

BrokerCheck Report

STARTENGINE PRIMARY LLC

CRD# 291773

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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)



STARTENGINE PRIMARY LLC

CRD# 291773

SEC# 8-70060

Main Office Location

4100 W ALAMEDA AVENUE
3RD FLOOR
BURBANK, CA 91505
Regulated by FINRA Los Angeles Office

Mailing Address

4100 W ALAMEDA AVENUE
3RD FLOOR
BURBANK, CA 91505

Business Telephone Number

800-469-5785

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 10/12/2017.

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
- 51 U.S. states and territories

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

This firm conducts 5 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 10/12/2017.

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.

STARTENGINE PRIMARY LLC

Doing business as STARTENGINE PRIMARY LLC

CRD# 291773

SEC# 8-70060

Main Office Location

4100 W ALAMEDA AVENUE
3RD FLOOR
BURBANK, CA 91505

Regulated by FINRA Los Angeles Office

Mailing Address

4100 W ALAMEDA AVENUE
3RD FLOOR
BURBANK, CA 91505

Business Telephone Number

800-469-5785



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): STARTENGINE CROWDFUNDING INC.

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

Position SOLE SHAREHOLDER

Position Start Date 11/2017

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): MARKS, HOWARD EDWARD

6617096

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

Position CEO

Position Start Date 11/2017

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): REYES, JONATHAN ALEXANDER

6654501

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

Position CCO

Position Start Date 12/2020

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):	STRASSMAN, HUNTER DALLAS 6867203
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	10/2022
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

Legal Name & CRD# (if any):	HOWARD E. MARKS LIVING TRUST U/A DTD 12/21/2001
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	STARTENGING CROWDFUNDING INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	12/2001
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

Legal Name & CRD# (if any):	MARKS, HOWARD EDWARD 6617096
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	HOWARD E. MARKS LIVING TRUST
Relationship to Direct Owner	TRUSTEE
Relationship Established	12/2001
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

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 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	06/10/2019

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: 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	06/10/2019



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	08/01/2019
Alaska	Approved	07/17/2019
Arizona	Approved	07/22/2019
Arkansas	Approved	07/26/2019
California	Approved	06/19/2019
Colorado	Approved	07/16/2019
Connecticut	Approved	07/11/2019
Delaware	Approved	08/01/2019
District of Columbia	Approved	07/23/2019
Florida	Approved	08/09/2019
Georgia	Approved	08/19/2019
Hawaii	Approved	08/09/2019
Idaho	Approved	06/19/2019
Illinois	Approved	09/06/2019
Indiana	Approved	09/11/2019
Iowa	Approved	06/20/2019
Kansas	Approved	08/28/2019
Kentucky	Approved	06/27/2019
Louisiana	Approved	06/24/2019
Maine	Approved	08/23/2019
Maryland	Approved	08/07/2019
Massachusetts	Approved	08/14/2019
Michigan	Approved	07/29/2019
Minnesota	Approved	08/21/2019
Mississippi	Approved	06/19/2019
Missouri	Approved	08/23/2019
Montana	Approved	07/02/2019
Nebraska	Approved	08/20/2019
Nevada	Approved	07/30/2019
New Hampshire	Approved	09/19/2019
New Jersey	Approved	08/22/2019
New Mexico	Approved	08/12/2019
New York	Approved	07/09/2019

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	07/03/2019
North Dakota	Approved	08/19/2019
Ohio	Approved	07/02/2019
Oklahoma	Approved	06/26/2019
Oregon	Approved	07/23/2019
Pennsylvania	Approved	06/24/2019
Rhode Island	Approved	07/02/2019
South Carolina	Approved	07/29/2019
South Dakota	Approved	07/17/2019
Tennessee	Approved	08/08/2019
Texas	Approved	08/02/2019
Utah	Approved	07/08/2019
Vermont	Approved	08/14/2019
Virginia	Approved	08/02/2019
Washington	Approved	06/27/2019
West Virginia	Approved	08/26/2019
Wisconsin	Approved	08/14/2019
Wyoming	Approved	08/20/2019



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 5 types of businesses.

Types of Business

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

Broker or dealer selling corporate debt securities

Underwriter or selling group participant (corporate securities other than mutual funds)

Private placements of securities

Other - ATS REGISTRATION FOR SECONDARY MARKET TRADING OF SECURITIES ISSUED PURSUANT TO REGULATIONS A, D AND CROWDFUNDING.

REFERRAL BUSINESS OF INTRODUCING HEDGE FUNDS, PRIVATE EQUITY FUNDS AND INVESTORS TO UNAFFILIATED BROKER-DEALERS FOR ORDER EXECUTION AND SETTLEMENT FOR WHICH FIRM WILL RECEIVE COMPENSATION IN THE FORM OF 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 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, 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.**

STARTENGINE COLLECTIBLES FUND I LLC is under common control with the firm.

Business Address:	4100 W. ALAMEDA AVENUE 3RD FLOOR BURBANK, CA 90403
Effective Date:	05/18/2020
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	STARTENGINE COLLECTIBLES FUND I LLC IS A SERIES LIMITED LIABILITY COMPANY WHOSE MANGER IS STARTENGINE ASSETS LLC. STARTENGINE ASSETS LLC AND STARTENGINE PRIMARY LLC (APPLICANT) ARE UNDER COMMON CONTROL OF STARTENGINE CROWDFUNDING, INC. (PARENT COMPANY).

STARTENGINE ASSETS LLC is under common control with the firm.

Business Address:	4100 W. ALAMEDA AVENUE 3RD FLOOR BURBANK, CA 91505
Effective Date:	05/18/2020
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No

Firm Operations



Organization Affiliates (continued)

Description: STARTENGINE ASSETS LLC AND STARTENGINE PRIMARY LLC (APPLICANT) ARE UNDER COMMON CONTROL OF STARTENGINE CROWDFUNDING, INC. (PARENT COMPANY).

STARTENGINE SECURE LLC is under common control with the firm.

Business Address: 4100 W ALAMEDA AVENUE
3RD FLOOR
BURBANK, CA 91505

Effective Date: 10/01/2022

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: STARTENGINE SECURE LLC IS A REGISTERED TRANSFER AGENT WITH THE SECURITIES AND EXCHANGE COMMISSION. STARTENGINE SECURE LLC AND STARTENGINE PRIMARY LLC (APPLICANT) ARE UNDER COMMON CONTROL OF STARTENGINE CROWDFUNDING, INC. (PARENT COMPANY).

STARTENGINE CAPITAL LLC is under common control with the firm.

Business Address: 4100 W ALAMEDA AVENUE
3RD FLOOR
BURBANK, CA 91505

Effective Date: 10/01/2022

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: STARTENGINE CAPITAL LLC IS A REGISTERED CROWDFUNDING PORTAL WITH THE SEC AND FINRA MEMBER (SEC FILE NO.: 7-7). STARTENGINE CAPITAL LLC AND STARTENGINE PRIMARY LLC (APPLICANT) ARE UNDER COMMON CONTROL OF STARTENGINE CROWDFUNDING, INC. (PARENT COMPANY).

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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