BrokerCheck Report

EC SECURITIES LLC

CRD# 287845

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.

EC SECURITIES LLC

CRD# 287845

SEC# 8-69913

Main Office Location

40 EXCHANGE PLACE
SUITE 402
NEW YORK, NY 10005
Regulated by FINRA New York Office

Mailing Address

40 EXCHANGE PLACE
SUITE 402
NEW YORK, NY 10005

Business Telephone Number

415 209-5123

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 California on 01/23/2017.

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 2 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 California on 01/23/2017.

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.

EC SECURITIES, LLC

Doing business as EC SECURITIES LLC

CRD# 287845

SEC# 8-69913

Main Office Location

40 EXCHANGE PLACE
SUITE 402
NEW YORK, NY 10005

Regulated by FINRA New York Office

Mailing Address

40 EXCHANGE PLACE
SUITE 402
NEW YORK, NY 10005

Business Telephone Number

415 209-5123

Other Names of this Firm

Name	Where is it used
ANGELLIST SECURITIES	AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX,

	UT, VA, VI, VT, WA, WI, WV, WY

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):	AL ADVISORS MANAGEMENT, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT COMPANY
Position Start Date	12/2021
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):	AVNET, MITCHELL STEVEN 2267190
Is this a domestic or foreign entity or an individual?	Individual
Position	SUPERVISORY PRINICPAL
Position Start Date	07/2023
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):	MATISOFF, KIMBERLY DORMAN 5982741
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER/CHIEF COMPLIANCE OFFICER
Position Start Date	07/2023

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):	MEYERS, CHRISTOPHER M JR 6122487
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL FINANCIAL OFFICER / FINOP
Position Start Date	08/2023
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

Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	AL VENTURE LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AL ADVISORS MANAGEMENT, INC.
Relationship to Direct Owner	MEMBER
Relationship Established	12/2021
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):	CHARLIE TANGO ROMEO HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AL VENTURE LLC
Relationship to Direct Owner	MEMBER
Relationship Established	12/2021
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, 1 SRO and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	07/06/2017

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: 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	07/06/2017

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/29/2019
Alaska	Approved	03/27/2018
Arizona	Approved	01/31/2019
Arkansas	Approved	03/18/2019
California	Approved	07/12/2017
Colorado	Approved	12/20/2018
Connecticut	Approved	01/07/2019
Delaware	Approved	01/15/2019
District of Columbia	Approved	03/25/2019
Florida	Approved	02/13/2019
Georgia	Approved	03/15/2019
Hawaii	Approved	01/30/2019
Idaho	Approved	12/12/2018
Illinois	Approved	03/05/2019
Indiana	Approved	08/09/2019
Iowa	Approved	12/12/2018
Kansas	Approved	04/02/2019
Kentucky	Approved	12/17/2018
Louisiana	Approved	12/17/2018
Maine	Approved	02/11/2019
Maryland	Approved	01/16/2018
Massachusetts	Approved	05/21/2019
Michigan	Approved	03/13/2019
Minnesota	Approved	01/18/2019
Mississippi	Approved	01/04/2019
Missouri	Approved	04/26/2019
Montana	Approved	01/02/2019
Nebraska	Approved	04/04/2019
Nevada	Approved	04/26/2019
New Hampshire	Approved	04/02/2019
New Jersey	Approved	04/12/2019
New Mexico	Approved	12/11/2018
New York	Approved	12/17/2018

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	12/19/2018
North Dakota	Approved	03/01/2019
Ohio	Approved	03/12/2019
Oklahoma	Approved	12/13/2018
Oregon	Approved	03/01/2019
Pennsylvania	Approved	02/25/2019
Puerto Rico	Approved	03/14/2019
Rhode Island	Approved	12/17/2018
South Carolina	Approved	03/06/2019
South Dakota	Approved	12/12/2018
Tennessee	Approved	02/04/2019
Texas	Approved	03/28/2019
Utah	Approved	01/07/2019
Vermont	Approved	02/26/2019
Virgin Islands	Approved	05/20/2019
Virginia	Approved	03/21/2018
Washington	Approved	03/19/2019
West Virginia	Approved	02/22/2019
Wisconsin	Approved	04/03/2019
Wyoming	Approved	03/11/2019

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 2 types of businesses.

Types of Business

Private placements of securities
Other - MERGERS & ACQUISITION SERVICES. PLACEMENT AGENT FOR THE PRIVATE OFFERINGS OF SECURITIES, INCLUDING OFFERINGS OF CERTAIN DIGITAL SECURITIES WHERE THE ISSUER (OR ITS TRANSFER AGENT) HAS CONTROL OVER THE DEFINITIVE RECORD OF OWNERSHIP (WHICH MAY BE ON A DISTRIBUTED LEDGER OR HAVE A DISTRIBUTED LEDGER ASSOCIATED WITH IT) THAT ALLOWS IT TO ENFORCE TRANSFER RESTRICTIONS, CORRECT ERRORS AND (TO THE EXTENT RELEVANT) ADDRESS LOST OR STOLEN TOKENS OR KEYS.

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:	MYCOMPLIANCEOFFICE
Business Address:	535 FIFTH AVENUE - 4TH FLOOR NEW YORK, NY 10017
Effective Date:	03/31/2022
Description:	ARCHIVING SERVICES FOR EMPLOYEE PERSONAL TRADING AND COMPLIANCE REQUIREMENTS
Name:	GLOBAL RELAY
Business Address:	220 CAMBIE STREET 2ND FLOOR VANCOUVER, CANADA V6B 2M9
Effective Date:	04/15/2022
Description:	ARCHIVING SERVICES FOR ELECTRONIC COMMUNICATIONS
Name:	17A-4, LLC
Business Address:	PO BOX 1492 MILLBROOK, NY 12545
Effective Date:	04/15/2022
Description:	SERVICE ADDED TO MAKE BOX.COM AND AWS WORM COMPLAINT

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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