

BrokerCheck Report

ACQUIOM FINANCIAL LLC

CRD# 170074

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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)



ACQUIOM FINANCIAL LLC

CRD# 170074

SEC# 8-69408

Main Office Location

950 17TH STREET
STE 1400
DENVER, CO 80202
Regulated by FINRA Denver Office

Mailing Address

950 17TH STREET
STE 1400
DENVER, CO 80202

Business Telephone Number

720-279-0964

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 Colorado on 10/04/2013.

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
- 1 U.S. state or territory

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 Colorado on 10/04/2013.

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.

ACQUIOM FINANCIAL LLC

Doing business as ACQUIOM FINANCIAL LLC

CRD# 170074

SEC# 8-69408

Main Office Location

950 17TH STREET
STE 1400
DENVER, CO 80202

Regulated by FINRA Denver Office

Mailing Address

950 17TH STREET
STE 1400
DENVER, CO 80202

Business Telephone Number

720-279-0964



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):	SRS ACQUIOM HOLDINGS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	UNITHOLDER
Position Start Date	10/2013
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):	AREND, SEAN KRISTIAN 6409880
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	12/2016
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):	KOENIG, WILLIAM PAUL 6285415
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	11/2018

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): RICHTER, TYLER KEVIN
6361430

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

Position PRINCIPAL FINANCIAL OFFICER

Position Start Date 06/2021

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): YATES, MELINDA MARIE
6785708

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

Position PRINCIPAL OPERATIONS OFFICER

Position Start Date 06/2021

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	SRS ACQUIOM HOLDINGS INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	SRS INTERMEDIATE INC.
Relationship to Direct Owner	SOLE SHAREHOLDER
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):	SRS ACQUIOM INC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	SRS ACQUIOM HOLDINGS LLC
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	03/2016
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):	SRS INTERMEDIATE INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established SRS ACQUIOM INC.

Relationship to Direct Owner SOLE SHAREHOLDER

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): LM SRS HOLDINGS LP

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

Company through which indirect ownership is established SRS ACQUIOM HOLDINGS INC.

Relationship to Direct Owner SHAREHOLDER

Relationship Established 11/2018

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?

Legal Name & CRD# (if any): LOVELL MINNICK EQUITY PARTNERS IV LP

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

Company through which indirect ownership is established LM SRS HOLDINGS LP

Relationship to Direct Owner LIMITED PARTNER

Relationship Established 11/2018



Firm Profile

Indirect Owners (continued)

Percentage of Ownership 50% but less than 75%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): FUND IV UGP LLC

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

Company through which indirect ownership is established LOVELL MINNICK EQUITY ADVISORS IV LP

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 11/2018

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): LOVELL MINNICK EQUITY ADVISORS IV LP

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

Company through which indirect ownership is established LOVELL MINNICK EQUITY PARTNERS IV LP

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 11/2018

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 Profile



Indirect Owners (continued) company?

Legal Name & CRD# (if any):	LOVELL MINNICK EQUITY ADVISORS IV LP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	LM SRS HOLDINGS LP
Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	11/2018
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):	LOVELL MINNICK PARTNERS LLC 156494
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FUND IV UGP LLC
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	11/2018
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 1 U.S state or territory.

Federal Regulator	Status	Date Effective
SEC	Approved	03/25/2015

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	03/25/2015

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Colorado	Approved	04/15/2015



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

Mutual fund retailer

Other - CASH DISTRIBUTIONS PAYMENTS UTILIZING AN ACCOUNT PURSUANT TO SEA RULE 15C3-3(K)(2)(I) EXEMPTION.

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:	EXIGER
Business Address:	1095 AVENUE OF THE AMERICAS 5TH FLOOR NEW YORK, NY 10036
Effective Date:	04/30/2020
Description:	THE FIRM USES EXIGER AS A KYC/AML SCREENING TOOL.
Name:	BOX
Business Address:	900 JEFFERSON AVENUE REDWOOD CITY, CA 94063
Effective Date:	04/30/2020
Description:	THE FIRM UTILIZES BOX TO MAINTAIN AND PRESERVE CERTAIN BOOKS AND RECORDS IN A COMPLIANT MANNER.
Name:	CHARLES SCHWAB & CO., INC.
CRD #:	5393
Business Address:	211 MAIN STREET SAN FRANCISCO, CA 94105
Effective Date:	04/30/2020
Description:	THE FIRM USES SCHWAB COMPLIANCE TECHNOLOGIES FOR FIRM ELEMENT TRAINING, ONLINE ANNUAL COMPLIANCE MEETINGS, ATTESTATIONS, QUESTIONNAIRES AND GIFT DECLARATIONS.
Name:	QUEST CONTINUING EDUCATION
Business Address:	10850 WEST PARK PLACE SUITE 1000 MILWAUKEE, WI 53224
Effective Date:	04/30/2020
Description:	THE FIRM USES QUEST CONTINUING EDUCATION FOR CONTINUING EDUCATION
Name:	GLOBAL RELAY
Business Address:	220 CAMBIE STREET 2ND FLOOR

