

BrokerCheck Report
VOLEO USA, INC
CRD# 273027

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



VOLEO USA, INC

CRD# 273027

SEC# 8-69647

Main Office Location

1240-1140 WEST PENDER STREET
VANCOUVER, BRITISH COLUMBIA, CANADA
V6E4G1

Regulated by FINRA Denver Office

Mailing Address

1240-1140 WEST PENDER STREET
VANCOUVER, BRITISH COLUMBIA, CANADA
V6E4G1

Business Telephone Number

604-281-1764

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 corporation.

This firm was formed in Delaware on 04/22/2015.

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
- 51 U.S. states and territories

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

This firm conducts 4 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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 corporation.

This firm was formed in Delaware on 04/22/2015.

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.

VOLEO USA, INC

Doing business as VOLEO USA, INC

CRD# 273027

SEC# 8-69647

Main Office Location

1240-1140 WEST PENDER STREET
VANCOUVER, BRITISH COLUMBIA, CANADA V6E4G1

Regulated by FINRA Denver Office

Mailing Address

1240-1140 WEST PENDER STREET
VANCOUVER, BRITISH COLUMBIA, CANADA V6E4G1

Business Telephone Number

604-281-1764



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): VOLEO, INC

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

Position OWNER

Position Start Date 04/2015

Percentage of Ownership 75% or more

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

Is this a public reporting company?

Legal Name & CRD# (if any): BEATTIE, THOMAS BENSON
6528874

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

Position CEO/CCO

Position Start Date 04/2015

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): MARRON, PATRICK JOSEPH
1170673

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

Position CFO/FINOP

Position Start Date 05/2016



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): SUJIR, JAY
6524491

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

Position DIRECTOR

Position Start Date 04/2015

Percentage of Ownership Less than 5%

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

Is this a public reporting company?

Legal Name & CRD# (if any): WIGGINS, BRAD
6552810

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

Position DIRECTOR

Position Start Date 04/2015

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):	SUJIR, HENRY JAY 6524491
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	OCKHAM CAPITAL CORP
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	04/2015
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):	OCKHAM CAPITAL CORP (CANADA)
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	VOLEO INC
Relationship to Direct Owner	CORPORATION
Relationship Established	04/2015
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

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 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/31/2016

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	05/31/2016



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	02/03/2017
Alaska	Approved	01/19/2017
Arizona	Approved	01/19/2017
Arkansas	Approved	01/17/2017
California	Approved	11/18/2016
Colorado	Approved	01/25/2017
Connecticut	Approved	01/19/2017
Delaware	Approved	02/13/2017
District of Columbia	Approved	02/08/2017
Florida	Approved	02/02/2017
Georgia	Approved	01/04/2017
Hawaii	Approved	02/23/2017
Idaho	Approved	01/05/2017
Illinois	Approved	01/23/2017
Indiana	Approved	02/10/2017
Iowa	Approved	01/03/2017
Kansas	Approved	01/27/2017
Kentucky	Approved	01/09/2017
Louisiana	Approved	01/09/2017
Maine	Approved	01/23/2017
Maryland	Approved	02/07/2017
Massachusetts	Approved	01/31/2017
Michigan	Approved	01/19/2017
Minnesota	Approved	02/07/2017
Mississippi	Approved	01/13/2017
Missouri	Approved	02/06/2017
Montana	Approved	01/19/2017
Nebraska	Approved	02/14/2017
Nevada	Approved	01/12/2017
New Hampshire	Approved	02/23/2017
New Jersey	Approved	03/03/2017
New Mexico	Approved	01/13/2017
New York	Approved	11/28/2016

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	01/06/2017
North Dakota	Approved	02/03/2017
Ohio	Approved	01/18/2017
Oklahoma	Approved	01/19/2017
Oregon	Approved	01/26/2017
Pennsylvania	Approved	01/11/2017
Rhode Island	Approved	01/05/2017
South Carolina	Approved	02/09/2017
South Dakota	Approved	01/19/2017
Tennessee	Approved	01/18/2017
Texas	Approved	01/06/2017
Utah	Approved	01/05/2017
Vermont	Approved	02/23/2017
Virginia	Approved	02/07/2017
Washington	Approved	01/12/2017
West Virginia	Approved	01/25/2017
Wisconsin	Approved	01/20/2017
Wyoming	Approved	02/01/2017



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 4 types of businesses.

Types of Business

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

Broker or dealer selling corporate debt securities

Mutual fund retailer

Other - PRIMARILY AN INVESTMENT CLUB

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 refer or introduce customers to other brokers and dealers.

Name:	APEX CLEARING CORPORATION
CRD #:	13071
Business Address:	350 N ST PAUL STE 1300 DALLAS, TX 75201
Effective Date:	02/27/2016
Description:	LOI IN PLACE WITH APEX

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.

GORDIAN GROUP, LLC is under common control with the firm.

CRD #:	24034
Business Address:	950 THIRD AVE 17TH FLOOR NEW YORK CITY, NY 10022
Effective Date:	08/01/2002
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	FINOP, PATRICK MARRON, IS ALSO THE FINOP FOR GORDIAN GROUP. THERE IS NO RELATIONSHIP BETWEEN VOLEO AND GORDIAN GROUP.

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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