BrokerCheck Report

BROOKLANDS CAPITAL STRATEGIES BD, LP

CRD# 281951

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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.

BROOKLANDS CAPITAL STRATEGIES BD, LP

CRD# 281951

SEC# 8-69696

Main Office Location

1170 GORGAS AVENUE
SAN FRANCISCO, CA 94129
Regulated by FINRA San Francisco Office

Mailing Address

1170 GORGAS AVENUE
SAN FRANCISCO, CA 94129

Business Telephone Number

415-438-1200

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 partnership.

This firm was formed in Delaware on 01/12/2016.

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 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 partnership.

This firm was formed in Delaware on 01/12/2016.

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.

BROOKLANDS CAPITAL STRATEGIES BD, LP

Doing business as BROOKLANDS CAPITAL STRATEGIES BD, LP

CRD# 281951

SEC# 8-69696

Main Office Location

1170 GORGAS AVENUE
SAN FRANCISCO, CA 94129

Regulated by FINRA San Francisco Office

Mailing Address

1170 GORGAS AVENUE
SAN FRANCISCO, CA 94129

Business Telephone Number

415-438-1200

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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):	BROOKLANDS CAPITAL STRATEGIES MANAGEMENT, L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	LIMITED PARTNER
Position Start Date	08/2016
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):	BROOKLANDS CAPITAL STRATEGIES (GP), LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	GENERAL PARTNER
Position Start Date	12/2014
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):	CARROLL, DANIEL ASHTON 1549544
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING PARTNER
Position Start Date	12/2014
Percentage of Ownership	Less than 5%

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Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	DEMAYO, JILL ELLEN 2843305
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	04/2022
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):	EKBERG, JEFFERY DAVID 6499537
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	01/2018
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):	MCMILLAN, PETER HAMIL 1148731

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Firm Profile

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	CEO & MANAGING PARTNER
Position Start Date	09/2015
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

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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):	CARROLL, DANIEL ASHTON 1549544
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	BROOKLANDS CAPITAL STRATEGIES (GP), LLC
Relationship to Direct Owner	MEMBER
Relationship Established	01/2018
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?	No

Legal Name & CRD# (if any):	MCMILLAN, PETER HAMIL 1148731
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	BROOKLANDS CAPITAL STRATEGIES (GP), LLC
Relationship to Direct Owner	MEMBER
Relationship Established	01/2018
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?	No

Legal Name & CRD# (if any):	CARROLL, DANIEL ASHTON

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Firm Profile

Indirect Owners (continued)

	1549544
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	BROOKLANDS CAPITAL STRATEGIES MANAGEMENT, LP
Relationship to Direct Owner	MANAGING PARTNER
Relationship Established	01/2018
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?	No

Legal Name & CRD# (if any):	MCMILLAN, PETER HAMIL
	1148731
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	BROOKLANDS CAPITAL STRATEGIES MANAGEMENT, LP
Relationship to Direct Owner	MANAGING PARTNER
Relationship Established	01/2018
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?	No

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Firm History

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

No information reported.

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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 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	08/30/2016

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	08/30/2016

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/18/2016
Alaska	Approved	09/29/2016
Arizona	Approved	09/16/2016
Arkansas	Approved	09/15/2016
California	Approved	09/13/2016
Colorado	Approved	09/28/2016
Connecticut	Approved	09/19/2016
Delaware	Approved	10/13/2016
District of Columbia	Approved	09/12/2016
Florida	Approved	10/11/2016
Georgia	Approved	09/29/2016
Hawaii	Approved	09/30/2016
Idaho	Approved	09/14/2016
Illinois	Approved	09/30/2016
Indiana	Approved	09/21/2016
Iowa	Approved	09/07/2016
Kansas	Approved	09/30/2016
Kentucky	Approved	09/28/2016
Louisiana	Approved	09/28/2016
Maine	Approved	09/15/2016
Maryland	Approved	09/19/2016
Massachusetts	Approved	10/03/2016
Michigan	Approved	09/20/2016
Minnesota	Approved	11/18/2016
Mississippi	Approved	10/12/2016
Missouri	Approved	10/12/2016
Montana	Approved	09/08/2016
Nebraska	Approved	10/12/2016
Nevada	Approved	10/12/2016
New Hampshire	Approved	09/28/2016
New Jersey	Approved	10/11/2016
New Mexico	Approved	09/15/2016
New York	Approved	09/23/2016
North Carolina	Approved	09/23/2016
North Dakota	Approved	09/13/2016
Ohio	Approved	09/02/2016
Oklahoma	Approved	09/13/2016
Oregon	Approved	09/19/2016
Pennsylvania	Approved	09/20/2016
Rhode Island	Approved	09/28/2016
South Carolina	Approved	09/13/2016
South Dakota	Approved	09/21/2016
Tennessee	Approved	09/20/2016
Texas	Approved	09/09/2016
Utah	Approved	09/15/2016
Vermont	Approved	09/12/2016
Virginia	Approved	09/20/2016
Washington	Approved	09/28/2016
West Virginia	Approved	09/19/2016
Wisconsin	Approved	09/14/2016
Wyoming	Approved	09/30/2016

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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 4 types of businesses.

Types of Business

Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
Private placements of securities
Other - APPLICANT WILL PROVIDE STRATEGIC ADVISORY SERVICES TO INSTITUTIONAL CLIENTS INCLUDING MERGER AND ACQUISITION ADVICE AND ADVICE ON CORPORATE FINANCE STRATEGY. APPLICANT ALSO MAY ACT AS PRINCIPAL PURCHASING PRIVATE SECURITIES IN THE SECONDARY MARKET AND SELLING TO BUYERS, WITH LESS THAN 10 SUCH TRANSACTIONS PER YEAR.

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, 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.

BROOKLANDS CAPITAL STRATEGIES LP is under common control with the firm.

CRD #:	341650
Business Address:	1170 GORGAS AVENUE SAN FRANCISCO, CA 94129
Effective Date:	03/31/2026
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	DANIEL CARROLL AND PETER MCMILLAN ARE CONTROL PERSONS OF BOTH BROOKLANDS CAPITAL STRATEGIES LP AND BROOKLANDS CAPITAL STRATEGIES BD LLC.

INTERACTOR, LLC is under common control with the firm.

Business Address:	12316 4TH HELENA DRIVE LOS ANGELES, CA 90049
Effective Date:	02/01/2025
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	DANIEL CARROLL AND PETER MCMILLAN ARE CONTROL PERSONS OF INTERACTOR, LLC AND BROOKLANDS CAPITAL STRATEGIES BD, LP

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Firm Operations

Organization Affiliates (continued)

PACIFIC BRIDGE INC. is under common control with the firm.

Business Address:	1904, TRADE TOWER 511, YEONGDONG-DAERO, GANGNAM-GU SEOUL, KOREA
Effective Date:	06/18/2018
Foreign Entity:	Yes
Country:	KOREA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	PACIFIC BRIDGE INC. IS OWNED BY RAPID GP LIMITED. RAPID GP LIMITED IS OWNED 1/3 EACH BY MESSRS. MCMILLAN, EKBERG AND CARROLL. MESSRS. MCMILLAN, EKBERG AND CARROLL CONTROL APPLICANT AND CONTROL RAPID GP LIMITED.

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**

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End of Report



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