

BrokerCheck Report

VELOCITY CAPITAL, LLC

CRD# 171810

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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.

• **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.



VELOCITY CAPITAL, LLC

CRD# 171810

SEC# 8-69479

Main Office Location

199 WATER STREET
8TH FLOOR
NEW YORK, NY 10038
Regulated by FINRA New York Office

Mailing Address

199 WATER STREET
8TH FLOOR
NEW YORK, NY 10038

Business Telephone Number

6468370056

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 Nevada on 05/07/2014.

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
- 11 Self-Regulatory Organizations
- 52 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 5 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? **Yes**

The following types of disclosures have been reported:

| Type | Count |
|------------------|-------|
| Regulatory Event | 1 |



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Nevada on 05/07/2014.

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.

VELOCITY CAPITAL, LLC

Doing business as VELOCITY CAPITAL, LLC

CRD# 171810

SEC# 8-69479

Main Office Location

199 WATER STREET
8TH FLOOR
NEW YORK, NY 10038

Regulated by FINRA New York Office

Mailing Address

199 WATER STREET
8TH FLOOR
NEW YORK, NY 10038

Business Telephone Number

6468370056



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): | VCP HOLDINGS, LLC |
| Is this a domestic or foreign entity or an individual? | Domestic Entity |
| Position | SOLE MEMBER AND OWNER |
| Position Start Date | 11/2023 |
| 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): | AMATO, MATTEO ALBERTO 5877196 |
| Is this a domestic or foreign entity or an individual? | Individual |
| Position | CHIEF FINANCIAL OFFICER & FINOP |
| Position Start Date | 01/2018 |
| 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): | BRACERO, FRANK WILLIAM 2178318 |
| Is this a domestic or foreign entity or an individual? | Individual |
| Position | CONTROLLER |
| Position Start Date | 10/2019 |



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): FREYER, CHRISTIAN
6337912

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

Position ROP

Position Start Date 06/2023

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): LOGAN, MICHAEL JAMES
5763098

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

Position CHIEF ADMINISTRATIVE OFFICER

Position Start Date 06/2019

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): MERCHANT, MUNAF

Firm Profile



Direct Owners and Executive Officers (continued)

1937789

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

Position PRESIDENT

Position Start Date 06/2023

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): SMITH, JEFFREY SCOTT
2492551

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 04/2020

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): WIEDMAN, GARY DAVID
1947935

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

Position CHIEF OPERATING OFFICER

Position Start Date 12/2023

Percentage of Ownership Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

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

Is this a public reporting company? No

Legal Name & CRD# (if any): YAN, ROY
2352916

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

Position CHIEF EXECUTIVE OFFICER

Position Start Date 06/2023

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

Firm Profile

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



Indirect Owners

| | |
|--|-----------------------|
| Legal Name & CRD# (if any): | VCT HOLDINGS II , LLC |
| Is this a domestic or foreign entity or an individual? | Domestic Entity |
| Company through which indirect ownership is established | VCP HOLDINGS, LLC |
| Relationship to Direct Owner | SOLE OWNER |
| Relationship Established | 11/2023 |
| 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 |

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, 11 SROs and 52 U.S. states and territories.

| Federal Regulator | Status | Date Effective |
|-------------------|----------|----------------|
| SEC | Approved | 01/06/2015 |

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 | 01/06/2015 |
| Cboe Exchange, Inc. | Approved | 11/05/2021 |
| Long-Term Stock Exchange, Inc. | Approved | 07/15/2025 |
| MEMX LLC | Approved | 06/23/2025 |
| MIAX Emerald, LLC | Approved | 07/09/2025 |
| MIAX PEARL, LLC | Approved | 07/09/2025 |
| MIAX Sapphire | Approved | 07/09/2025 |
| Miami International Securities Exchange, LLC | Approved | 07/09/2025 |
| Nasdaq BX, Inc. | Approved | 06/23/2025 |
| Nasdaq PHLX LLC | Approved | 12/01/2021 |
| Nasdaq Stock Market | Approved | 02/03/2020 |



Firm Operations

Registrations (continued)

| U.S. States & Territories | Status | Date Effective |
|---------------------------|----------|----------------|
| Alabama | Approved | 08/12/2025 |
| Alaska | Approved | 04/08/2025 |
| Arizona | Approved | 11/12/2020 |
| Arkansas | Approved | 06/16/2025 |
| California | Approved | 01/14/2015 |
| Colorado | Approved | 11/04/2020 |
| Connecticut | Approved | 08/08/2016 |
| Delaware | Approved | 04/21/2025 |
| District of Columbia | Approved | 07/24/2025 |
| Florida | Approved | 10/11/2019 |
| Georgia | Approved | 11/02/2020 |
| Hawaii | Approved | 06/02/2025 |
| Idaho | Approved | 05/15/2025 |
| Illinois | Approved | 06/09/2020 |
| Indiana | Approved | 05/19/2025 |
| Iowa | Approved | 10/21/2020 |
| Kansas | Approved | 04/04/2025 |
| Kentucky | Approved | 04/17/2025 |
| Louisiana | Approved | 10/26/2020 |
| Maine | Approved | 04/16/2025 |
| Maryland | Approved | 05/06/2025 |
| Massachusetts | Approved | 12/20/2019 |
| Michigan | Approved | 04/17/2025 |
| Mississippi | Approved | 04/01/2025 |
| Missouri | Approved | 12/18/2020 |
| Montana | Approved | 05/23/2025 |
| Nebraska | Approved | 09/13/2019 |
| Nevada | Approved | 03/31/2025 |
| New Hampshire | Approved | 05/23/2025 |
| New Jersey | Approved | 11/09/2020 |
| New Mexico | Approved | 05/22/2025 |
| New York | Approved | 10/13/2015 |
| North Carolina | Approved | 11/13/2020 |

