

BrokerCheck Report

RIALTO MARKETS LLC

CRD# 283477

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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)

RIALTO MARKETS LLC

CRD# 283477

SEC# 8-69756

Main Office Location

42 BROADWAY
 SUITE 12-129
 NEW YORK, NY 10004
 Regulated by FINRA New York Office

Mailing Address

42 BROADWAY
 SUITE 12-129
 NEW YORK, NY 10004

Business Telephone Number

9175752601

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 08/05/2016.

Its fiscal year ends in June.

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
- 52 U.S. states and territories

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

This firm conducts 6 types of businesses.

This firm is not affiliated with any 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 08/05/2016.

Its fiscal year ends in June.

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.

RIALTO MARKETS LLC

Doing business as RIALTO MARKETS LLC

CRD# 283477

SEC# 8-69756

Main Office Location

42 BROADWAY
SUITE 12-129
NEW YORK, NY 10004

Regulated by FINRA New York Office

Mailing Address

42 BROADWAY
SUITE 12-129
NEW YORK, NY 10004

Business Telephone Number

9175752601



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):	RIALTO TRADING HOLDINGS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	DIRECT PARENT
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):	CABOY, JAMES VINCENT JR. 2919284
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	05/2019
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):	NOONAN, SHARI NICOLE 2463810
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	07/2016

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): STUPAY, MICHAEL ELLIOT
2287906

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

Position FINOP

Position Start Date 02/2016

Percentage of Ownership Less than 5%

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

Is this a public reporting company?



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	NOONAN, SHARI NICOLE 2463810
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	RIALTO TRADING HOLDINGS LLC
Relationship to Direct Owner	OWNER
Relationship Established	08/2016
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

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 52 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/10/2017

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	05/10/2017



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective	U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/29/2018	North Carolina	Approved	08/23/2018
Alaska	Approved	10/04/2018	North Dakota	Approved	10/22/2018
Arizona	Approved	09/28/2018	Ohio	Approved	10/05/2018
Arkansas	Approved	10/24/2018	Oklahoma	Approved	08/23/2018
California	Approved	08/29/2017	Oregon	Approved	10/24/2018
Colorado	Approved	09/11/2018	Pennsylvania	Approved	08/27/2018
Connecticut	Approved	10/18/2018	Puerto Rico	Approved	11/18/2020
Delaware	Approved	08/28/2018	Rhode Island	Approved	08/24/2018
District of Columbia	Approved	10/10/2018	South Carolina	Approved	10/04/2018
Florida	Approved	10/02/2018	South Dakota	Approved	08/23/2018
Georgia	Approved	11/15/2018	Tennessee	Approved	10/08/2018
Hawaii	Approved	10/08/2018	Texas	Approved	11/20/2018
Idaho	Approved	08/16/2018	Utah	Approved	08/21/2018
Illinois	Approved	09/13/2017	Vermont	Approved	10/17/2018
Indiana	Approved	10/16/2018	Virginia	Approved	10/26/2018
Iowa	Approved	08/16/2018	Washington	Approved	10/30/2018
Kansas	Approved	10/30/2018	West Virginia	Approved	10/19/2018
Kentucky	Approved	08/15/2018	Wisconsin	Approved	10/05/2018
Louisiana	Approved	08/20/2018	Wyoming	Approved	10/22/2018
Maine	Approved	10/18/2018			
Maryland	Approved	11/19/2018			
Massachusetts	Approved	09/01/2017			
Michigan	Approved	10/22/2018			
Minnesota	Approved	10/05/2018			
Mississippi	Approved	08/15/2018			
Missouri	Approved	11/15/2018			
Montana	Approved	10/16/2018			
Nebraska	Approved	10/25/2018			
Nevada	Approved	11/05/2018			
New Hampshire	Approved	02/21/2019			
New Jersey	Approved	10/24/2018			
New Mexico	Approved	11/09/2018			
New York	Approved	07/10/2017			



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 6 types of businesses.

Types of Business

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

Broker or dealer selling corporate debt securities

U S. government securities broker

Municipal securities broker

Private placements of securities

Other - (1) OPERATE AN ATS FOR MATCHING ORDERS IN EQUITY & DEBT SECURITIES ISSUED THROUGH PRIVATE PLACEMENTS, INCLUDING THOSE ISSUED DIGITALLY (2) ASSIST ISSUERS WITH CAPITAL RAISES THROUGH PRIVATE PLACEMENT OFFERINGS (REG A, REG D, REG CF) (3) BUSINESS ADVISORY SERVICES SUCH AS M&A, DEBT & EQUITY FINANCING, LEVERAGED BUY-OUTS & DISTRESSED CORPORATE ADVISORY (4) REFER BD'S, HEDGE FUNDS & INVESTORS TO UNAFFILIATED BD'S FOR ORDER EXECUTION & SETTLEMENT RECEIVING COMPENSATION AS REFERRAL, FINDERS OR SIMILAR FEES

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 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 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 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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