

BrokerCheck Report

GLMX TECHNOLOGIES, LLC

CRD# 289301

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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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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)



GLMX TECHNOLOGIES, LLC

CRD# 289301

SEC# 8-69987

Main Office Location

666 3RD AVENUE, 32ND FL
NEW YORK, NY 10017
Regulated by FINRA New York Office

Mailing Address

666 3RD AVENUE, 32ND FL
NEW YORK, NY 10017

Business Telephone Number

929-445-6900

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 06/01/2017.

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
- 1 U.S. state or territory

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

This firm conducts 1 type of business.

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 06/01/2017.

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.

GLMX TECHNOLOGIES, LLC

Doing business as GLMX TECHNOLOGIES, LLC

CRD# 289301

SEC# 8-69987

Main Office Location

666 3RD AVENUE, 32ND FL
NEW YORK, NY 10017

Regulated by FINRA New York Office

Mailing Address

666 3RD AVENUE, 32ND FL
NEW YORK, NY 10017

Business Telephone Number

929-445-6900



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):	GLOBAL LIQUID MARKETS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MANAGING MEMBER
Position Start Date	06/2017
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):	CARROLL, LAUREN D 5459835
Is this a domestic or foreign entity or an individual?	Individual
Position	CAO, GENERAL COUNSEL
Position Start Date	02/2022
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):	GRAY, BRYAN HARRISON 6535190
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	04/2025

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): HAVLICEK, GLENN STEWART
1798717

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

Position CEO & CLO

Position Start Date 06/2017

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): LAHOUD, MICHAEL
6620329

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

Position PRINCIPAL OPERATIONS OFFICER (POO)/ CFO/ FINOP/PFO

Position Start Date 07/2019

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



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	PASQUESI, JOHN MURRAY 1930268
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	OTTER CAPITAL LLC
Relationship to Direct Owner	SOLE OWNER
Relationship Established	01/2001
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
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Legal Name & CRD# (if any):	OTTER CAPITAL PARTNERS, L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	GLOBAL LIQUID MARKETS, LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	04/2010
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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Legal Name & CRD# (if any):	TIPPET VENTURE PARTNERS, LP
Is this a domestic or foreign	Domestic Entity



Firm Profile

Indirect Owners (continued)

entity or an individual?

Company through which indirect ownership is established GLOBAL LIQUID MARKETS, LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 05/2021

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): HAVLICEK, GLENN STEWART
1798717

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

Company through which indirect ownership is established GLOBAL LIQUID MARKETS, LLC

Relationship to Direct Owner MANAGER/CEO

Relationship Established 04/2010

Percentage of Ownership Other General Partners

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

Is this a public reporting company? No

Legal Name & CRD# (if any): OTTER CAPITAL LLC

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

Company through which indirect ownership is established OTTER CAPITAL PARTNERS, L.P.



Firm Profile

Indirect Owners (continued)

Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	01/2001
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	PASQUESI, JOHN MURRAY 1930268
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	GLOBAL LIQUID MARKETS, LLC
Relationship to Direct Owner	MANAGER
Relationship Established	04/2010
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SHEEHAN, ANDREW TAFT 1391073
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	GLOBAL LIQUID MARKETS, LLC
Relationship to Direct Owner	MANAGER
Relationship Established	04/2010

Firm Profile**Indirect Owners (continued)**

Percentage of Ownership Other General Partners

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

Is this a public reporting company? No

Legal Name & CRD# (if any): TIPPET VENTURE PARTNERS (GP), LLC
173543

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

Company through which indirect ownership is established TIPPET VENTURE PARTNERS LP

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 05/2021

Percentage of Ownership Other General Partners

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 1 U.S state or territory.

Federal Regulator	Status	Date Effective
SEC	Approved	04/16/2018

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	04/16/2018

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
New York	Approved	04/18/2018

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 1 type of business.

Types of Business

Other - THE FIRM WILL ENGAGE IN THE OPERATION OF AN ALTERNATIVE TRADING SYSTEM ("ATS") FOR THE FOLLOWING PRODUCTS: NEGOTIATION OF SECURITIES FINANCING TRANSACTIONS, AND DIRECT TRANSACTIONS IN COMMERCIAL PAPER, MONEY MARKET MUTUAL FUNDS, U.S. TREASURIES, U.S. AGENCIES, FOREIGN SOVEREIGN, SUB SOVEREIGN, AND SUPRA NATIONAL DEBT, TENDER OPTION BONDS, AND TOTAL RETURN SWAPS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: THE PLATFORM WILL ALLOW INSTITUTIONAL SUBSCRIBERS TO NEGOTIATE THE TERMS OF CERTIFICATES OF DEPOSIT AND TIME DEPOSITS. THESE ARE UNSECURED LENDING AGREEMENTS, I.E., UNSECURED LOANS, BETWEEN THE PARTIES.

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: SMARSH, INC.
Business Address: 851 SW 6TH AVE
 STE 800
 PORTLAND, OR 97204
Effective Date: 07/13/2017
Description: SMARSH WILL CAPTURE AND ARCHIVE ELECTRONIC MESSAGES AND OTHER CONTENT TYPES ON BEHALF OF THE CLIENT.

Name: COMPLIANCE SCIENCE, INC. ("COMPLYSCI")
Business Address: 136 MADISON AVENUE, 8TH FLOOR
 NEW YORK, NY 10016
Effective Date: 05/19/2022
Description: COMPLIANCE SCIENCE, INC. ("COMPLYSCI") WILL RECEIVE, STORE, AND ARCHIVE PERSONAL TRADING-RELATED DATA FOR THE APPLICANT.

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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