| U.S. States & Territories | Status | Date Effective |
|---------------------------|----------|----------------|
| North Dakota | Approved | 05/21/2025 |
| Ohio | Approved | 10/22/2020 |
| Oklahoma | Approved | 04/02/2025 |
| Oregon | Approved | 05/21/2025 |
| Pennsylvania | Approved | 07/23/2019 |
| Puerto Rico | Approved | 05/14/2025 |
| Rhode Island | Approved | 03/31/2025 |
| South Carolina | Approved | 12/21/2020 |
| South Dakota | Approved | 05/20/2025 |
| Tennessee | Approved | 04/14/2025 |
| Texas | Approved | 12/04/2020 |
| Utah | Approved | 04/28/2025 |
| Vermont | Approved | 05/22/2025 |
| Virgin Islands | Approved | 04/29/2025 |
| Virginia | Approved | 10/20/2020 |
| Washington | Approved | 12/14/2020 |
| West Virginia | Approved | 05/01/2025 |
| Wisconsin | Approved | 05/13/2025 |
| Wyoming | Approved | 05/12/2025 |



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 5 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Put and call broker or dealer or option writer

Non-exchange member arranging for transactions in listed securities by exchange member

Trading securities for own account

Other - CONDUCT STOCK LOANS, REPOS, AND STOCK LOCATES, ON A SELF-CLEARING BASIS.
PROPRIETARY TRADING ON A SELF-CLEARING BASIS

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: STONEX
Business Address: 230 PARK AVENUE
10TH FLOOR
NEW YORK, NY 10169
Effective Date: 02/08/2024
Description: STONEX CLEARS EXECUTIONS ON BEHALF OF VELOCITY CAPITAL, LLC
ON A FULLY DISCLOSED BASIS.

Name: VELOCITY CLEARING, LLC
CRD #: 126588
Business Address: 1301 ROUTE 36
SUITE 109
HAZLET, NJ 07730
Effective Date: 11/11/2022
Description: VELOCITY CLEARING, LLC CLEARS EXECUTIONS ON BEHALF OF
VELOCITY CAPITAL, LLC ON A FULLY DISCLOSED BASIS.

Name: VELOCITY CLEARING, LLC
CRD #: 126588
Business Address: 1301 ROUTE 36 SUITE 109 HAZLET, NJ 07730
HAZLET,, NJ 07730
Effective Date: 01/01/2020
Description: VELOCITY CAPITAL IS A SUBSIDIARY OF VCT HOLDINGS AS IS VELOCITY
CLEARING. A SHARED SERVICES AGREEMENT HAS BEEN EXECUTED
BETWEEN THE TWO ORGANIZATIONS.

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.

MOMENTIX CAPITAL, INC. is under common control with the firm.

| | |
|---------------------------------|--|
| CRD #: | 20130 |
| Business Address: | 1 BETHANY ROAD SUITE 36 HAZLET, NJ 07730 |
| Effective Date: | 10/29/2024 |
| Foreign Entity: | No |
| Country: | |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | THE FIRM IS UNDER COMMON CONTROL. |

GOLD STREET CAPITAL, LLC is under common control with the firm.

| | |
|---------------------------------|---|
| CRD #: | 282643 |
| Business Address: | 199 WATER STREET 8TH FLOOR NEW YORK, NY 10038 |
| Effective Date: | 12/22/2022 |
| Foreign Entity: | No |
| Country: | UNITED STATES |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |

Firm Operations



Organization Affiliates (continued)

Activities:

Description: THIS FIRM IS UNDER COMMON CONTROL

VELOCITY CLEARING, LLC is under common control with the firm.

CRD #: 126588

Business Address: 70 HUDSON ST
HOBOKEN, NJ 07030

Effective Date: 10/01/2018

Foreign Entity: No

Country:

Securities Activities: Yes

**Investment Advisory
Activities:** No

Description: VELOCITY CLEARING AND VELOCITY CAPITAL ARE UNDER COMMON CONTROL BY VIRTUE OF COMMON INDIVIDUALS ON THE BOARD OF MANAGERS.

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



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 |



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: Firm

Current Status: Final



| | |
|---|---|
| Allegations: | ALLEGED VIOLATIONS OF A VERBAL CONTRACT WITH RESPECT TO POSITION LIMIT SIZES. |
| Initiated By: | OCC |
| Date Initiated: | 07/26/2023 |
| Docket/Case Number: | 2023-04 |
| Principal Product Type: | Options |
| Other Product Type(s): | |
| Principal Sanction(s)/Relief Sought: | Civil and Administrative Penalt(ies) /Fine(s) |
| Other Sanction(s)/Relief Sought: | |
| Resolution: | Settled |
| Resolution Date: | 01/05/2024 |
| Sanctions Ordered: | Monetary/Fine \$15,000.00 |
| Other Sanctions Ordered: | NONE |
| Sanction Details: | \$15,000 |
| Firm Statement | WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE FIRM REACHED A SETTLEMENT WITH THE OCC RELATING TO THIS MATTER. THE FIRM RECTIFIED THE MATTER ON 3/15/23 BY CORRECTING AN INTERNAL CALCULATION ERROR THAT ONLY IMPACTED THE OCC'S EXPECTATION OF 3/2/23. AT NO POINT IN TIME WAS THERE ANY VIOLATION OF MARGIN REQUIREMENTS OR OTHER REGULATORY REQUIREMENTS STEMMING FROM ESTABLISHED POSITION LIMITS. |

End of Report



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