

BrokerCheck Report

EASTDIL SECURED ADVISORS LLC

CRD# 304434

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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



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.



EASTDIL SECURED ADVISORS LLC

CRD# 304434

SEC# 8-70367

Main Office Location

100 WILSHIRE BLVD
SUITE 1500
SANTA MONICA, CA 90401
Regulated by FINRA Los Angeles Office

Mailing Address

100 WILSHIRE BLVD
SUITE 1500
SANTA MONICA, CA 90401

Business Telephone Number

310-526-9000

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 05/23/2019.

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 3 types of businesses.

This firm is not affiliated with any 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 05/23/2019.

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.

EASTDIL SECURED ADVISORS LLC

Doing business as EASTDIL SECURED ADVISORS LLC

CRD# 304434

SEC# 8-70367

Main Office Location

100 WILSHIRE BLVD
SUITE 1500
SANTA MONICA, CA 90401

Regulated by FINRA Los Angeles Office

Mailing Address

100 WILSHIRE BLVD
SUITE 1500
SANTA MONICA, CA 90401

Business Telephone Number

310-526-9000



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):	EASTDIL SECURED ADVISORS HOLDINGS LTD.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Position	SOLE MEMBER
Position Start Date	07/2019
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

Legal Name & CRD# (if any):	BONINA, CAROLE ANGELA 2993602
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO/PRINCIPAL
Position Start Date	09/2019
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):	PORTNOFF, DAVID ROSS 2977967
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP/PFO/POO
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? No

Is this a public reporting company? No

Legal Name & CRD# (if any): VAN KONYNENBURG, DERK MICHAEL
1487741

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

Position PRESIDENT/PRINCIPAL

Position Start Date 10/2019

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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	ES EI LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	EASTDIL SECURED ADVISORS HOLDINGS LTD.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	10/2019
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

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	10/01/2019

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	10/01/2019



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	11/18/2019
Alaska	Approved	01/30/2020
Arizona	Approved	01/01/2020
Arkansas	Approved	01/23/2020
California	Approved	10/01/2019
Colorado	Approved	10/31/2019
Connecticut	Approved	01/23/2020
Delaware	Approved	10/11/2019
District of Columbia	Approved	10/02/2019
Florida	Approved	03/18/2020
Georgia	Approved	09/07/2020
Hawaii	Approved	02/05/2020
Idaho	Approved	10/02/2019
Illinois	Approved	03/10/2020
Indiana	Approved	01/10/2020
Iowa	Approved	10/02/2019
Kansas	Approved	11/26/2019
Kentucky	Approved	10/07/2019
Louisiana	Approved	10/07/2019
Maine	Approved	10/24/2019
Maryland	Approved	10/18/2019
Massachusetts	Approved	02/07/2020
Michigan	Approved	11/05/2019
Minnesota	Approved	12/03/2019
Mississippi	Approved	10/01/2019
Missouri	Approved	02/11/2020
Montana	Approved	11/21/2019
Nebraska	Approved	02/03/2020
Nevada	Approved	10/03/2019
New Hampshire	Approved	01/23/2020
New Jersey	Approved	01/22/2020
New Mexico	Approved	11/14/2019
New York	Approved	10/03/2019

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	10/18/2019
North Dakota	Approved	10/16/2019
Ohio	Approved	10/15/2019
Oklahoma	Approved	10/04/2019
Oregon	Approved	10/24/2019
Pennsylvania	Approved	10/07/2019
Rhode Island	Approved	10/07/2019
South Carolina	Approved	11/20/2019
South Dakota	Approved	10/02/2019
Tennessee	Approved	11/10/2020
Texas	Approved	12/20/2019
Utah	Approved	10/03/2019
Vermont	Approved	10/29/2019
Virginia	Approved	01/28/2020
Washington	Approved	10/14/2019
West Virginia	Approved	01/16/2020
Wisconsin	Approved	10/21/2019
Wyoming	Approved	02/18/2020



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 3 types of businesses.

Types of Business

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

Private placements of securities

Other - MERGERS AND ACQUISITIONS ADVISORY SERVICES. SALES OF REAL-ESTATE-RELATED COMPANIES/ENTITIES.

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:	RBC CAPITAL MARKETS, LLC
CRD #:	31194
Business Address:	3 WORLD FINANCIAL CENTER 200 VESEY STREET NEW YORK, NY 10281
Effective Date:	07/24/2020
Description:	RBC CAPITAL IS OUR CLEARING BROKER FOR POTENTIAL UNDERWRITING TRANSACTION

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 have individuals who wholly or partly finance the firm's business.

Name:	ELDORADO PEAK INVESTMENTS LLC
Business Address:	THE CORPORATION TRUST COMPANY C/O 1209 ORANGE STREET WILMINGTON, COUNTY OF NEW CASTLE, DE 19801
Effective Date:	10/01/2019
Description:	ELDORADO PEAK INVESTMENTS LLC MAY BE DEEMED TO HAVE INDIRECTLY FINANCED THE BUSINESS OF A PORTION OF THE FIRM THROUGH A PRIVATE INVESTMENT IN AN INDIRECT PARENT COMPANY OF THE FIRM
<hr/>	
Name:	GIES, LLC
Business Address:	ATTN: LEGAL 100 WILSHIRE BLVD SANTA MONICA, CA 90401
Effective Date:	10/01/2019
Description:	GIES, LLC MAY BE DEEMED TO HAVE INDIRECTLY FINANCED THE BUSINESS OF A PORTION OF THE FIRM THROUGH A PRIVATE INVESTMENT IN AN INDIRECT PARENT COMPANY OF THE FIRM
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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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