

## BrokerCheck Report

# ROBERTSON STEPHENS CAPITAL MARKETS, LLC

CRD# 290635

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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.

• **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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).



## ROBERTSON STEPHENS CAPITAL MARKETS, LLC

CRD# 290635

SEC# 8-70034

### Main Office Location

455 MARKET STREET  
STE. 1450  
SAN FRANCISCO, CA 94105-2442  
Regulated by FINRA San Francisco Office

### Mailing Address

455 MARKET STREET  
STE. 1450  
SAN FRANCISCO, CA 94105-2442

### Business Telephone Number

(415) 500-6810

## 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 08/31/2017.

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
- 8 U.S. states and territories

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

This firm conducts 10 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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 08/31/2017.

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.

### **ROBERTSON STEPHENS CAPITAL MARKETS, LLC**

**Doing business as ROBERTSON STEPHENS CAPITAL MARKETS, LLC**

**CRD#** 290635

**SEC#** 8-70034

### **Main Office Location**

455 MARKET STREET  
STE. 1450  
SAN FRANCISCO, CA 94105-2442

**Regulated by FINRA San Francisco Office**

### **Mailing Address**

455 MARKET STREET  
STE. 1450  
SAN FRANCISCO, CA 94105-2442

### **Business Telephone Number**

(415) 500-6810



## 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):** ROBERTSON STEPHENS HOLDINGS, LLC

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

**Position** MANAGING MEMBER

**Position Start Date** 08/2017

**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

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**Legal Name & CRD# (if any):** CURLEY, MICHAEL JAMES

2197705

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

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 06/2018

**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

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**Legal Name & CRD# (if any):** MURRAY, JOHN GEORGE

1236207

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

**Position** PRESIDENT

**Position Start Date** 06/2019

## 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

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**Legal Name & CRD# (if any):** WESTBROOK, DAVID  
5502571

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

**Position** CHIEF FINANCIAL OFFICER

**Position Start Date** 05/2018

**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

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**Legal Name & CRD# (if any):** YATES, EUGENE ALAN  
2851324

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

**Position** FINOP

**Position Start Date** 11/2018

**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

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## Firm Profile

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

### Indirect Owners

<b>Legal Name &amp; CRD# (if any):</b>	BHANDARI, GAURAV 2441918
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	LONG ARC CAPITAL GP LLC
<b>Relationship to Direct Owner</b>	MANAGER & SOLE MEMBER
<b>Relationship Established</b>	04/2016
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	LAC HOLDINGS (CARRYCO), LP
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	LAC RS MANAGER, LLC
<b>Relationship to Direct Owner</b>	SOLE MEMBER
<b>Relationship Established</b>	08/2019
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	LAC PARTNERS (CARRYCO), LP
<b>Is this a domestic or foreign</b>	Domestic Entity



## Firm Profile

### Indirect Owners (continued)

entity or an individual?

**Company through which indirect ownership is established** LAC HOLDINGS (CARRYCO), LP

**Relationship to Direct Owner** MEMBER

**Relationship Established** 08/2019

**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):** BHANDARI, GAURAV  
2441918

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

**Company through which indirect ownership is established** LAC PARTNERS (CARRYCO), LP

**Relationship to Direct Owner** MEMBER

**Relationship Established** 08/2019

**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

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**Legal Name & CRD# (if any):** LAC INV - RS LLC

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

**Company through which indirect ownership is established** ROBERTSON STEPHENS HOLDINGS, LLC

## Firm Profile



### Indirect Owners (continued)

<b>Relationship to Direct Owner</b>	UNIT HOLDER
<b>Relationship Established</b>	08/2017
<b>Percentage of Ownership</b>	50% but less than 75%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	BHANDARI, GAURAV 2441918
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	LAC RS MANAGER, LLC
<b>Relationship to Direct Owner</b>	MANAGER
<b>Relationship Established</b>	08/2017
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	LAC RS MANAGER, LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	LAC INV - RS LLC
<b>Relationship to Direct Owner</b>	SOLE MANAGER
<b>Relationship Established</b>	08/2017
<b>Percentage of Ownership</b>	Other General Partners

## Firm Profile



### Indirect Owners (continued)

**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):** LONG ARC CAPITAL GP LLC

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

**Company through which indirect ownership is established** LAC PARTNERS (CARRYCO), LP

**Relationship to Direct Owner** GENERAL PARTNER

**Relationship Established** 08/2019

**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

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**Legal Name & CRD# (if any):** LONG ARC CAPITAL GP LLC

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

**Company through which indirect ownership is established** LAC HOLDINGS (CARRYCO), LP

**Relationship to Direct Owner** GENERAL PARTNER

**Relationship Established** 08/2019

**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 Profile



### Indirect Owners (continued)

<b>Legal Name &amp; CRD# (if any):</b>	WHAMOND, WILLIAM TOBIN 1697228
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	LAC INV - RS LLC
<b>Relationship to Direct Owner</b>	PRESIDENT
<b>Relationship Established</b>	06/2017
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	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.





