

BrokerCheck Report

TOWERBROOK FINANCIAL, L.P.

CRD# 155535

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

Please contact FINRA with any concerns.

About BrokerCheck®



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

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



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.](http://www.finra.org)



TOWERBROOK FINANCIAL, L.P.

CRD# 155535

SEC# 8-68721

Main Office Location

PARK AVENUE TOWER, 65 EAST 55TH STREET
19TH FLOOR
NEW YORK, NY 10022
Regulated by FINRA New York Office

Mailing Address

PARK AVENUE TOWER, 65 EAST 55TH STREET
19TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-699-2260

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 partnership.

This firm was formed in Delaware on 08/12/2010.

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 3 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 partnership.

This firm was formed in Delaware on 08/12/2010.

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.

TOWERBROOK FINANCIAL, L.P.

Doing business as TOWERBROOK FINANCIAL, L.P.

CRD# 155535

SEC# 8-68721

Main Office Location

PARK AVENUE TOWER, 65 EAST 55TH STREET
19TH FLOOR
NEW YORK, NY 10022

Regulated by FINRA New York Office

Mailing Address

PARK AVENUE TOWER, 65 EAST 55TH STREET
19TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-699-2260



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):	TOWERBROOK FINANCIAL LP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	LIMITED PARTNER
Position Start Date	05/2011
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):	CARDINI, FILIPPO JOHN 5929485
Is this a domestic or foreign entity or an individual?	Individual
Position	COO AND PRINCIPAL
Position Start Date	05/2011
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):	GLASSMAN, JENNIFER TERNOEY 5917654
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO, FINOP, AND CFO
Position Start Date	05/2011

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): ROSENTHAL, ABRIELLE HARA
5929680

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

Position CCO / AMLCO

Position Start Date 05/2011

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): TOWERBROOK FINANCIAL GP, LLC

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

Position GENERAL PARTNER

Position Start Date 05/2011

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):	TOWERBROOK CAPITAL PARTNERS LP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	TOWERBROOK FINANCIAL LP, LLC
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	03/2005
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):	TOWERBROOK CAPITAL PARTNERS LP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	TOWERBROOK FINANCIAL GP, LLC
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	03/2005
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):	MOSZKOWSKI, NEAL NMN 2081890
Is this a domestic or foreign	Individual

Firm Profile



Indirect Owners (continued)

entity or an individual?

Company through which indirect ownership is established TOWERBROOK CAPITAL PARTNERS, LLC

Relationship to Direct Owner MEMBER

Relationship Established 08/2010

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): TOWERBROOK CAPITAL PARTNERS LLC

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

Company through which indirect ownership is established TOWERBROOK CAPITAL PARTNERS LP

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 03/2005

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	02/14/2012

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	02/14/2012



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	03/21/2012
Alaska	Approved	03/05/2012
Arizona	Approved	03/20/2012
Arkansas	Approved	04/02/2012
California	Approved	02/28/2012
Colorado	Approved	03/12/2012
Connecticut	Approved	05/02/2012
Delaware	Approved	03/21/2012
District of Columbia	Approved	03/20/2012
Florida	Approved	06/04/2012
Georgia	Approved	03/27/2012
Hawaii	Approved	04/16/2012
Idaho	Approved	02/21/2012
Illinois	Approved	03/26/2012
Indiana	Approved	04/12/2012
Iowa	Approved	02/27/2012
Kansas	Approved	04/18/2012
Kentucky	Approved	03/01/2012
Louisiana	Approved	02/27/2012
Maine	Approved	03/30/2012
Maryland	Approved	03/21/2012
Massachusetts	Approved	03/02/2012
Michigan	Approved	03/28/2012
Minnesota	Approved	02/28/2012
Mississippi	Approved	02/27/2012
Missouri	Approved	03/22/2012
Montana	Approved	03/06/2012
Nebraska	Approved	03/29/2012
Nevada	Approved	02/27/2012
New Hampshire	Approved	04/12/2012
New Jersey	Approved	04/17/2012
New Mexico	Approved	03/28/2012
New York	Approved	02/16/2012

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	02/22/2012
North Dakota	Approved	03/20/2012
Ohio	Approved	03/28/2012
Oklahoma	Approved	02/23/2012
Oregon	Approved	03/28/2012
Pennsylvania	Approved	03/06/2012
Puerto Rico	Approved	04/12/2012
Rhode Island	Approved	02/21/2012
South Carolina	Approved	03/19/2012
South Dakota	Approved	02/22/2012
Tennessee	Approved	04/18/2012
Texas	Approved	04/02/2012
Utah	Approved	02/22/2012
Vermont	Approved	03/26/2012
Virgin Islands	Approved	04/10/2012
Virginia	Approved	04/10/2012
Washington	Approved	02/21/2012
West Virginia	Approved	04/17/2012
Wisconsin	Approved	03/20/2012
Wyoming	Approved	03/21/2012



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 3 types of businesses.

