

BrokerCheck Report

SECURITIZE MARKETS, LLC

CRD# 283256

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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)



SECURITIZE MARKETS, LLC

CRD# 283256

SEC# 8-69743

Main Office Location

78 SW 7TH STREET
SUITE 500
MIAMI, FL 33130
Regulated by FINRA Florida Office

Mailing Address

78 SW 7TH STREET
SUITE 500
MIAMI, FL 33130

Business Telephone Number

6469185012

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 Delaware on 12/10/2015.

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
- 53 U.S. states and territories

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

This firm conducts 3 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 Delaware on 12/10/2015.

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.

SECURITIZE MARKETS, LLC

Doing business as SECURITIZE MARKETS, LLC

CRD# 283256

SEC# 8-69743

Main Office Location

78 SW 7TH STREET
SUITE 500
MIAMI, FL 33130

Regulated by FINRA Florida Office

Mailing Address

78 SW 7TH STREET
SUITE 500
MIAMI, FL 33130

Business Telephone Number

6469185012



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):	SECURITIZE, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	11/2020
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):	BERGIN, MATTHEW 2287471
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL OPERATIONS OFFICER
Position Start Date	02/2026
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):	NIKOLSON, JOSEPH 2831577
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO, CCO
Position Start Date	08/2024

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): SILVESTRO, MICHELE ANN
6960939

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

Position FINOP/PFO

Position Start Date 07/2024

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

No information reported.

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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/28/2016

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	09/28/2016



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	08/02/2017
Alaska	Approved	01/26/2021
Arizona	Approved	03/01/2017
Arkansas	Approved	02/23/2021
California	Approved	10/21/2016
Colorado	Approved	02/06/2017
Connecticut	Approved	02/01/2017
Delaware	Approved	03/23/2017
District of Columbia	Approved	02/21/2017
Florida	Approved	03/07/2017
Georgia	Approved	02/06/2017
Hawaii	Approved	02/19/2021
Idaho	Approved	12/10/2020
Illinois	Approved	01/24/2017
Indiana	Approved	04/12/2017
Iowa	Approved	01/27/2021
Kansas	Approved	02/22/2021
Kentucky	Approved	02/01/2021
Louisiana	Approved	02/06/2017
Maine	Approved	02/25/2021
Maryland	Approved	11/10/2016
Massachusetts	Approved	03/21/2017
Michigan	Approved	03/16/2017
Minnesota	Approved	01/27/2017
Mississippi	Approved	01/26/2021
Missouri	Approved	05/14/2021
Montana	Approved	02/23/2021
Nebraska	Approved	07/12/2017
Nevada	Approved	02/02/2017
New Hampshire	Approved	04/13/2021
New Jersey	Approved	04/10/2017
New Mexico	Approved	03/24/2021
New York	Approved	10/03/2016

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	01/24/2017
North Dakota	Approved	02/19/2021
Ohio	Approved	01/26/2017
Oklahoma	Approved	01/28/2021
Oregon	Approved	03/01/2021
Pennsylvania	Approved	01/11/2017
Puerto Rico	Approved	03/08/2021
Rhode Island	Approved	01/26/2021
South Carolina	Approved	02/10/2017
South Dakota	Approved	04/13/2021
Tennessee	Approved	03/19/2021
Texas	Approved	03/22/2017
Utah	Approved	01/19/2017
Vermont	Approved	02/19/2021
Virgin Islands	Approved	03/10/2021
Virginia	Approved	02/25/2017
Washington	Approved	02/03/2017
West Virginia	Approved	02/25/2021
Wisconsin	Approved	01/24/2017
Wyoming	Approved	03/08/2021



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 3 types of businesses.

Types of Business

Mutual fund retailer

Private placements of securities

Other - PRIVATE PLACEMENT OF SECURITIES, INCLUDING THOSE ISSUED IN DIGITAL FORM, BROKER SELLING WHOLE LOANS AND LOAN PORTFOLIOS COMMISSION-SHARING ARRANGEMENTS WITH UNAFFILIATED BROKER-DEALERS, PURSUANT TO WHICH THE FIRM WILL REFER PROSPECTIVE CUSTOMERS IN RETURN FOR A FINDER'S FEE OR A PERCENTAGE OF THE COMMISSIONS GENERATED AS A RESULT OF SUCH REFERRALS; AND OPERATION OF AN ALTERNATIVE TRADING SYSTEMS ("ATS") FOR SECONDARY TRANSACTIONS IN SECURITIES, INCLUDING THOSE ISSUED IN DIGITAL FORM.

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: SUMSUB
Business Address: 1200 BRICKELL AVE
 SUITE 18
 MIAMI, FL 33131
Effective Date: 05/17/2021
Description: ONLINE VERIFICATION PLATFORM.

Name: EGNYTE
Business Address: 1350 W MIDDLEFIELD RD
 MOUNTAINVIEW, CA 94043
Effective Date: 01/22/2019
Description: STORAGE AND MAINTENANCE OF ELECTRONIC BOOKS AND RECORDS

Name: GLOBAL RELAY
Business Address: 286 MADISON AVENUE, 7TH FLOOR
 NEW YORK, NY 10017
Effective Date: 01/22/2016
Description: EMAIL RETENTION SYSTEM.

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.

SECURITIZE, LLC is under common control with the firm.

Business Address:	100 PINE ST. SUITE 1250 SAN FRANCISCO, CA 94111
Effective Date:	11/27/2020
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	SECURITIZE LLC IS THE FIRM'S AFFILIATED TRANSFER AGENT. THESE ENTITIES ARE AFFILIATED SINCE THEY ARE BOTH UNDER COMMON CONTROL BY SECURITIZE, INC., PARENT COMPANY. SECURITIZE MARKETS WAS ACQUIRED BY SECURITIZE INC. ON 11/27/2020.

SECURITIZE CAPITAL LLC is under common control with the firm.

CRD #:	315859
Business Address:	78 SW 7TH ST SUITE 500 MIAMI, FL 33130
Effective Date:	11/16/2020
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: SECURITIZE CAPITAL, LLC IS THE FIRM'S AFFILIATED EXEMPT REPORTING ADVISOR; BOTH ENTITIES ARE AFFILIATED SINCE BOTH ARE WHOLLY OWNED SUBSIDIARIES OF SECURITIZE INC, THE PARENT COMPANY.

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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