Firm Operations



Industry Arrangements (continued)

VANCOUVER (BC), CANADA V6B 2M9

Effective Date: 04/30/2020

Description: THIS FIRM USES GLOBAL RELAY IN THE REVIEW AND RETENTION OF ITS ELECTRONIC CORRESPONDENCE (EMAIL).

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.**

LOVELL MINNICK PARTNERS LLC controls the firm.

CRD #:	156494
Business Address:	150 N RADNOR CHESTER RD. STE A200 RADNOR, PA 19087
Effective Date:	11/01/2018
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INDIRECT OWNER OF ACQUIOM FINANCIAL

WAVERTON WEALTH PLANNING LLP is under common control with the firm.

Business Address:	19 CANNING STREET EDINBURGH, SCOTLAND EH38EHEH38H
Effective Date:	06/28/2024
Foreign Entity:	Yes
Country:	SCOTLAND
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH LOVELL MINNICK PARTNERS

W1M INVESTMENT MANAGEMENT LIMITED is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

CRD #: 112200

Business Address: 16 BABMAES STREET
LONDON, UK SW1Y6AH

Effective Date: 06/28/2024

Foreign Entity: Yes

Country: UK

Securities Activities: No

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH LOVELL MINNICK PARTNERS

LONDON AND CAPITAL WEALTH MANAGEMENT EUROPE A.V.S.A is under common control with the firm.

Business Address: RONDA DEL GENERAL MITRE 126
6A PTA
BARCELONA, SPAIN 08021

Effective Date: 03/30/2023

Foreign Entity: Yes

Country: SPAIN

Securities Activities: No

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH LOVELL MINNICK PARTNERS

W1M WEALTH MANAGEMENT LIMITED is under common control with the firm.

CRD #: 132210

Business Address: TWO FITZROY PLACE
8 MORTIMER STREET
LONDON, UK W1T3JJ

Effective Date: 03/30/2023

Foreign Entity: Yes

Country: UK

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH LOVELL MINNICK PARTNERS

LONDON AND CAPITAL ASSET MANAGEMENT LIMITED is under common control with the firm.

Business Address: TWO FITZROY PLACE
8 MORTIMER STREET
LONDON, UK W1T 3JJ

Effective Date: 03/30/2023

Foreign Entity: Yes

Country: UK

Securities Activities: No

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH LOVELL MINNICK PARTNERS

LOVELL MINNICK EQUITY PARTNERS IV LP controls the firm.

Business Address: 555 E. LANCASTER AVE
SUITE 510
RADNOR, PA 19087

Effective Date: 05/27/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: LOVELL MINNICK EQUITY PARTNERS IV LP IS A MAJORITY OWNER OF ACQUIOM FINANCIAL.

TORTOISE CAPITAL ADVISORS, L.L.C. is under common control with the firm.

CRD #: 123711

Business Address: 5100 W. 115TH PLACE
LEAWOOD, KS 66211

Effective Date: 01/31/2018

Firm Operations



Organization Affiliates (continued)

Foreign Entity: No
Country:
Securities Activities: No
Investment Advisory Activities: Yes
Description: UNDER COMMON CONTROL WITH LOVELL MINNICK PARTNERS.

CENTERSQUARE INVESTMENT MANAGEMENT LLC is under common control with the firm.

CRD #: 290078
Business Address: 630 WEST GERMANTOWN PIKE
 SUITE 300
 PLYMOUTH MEETING, PA 19462
Effective Date: 01/02/2018
Foreign Entity: No
Country:
Securities Activities: No
Investment Advisory Activities: Yes
Description: UNDER COMMON CONTROL WITH LOVELL MINNICK PARTNERS

MATTHEWS INTERNATIONAL CAPITAL MANAGEMENT, LLC is under common control with the firm.

CRD #: 106054
Business Address: FOUR EMBARCADERO CENTER
 SUITE 550
 SAN FRANCISCO, CA 94111
Effective Date: 01/14/2011
Foreign Entity: No
Country:
Securities Activities: No
Investment Advisory Activities: Yes
Description: UNDER COMMON CONTROL WITH LOVELL MINNICK PARTNERS

Firm Operations



Organization Affiliates (continued)

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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