Types of Business

Underwriter or selling group participant (corporate securities other than mutual funds)

Private placements of securities

Other - INVESTMENT BANKING ADVISORY SERVICES

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:	INTAPP EMPLOYEE COMPLIANCE
Business Address:	3101 PARK BOULEVARD PALO ALTO, CA 94306
Effective Date:	09/16/2024
Description:	TOWERBROOK FINANCIAL, L.P. HAS ENTERED INTO AN ARRANGEMENT WITH INTAPP EMPLOYEE COMPLIANCE. FOR WEB-BASED COMPLIANCE MONITORING PLATFORM.
Name:	AMAZON WEB SERVICES, INC. ("AWS")
Business Address:	P.O. BOX 81226 SEATTLE, WA 98108-1226, WA 98108-1226
Effective Date:	01/02/2018
Description:	AWS GLACIER VAULT IS USED BY THE FIRM TO ARCHIVE CERTAIN BOOKS AND RECORDS IN A WORM COMPLIANT MANNER.
Name:	RICHARD FLEISCHMAN AND ASSOCIATES ("RFA")
Business Address:	330 MADISON AVENUE NEW YORK, NY 10017
Effective Date:	01/02/2018
Description:	THE FIRM HAS AN AGREEMENT IN PLACE WITH RFA TO MANAGE ITS SUBSCRIPTION TO AMAZON WEB SERVICES ("AWS") FOR ELECTRONIC STORAGE MEDIA SOLUTIONS. IN ADDITION, RFA ACTS AS THE THIRD PARTY DOWNLOADER.
Name:	SMARSH, INC.
Business Address:	75 BROAD STREET, 2ND FLOOR NEW YORK, NY 10004
Effective Date:	02/23/2012
Description:	TOWERBROOK FINANCIAL, L.P. HAS ENTERED INTO AN ARRANGEMENT WITH SMARSH, INC. TO ARCHIVE ITS ELECTRONIC CORRESPONDENCE.
Name:	IRON MOUNTAIN
Business Address:	2100 NORCROSS PARKWAY SUITE 150 NORCROSS, GA 30071

Firm Operations



Industry Arrangements (continued)

Effective Date: 10/23/2013

Description: TOWERBROOK FINANCIAL, L.P. ENGAGED IRON MOUNTAIN FOR THE ELECTRONIC STORAGE OF THE OUTLOOK SYSTEM.

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.**

TOWERBROOK CAPITAL PARTNERS, L.P. controls the firm.

Business Address:	PARK AVENUE TOWER, 65 EAST 55TH STREET, 27TH FLR. NEW YORK, NY 10022
Effective Date:	05/19/2011
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	TOWERBROOK CAPITAL PARTNERS, LP IS THE SOLE MEMBER OF BOTH TOWERBROOK FINANCIAL LP, LLC AND TOWERBROOK FINANCIAL GP, LLC WHO ARE THE LIMITED AND GENERAL PARTNERS OF TOWERBROOK FINANCIAL, L.P. (THE "BROKER-DEALER"). ALTHOUGH TOWERBROOK CAPITAL PARTNERS, LP IS ALREADY SHOWN ON SCHEDULE B, WE ARE INCLUDING THEM ON SCHEDULE D AS INVESTMENT RELATED AFFILIATES OF THE BROKER-DEALER BECAUSE THEY ARE REGISTERING AS AN INVESTMENT ADVISOR (AN INVESTMENT RELATED ENTITY).

TOWERBROOK CAPITAL PARTNERS (U.K.) LLP is under common control with the firm.

Business Address:	KINNAIRD HOUSE, 1 PALL MALL EAST LONDON, UNITED KINGDOM SW1Y 5AU
Effective Date:	05/19/2011
Foreign Entity:	Yes
Country:	UK
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: TOWERBROOK CAPITAL PARTNERS (U.K.) LLP ("TBCPUK") IS UNDER COMMON CONTROL WITH TOWERBROOK FINANCIAL, L.P. (THE "BROKER-DEALER"). TBCPUK IS INDIRECTLY OWNED BY THE SAME PERSONS (NEAL MOSZKOWSKI AND RAMEZ SOUSOU) WHO INDIRECTLY OWN THE BROKER-DEALER. MESSRS. MOSZKOWSKI AND SOUSOU, THE INDIRECT OWNERS OF THE BROKER-DEALER, ARE STOCKHOLDERS OF A U.K. ENTITY NAMED TOWERBROOK CAPITAL PARTNERS LTD., WHO IN TURN IS THE MANAGING MEMBER OF TBCPUK (AN INVESTMENT RELATED ENTITY).

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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