED THAT THE FIRM FAILED TO MAINTAIN AND ENFORCE A SUPERVISORY SYSTEM REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH FINRA RULES GOVERNING OBAS. FOUR REPRESENTATIVES OF THE FIRM WERE ALSO EMPLOYED BY AN AFFILIATED OF THE REAL ESTATE INVESTMENT COMPANY, WHICH THE FIRM AND ITS PRINCIPALS WERE AWARE OF AND KNEW OF THE POTENTIAL CONFLICT OF INTEREST THAT COULD OCCUR. HOWEVER, THE FIRM DID NOT REQUIRE THE REPRESENTATIVES TO DISCLOSE AND PROVIDE WRITTEN NOTICE OF THE OBA FOR 18 MONTHS. THE FIRM DID NOT ADEQUATELY DOCUMENT THAT IT REASONABLY CONSIDERED THE FACTORS SET FORTH IN RULE 3270.01 DURING ITS REVIEW OF THESE DISCLOSURES. SPECIFICALLY, ALTHOUGH THE FIRM ACKNOWLEDGED THAT THE OBAS MIGHT BE VIEWED BY CUSTOMERS OR THE PUBLIC AS PART OF THE FIRM'S BUSINESS AND THAT THEY MAY INVOLVE GIVING ADVICE OR DIRECTING INVESTMENTS IN SECURITIES, THEY DID NOT CONSIDER WHETHER CONDITIONS OR LIMITATIONS SHOULD BE IMPOSED ON THOSE OUTSIDE ACTIVITIES IN ORDER TO MITIGATE ANY POTENTIAL CONFLICT OF INTEREST OR CUSTOMER CONFUSION. THE FINDINGS ALSO INCLUDED THAT THE FIRM WILLFULLY VIOLATED SECTION 17(A)(1) AND RULE 17A-14 OF THE EXCHANGE ACT BY FAILING TO DELIVER A FORM CRS TO ITS CUSTOMERS. THE FIRM IMPLEMENTED WSPS FOR DELIVERING FORM CRS TO ITS CUSTOMERS ON THE COMPLIANCE DATE. HOWEVER, THE FIRM FAILED TO DELIVER FORM CRS TO ANY OF THE 282 EXISTING RETAIL CUSTOMERS WHO PURCHASED

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	SECURITIES FROM THE FIRM BEFORE IT BEGAN DELIVERING THE FORM IN APRIL 2022 TO NEW CUSTOMERS.
Initiated By:	FINRA
Date Initiated:	10/03/2024
Docket/Case Number:	2021069303201
Principal Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/03/2024
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine $100,000.00
Other Sanctions Ordered:	UNDERTAKINGS
Sanction Details:	THE SETTLEMENT INCLUDES A FINDING THAT SIGNET SECURITIES, LLC WILLFULLY VIOLATED SECTION 17(A)(1) AND RULES 15L-1(A)(1) AND 17A-14 OF THE SECURITIES EXCHANGE ACT OF 1934. THE FIRM WAS CENSURED, FINED $100,000, AND AND REQUIRED TO CERTIFY THAT IT HAS REMEDIATED THE ISSUES IDENTIFIED IN THE AWC AND IMPLEMENTED A REASONABLY DESIGNED SUPERVISORY SYSTEM, INCLUDING WSPS. FINE PAID IN FULL ON OCTOBER 16, 2024.

Reporting Source:	Firm
Current Status:	Final
Allegations:	FROM JUNE 30, 2020 THROUGH THE PRESENT, SIGNET SECURITIES FAILED TO MAINTAIN, AND ENFORCE WRITTEN POLICIES AND PROCEDURES, AND FAILED TO MAINTAIN A SUPERVISORY SYSTEM REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE FIRM'S

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	OBLIGATION UNDER REGULATION BEST INTEREST (REG BI) TO CONDUCT REASONABLE DUE DILIGENCE OF PRIVATE PLACEMENT OFFERINGS, DELIVER A CUSTOMER RELATIONSHIP SUMMARY (FORM CRS) TO SOME CUSTOMERS AND MAINTAIN AND ENFORCE A SUPERVISORY SYSTEM REASONABLY DESIGNED TO GOVERN OUTSIDE BUSINESS ACTIVITIES. FINDINGS THAT THE FIRM WILLFULLY VIOLATED RULE 15L-1(A)(1) OF THE SECURITIES EXCHANGE ACT OF 1934 BY FAILING TO MAINTAIN, AND ENFORCE WRITTEN POLICIES AND PROCEDURES, AND FAILED TO MAINTAIN A SUPERVISORY SYSTEM REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE FIRM'S OBLIGATION UNDER REGULATION BEST INTEREST (REG BI).
Initiated By:	FINRA
Date Initiated:	09/23/2024
Docket/Case Number:	2021069303201
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Undertaking
Other Sanction(s)/Relief Sought:	CENSURE AND A FINE
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/03/2024
Sanctions Ordered:	Censure Monetary/Fine $100,000.00
Other Sanctions Ordered:	AN UNDERTAKING TO BE COMPLETED WITHIN 60 DAYS OF THE DATE OF THE NOTICE.
Sanction Details:	FROM JUNE 30, 2020, THROUGH THE PRESENT, SIGNET SECURITIES FAILED TO MAINTAIN, AND ENFORCE WRITTEN POLICIES AND PROCEDURES, AND FAILED TO MAINTAIN A SUPERVISORY SYSTEM REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE FIRM'S OBLIGATION UNDER REGULATION BEST INTEREST (REG BI) TO CONDUCT REASONABLE DUE DILIGENCE OF PRIVATE PLACEMENT OFFERINGS AND GOVERNING OUTSIDE BUSINESS ACTIVITIES (OBAS).
Firm Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO MAINTAIN, AND ENFORCE WRITTEN POLICIES AND PROCEDURES AND FAILED TO MAINTAIN A SUPERVISORY SYSTEM REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE FIRM'S OBLIGATION UNDER

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REGULATION BEST INTEREST (REG BI) TO CONDUCT REASONABLE DUE DILIGENCE OF PRIVATE PLACEMENT OFFERINGS, SPECIFICALLY TO OFFERINGS MADE UNDER REGULATION D, AND TO MAINTAIN RECORDS FOR FOUR REGISTERED REPRESENTATIVE'S OUTSIDE BUSINESS ACTIVITIES.

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End of Report

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