## 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 8 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	07/17/2019

### 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	07/17/2019

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	08/30/2019
Connecticut	Approved	03/07/2024
Idaho	Approved	09/03/2019
New York	Approved	09/13/2019
Rhode Island	Approved	10/06/2025
Texas	Approved	01/19/2022
Washington	Approved	07/06/2020
Wyoming	Approved	02/09/2024



## 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 10 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Private placements of securities
Broker or dealer involved in a networking, kiosk or similar arrangement with a: insurance company or agency
Other - MERGERS AND ACQUISITIONS

#### 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 refer or introduce customers to other brokers and dealers.

**Name:** UHLMANN PRICE SECURITIES, LLC  
**CRD #:** 42854  
**Business Address:** 5202 OLD ORCHARD ROAD  
SUITE 250  
SKOKIE, IL 60077  
**Effective Date:** 10/22/2024  
**Description:** CLIENT REFERRAL AGREEMENT

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**Name:** RBC CAPITAL MARKETS, LLC  
**CRD #:** 31194  
**Business Address:** 250 NICOLLET MALL  
SUITE 1700  
MINNEAPOLIS, MN 55401  
**Effective Date:** 11/01/2018  
**Description:** CLEARING ARRANGEMENT

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## Firm Operations

### Industry Arrangements



#### This firm does have books or records maintained by a third party.

**Name:** MICROSOFT SHAREPOINT

**Business Address:** ONE MICROSOFT WAY  
REDMOND, WA 98052

**Effective Date:** 12/01/2023

**Description:** OFFICE 365 SHAREPOINT IS A SECURE CLOUD PROVIDER WHERE ROBERTSON STEPHENS HOLDS CLIENT DOCUMENTS AND FILES.

**Name:** GLOBAL RELAY

**Business Address:** 220 CAMBIE ST  
2ND FLOOR  
VANCOUVER, BRITISH COLUMBIA, CANADA V6B 2M9

**Effective Date:** 11/01/2018

**Description:** ELECTRONIC COMMUNICATIONS (E.G., EMAIL AND SOCIAL MEDIA)

#### This firm does have accounts, funds, or securities maintained by a third party.

**Name:** RBC CAPITAL MARKETS, LLC

**CRD #:** 31194

**Business Address:** 250 NICOLLET MALL  
SUITE 1700  
MINNEAPOLIS, MN 55401

**Effective Date:** 11/01/2018

**Description:** HOLDS CLEARING DEPOSIT

#### This firm does have customer accounts, funds, or securities maintained by a third party.

**Name:** VP DISTRIBUTORS LLC

**CRD #:** 3036

**Business Address:** ONE FINANCIAL PLAZA  
HARTFORD, CT 06103

**Effective Date:** 06/30/2022

**Description:** CUSTODIAN OF 529 PLANS

**Name:** FIDELITY DISTRIBUTORS COMPANY LLC

**CRD #:** 17507

## Firm Operations



### Industry Arrangements (continued)

**Business Address:** 900 SALEM STREET  
SMITHFIELD, RI 02917

**Effective Date:** 07/22/2020

**Description:** CUSTODIAN FOR 529 PLANS

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#### 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.**

**415 INSURANCE SOLUTIONS, LLC is under common control with the firm.**

<b>Business Address:</b>	455 MARKET STREET SUITE 1450 SAN FRANCISCO, CA 94105-2442
<b>Effective Date:</b>	02/15/2024
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	BOTH ENTITIES ARE COMMONLY OWNED BY ROBERTSON STEPHENS HOLDINGS, LLC. 415 INSURANCE SOLUTIONS, LLC IS NOT A BROKER-DEALER BUT ENGAGES IN SECURITIES ACTIVITIES THROUGH ITS NETWORKING ARRANGEMENT WITH ROBERTSON STEPHENS CAPITAL MARKETS, LLC.

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**LONG ARC CAPITAL (UK) LLP is under common control with the firm.**

<b>Business Address:</b>	84 BROOK STREET LONDON, UNITED KINGDOM W1K 5EH
<b>Effective Date:</b>	04/17/2019
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	UNITED KINGDOM
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	LONG ARC CAPITAL (UK) LLP AND ROBERTSON STEPHENS CAPITAL

## Firm Operations



### Organization Affiliates (continued)

MARKETS, LLC ("RSCM") ARE UNDER THE COMMON CONTROL OF MR. GAURAV BHANDARI. MR. BHANDARI INDIRECTLY CONTROLS BOTH LONG ARC CAPITAL (UK) LLP AND RSCM.

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#### LONG ARC CAPITAL LP is under common control with the firm.

<b>CRD #:</b>	290245
<b>Business Address:</b>	250 W 55TH STREET 25TH FLOOR NEW YORK, NY 10019
<b>Effective Date:</b>	04/17/2019
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	LONG ARC CAPITAL LP ("LAC") AND ROBERTSON STEPHENS CAPITAL MARKETS, LLC ("RSCM") ARE UNDER THE COMMON CONTROL OF MR. GAURAV BHANDARI. MR. BHANDARI INDIRECTLY CONTROLS BOTH LAC AND RSCM.

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#### ROBERTSON STEPHENS is under common control with the firm.

<b>CRD #:</b>	289977
<b>Business Address:</b>	455 MARKET STREET STE. 1450 SAN FRANCISCO, CA 94105-2442
<b>Effective Date:</b>	08/31/2017
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BOTH ENTITIES ARE COMMONLY OWNED BY ROBERTSON STEPHENS HOLDINGS, LLC

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## Firm Operations



### Organization Affiliates (continued)

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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