

BrokerCheck Report
DBO PARTNERS LLC
 CRD# 158951

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

About BrokerCheck®

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

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

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

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

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

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

- **How current is this information?**

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

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

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

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

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

Thank you for using FINRA BrokerCheck.



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



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**DBO PARTNERS LLC**

CRD# 158951

SEC# 8-68949

Main Office Location

1409 CHAPIN AVE
2ND FLOOR
BURLINGAME, CA 94010

Mailing Address

1409 CHAPIN AVE
2ND FLOOR
BURLINGAME, CA 94010

Business Telephone Number

415 367-6006

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 08/12/2011.

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? **No**

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: 10/07/2022

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a limited liability company.
This firm was formed in Delaware on 08/12/2011.
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.

DBO PARTNERS LLC
Doing business as DBO PARTNERS LLC
CRD# 158951
SEC# 8-68949

Main Office Location
1409 CHAPIN AVE
2ND FLOOR
BURLINGAME, CA 94010

Mailing Address
1409 CHAPIN AVE
2ND FLOOR
BURLINGAME, CA 94010

Business Telephone Number
415 367-6006

Other Names of this Firm

Name	Where is it used
DBO PARTNERS LLC	CA, NY



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):	PIPER SANDLER COMPANIES
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT
Position Start Date	10/2022
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Legal Name & CRD# (if any):	BRADLEY, MARK H 1996158
Is this a domestic or foreign entity or an individual?	Individual
Position	CO-PRESIDENT
Position Start Date	08/2011
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	COLLINS, ELIZABETH SARAH 4714831
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP / CFO
Position Start Date	08/2014

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):	DEAN, GORDON GORE 1564226
Is this a domestic or foreign entity or an individual?	Individual
Position	CHAIRMAN, CO-PRESIDENT, SECRETARY, CCO
Position Start Date	08/2011
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Firm Profile

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

Indirect Owners

No information reported.



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 no longer registered.

The firm's registration was from 02/08/2012 to 01/03/2023.



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 - DBO PARTNERS LLC WILL ENGAGE IN CORPORATE FINANCE CONSULTING AND WILL RENDER ADVICE TO ITS CLIENTS ON MERGERS, ACQUISITIONS, REFINANCINGS AND OTHER RELATED TRANSACTIONS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: DBO PARTNERS LLC WILL ENGAGE IN CORPORATE FINANCE CONSULTING AND WILL RENDER ADVICE TO ITS CLIENTS ON MERGERS, ACQUISITIONS, REFINANCINGS AND OTHER RELATED TRANSACTIONS.

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 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.



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.**

PIPER SANDLER & CO. is under common control with the firm.

CRD #:	665
Business Address:	800 NICOLLET MALL MINNEAPOLIS, MN 55402
Effective Date:	10/07/2022
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL BY PARENT HOLDING COMPANY, PIPER SANDLER COMPANIES

PSC CAPITAL PARTNERS LLC is under common control with the firm.

CRD #:	165620
Business Address:	800 NICOLLET MALL MINNEAPOLIS, MN 55402
Effective Date:	10/07/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL BY PARENT HOLDING COMPANY, PIPER

Firm Operations



Organization Affiliates (continued)

SANDLER COMPANIES

PIPER SANDLER LTD. is under common control with the firm.

CRD #: 163758

Business Address: 2 GRESHAM STREET
6TH FL
LONDON, UK EC2V7QP

Effective Date: 10/07/2022

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: BROKER-DEALER REGISTERED THROUGH THE FINANCIAL CONDUCT AUTHORITY AND WHICH IS UNDER COMMON CONTROL BY PARENT HOLDING COMPANY PIPER SANDLER COMPANIES.

PIPER SANDLER HONG KONG LTD. is under common control with the firm.

Business Address: LEVEL 16, NEXXUS BUILDING
41 CONNAUGHT RD., CENTRAL
HONG KONG, HONG KONG

Effective Date: 10/07/2022

Foreign Entity: Yes

Country: CHINA

Securities Activities: Yes

Investment Advisory Activities: No

Description: ENTITY IS OWNED BY PIPER SANDLER COMPANIES, THE HOLDING COMPANY, AND IS UNDER COMMON CONTROL WITH APPLICANT.

PIPER SANDLER FINANCE MANAGEMENT, LLC is under common control with the firm.

CRD #: 309345

Business Address: 800 NICOLLET MALL
MINNEAPOLIS, MN 55402

Firm Operations



Organization Affiliates (continued)

Effective Date: 10/07/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL BY PARENT HOLDING COMPANY, PIPER SANDLER COMPANIES

PIPER SANDLER ADVISORS LLC is under common control with the firm.

CRD #: 307823

Business Address: 1251 AVENUE OF THE AMERICAS
6TH FL
NEW YORK, NY 10020

Effective Date: 10/07/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL BY PARENT HOLDING COMPANY, PIPER SANDLER COMPANIES

PIPER JAFFRAY FINANCIAL TRUST DEPOSITOR, LLC is under common control with the firm.

Business Address: 800 NICOLLET MALL
MINNEAPOLIS, MN 55402

Effective Date: 10/07/2022

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL BY PARENT HOLDING COMPANY, PIPER

Firm Operations



Organization Affiliates (continued)

SANDLER COMPANIES

PIPER JAFFRAY FINANCIAL LLC is under common control with the firm.

Business Address: 800 NICOLLET MALL
MINNEAPOLIS, MN 55402

Effective Date: 10/07/2022

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL BY PARENT HOLDING COMPANY, PIPER SANDLER COMPANIES

PIPER HEARTLAND HEALTHCARE CAPITAL, LLC is under common control with the firm.

CRD #: 310044

Business Address: 800 NICOLLET MALL
MINNEAPOLIS, MN 55402

Effective Date: 10/07/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL BY PARENT HOLDING COMPANY, PIPER SANDLER COMPANIES

PARALLEL GENERAL PARTNER LIMITED is under common control with the firm.

Business Address: PO BOX 656,EAST WING, TRAFALGAR COURT, LES BANQUES
ST PETER PORT, GUERNSEY (UK) GY1 3PP

Effective Date: 10/07/2022

Foreign Entity: Yes

Country: GUERNSEY

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL BY PARENT HOLDING COMPANY PIPER SANDLER COMPANIES.

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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