BrokerCheck Report

SDR CAPITAL MARKETS, LLC

CRD# 170652

Section Title	Page(s)
Report Summary	1
Firm Profile	2 - 5
Firm History	6
Firm Operations	7 - 12

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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.
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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.

SDR CAPITAL MARKETS, LLC

CRD# 170652

SEC# 8-69430

Main Office Location

5613 DTC PARKWAY, SUITE 830
GREENWOOD VILLAGE, CO 80111
Regulated by FINRA Denver Office

Mailing Address

5613 DTC PARKWAY, SUITE 830
GREENWOOD VILLAGE, CO 80111

Business Telephone Number

720-221-9220

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 01/13/2014.

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
- 2 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**

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Colorado on 01/13/2014.

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.

SDR CAPITAL MARKETS, LLC

Doing business as SDR CAPITAL MARKETS, LLC

CRD# 170652

SEC# 8-69430

Main Office Location

5613 DTC PARKWAY, SUITE 830
GREENWOOD VILLAGE, CO 80111

Regulated by FINRA Denver Office

Mailing Address

5613 DTC PARKWAY, SUITE 830
GREENWOOD VILLAGE, CO 80111

Business Telephone Number

720-221-9220

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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):	INTEGRITY CAPITAL ADVISORS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	08/2021
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):	DAVIS, ERIC SEAN 4392769
Is this a domestic or foreign entity or an individual?	Individual
Position	MEMBER/GENERAL SECURITIES PRINCIPAL
Position Start Date	01/2023
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):	ELIASON, GEOFFRY SEAN MR. 4904780
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER/AML COMPLIANCE OFFICER
Position Start Date	02/2024

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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?	Yes
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):	INTEGRITY CAPITAL HOLDINGS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	INTEGRITY CAPITAL ADVISORS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	05/2021
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

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Firm History

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

This firm was previously:	SDR CAPITAL MARKETS, INC.
Date of Succession:	08/12/2021
Predecessor CRD#:	170652
Predecessor SEC#:	8-69430
Description	THE APPLICANT CHANGED ITS LEGAL STATUS FROM A CORPORATION TO A LIMITED LIABILITY COMPANY. DIRECT AND INDIRECT OWNERSHIP CHANGES OCCURRED AT THE SAME TIME. ALL ASSETS AND LIABILITIES WERE ASSUMED BY THE SUCCESSOR.

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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 currently registered with the SEC, 1 SRO and 2 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/15/2015

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	01/15/2015

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Colorado	Approved	01/21/2015
Kansas	Approved	08/10/2021

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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 2 types of businesses.

Types of Business

Private placements of securities
Other - SDR CAPITAL MARKETS IS A BROKER/DEALER THAT PROVIDES INVESTMENT BANKING AND RELATED SERVICES WITH A DEFINED BUSINESS SCOPE, NAMELY MERGERS AND ACQUISITION ADVISORY SERVICES AND PRIVATE CAPITAL RELATED 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:

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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 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**

INTEGRITY CAPITAL HOLDINGS, INC. is a Bank Holding Company and controls the firm.

Business Address:	1275 VILLAGE RIDGE POINT MONUMENT, CO 80132
Effective Date:	01/31/2022
Description:	INTEGRITY CAPITAL HOLDINGS, INC. OWNS 60% OF INTEGRITY CAPITAL ADVISORS, LLC. INTEGRITY CAPITAL ADVISORS, LLC OWNS 100% OF SDR CAPITAL MARKETS, LLC.

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End of Report

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