

**BrokerCheck Report**

**CARTA CAPITAL MARKETS, LLC**

CRD# 304751

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## 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:

- o 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
- o 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)

**CARTA CAPITAL MARKETS, LLC**

CRD# 304751

SEC# 8-70396

**Main Office Location**

1 WORLD TRADE CENTER, 285 FULTON STREET  
81ST FLOOR  
NEW YORK, NY 10007  
Regulated by FINRA New York Office

**Mailing Address**

1 WORLD TRADE CENTER, 285 FULTON STREET  
81ST FLOOR  
NEW YORK, NY 10007

**Business Telephone Number**

(646) 978-5252

**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 06/14/2019.  
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
- 20 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 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 06/14/2019.

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.

### **CARTA CAPITAL MARKETS, LLC**

**Doing business as CARTA CAPITAL MARKETS, LLC**

**CRD#** 304751

**SEC#** 8-70396

### **Main Office Location**

1 WORLD TRADE CENTER, 285 FULTON STREET  
81ST FLOOR  
NEW YORK, NY 10007

**Regulated by FINRA New York Office**

### **Mailing Address**

1 WORLD TRADE CENTER, 285 FULTON STREET  
81ST FLOOR  
NEW YORK, NY 10007

### **Business Telephone Number**

(646) 978-5252



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	ESHARES, INC. D/B/A CARTA, INC.
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	DIRECT OWNER
<b>Position Start Date</b>	06/2019
<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>	FACINI, ADRIAN BRANKO 6237796
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CHIEF EXECUTIVE OFFICER
<b>Position Start Date</b>	06/2019
<b>Percentage of Ownership</b>	Less than 5%
<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>	LENNOX, FRANK ANDREW 6297871
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CHIEF COMPLIANCE OFFICER
<b>Position Start Date</b>	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

**Legal Name & CRD# (if any):** SIMON, MONICA S  
4223420

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

**Position** GENERAL COUNSEL

**Position Start Date** 03/2020

**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):** TAKOS, BASILIOS JOHN  
2711795

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

**Position** FINOP / PFO

**Position Start Date** 11/2020

**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):** TRUJILLO, ANDRES JONATHAN

## Firm Profile



### Direct Owners and Executive Officers (continued)

6465971

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

**Position** PRESIDENT / POO

**Position Start Date** 06/2019

**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

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## **Firm Profile**

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



## **Indirect Owners**

No information reported.



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

Federal Regulator	Status	Date Effective
SEC	Approved	07/20/2020

### 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	07/20/2020

## Firm Operations



### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	12/03/2020
California	Approved	08/05/2020
Colorado	Approved	11/12/2020
Connecticut	Approved	12/03/2020
Delaware	Approved	03/01/2021
District of Columbia	Approved	01/29/2021
Florida	Approved	02/17/2021
Georgia	Approved	02/12/2021
Idaho	Approved	10/21/2020
Indiana	Approved	02/09/2021
Kentucky	Approved	10/27/2020
Maryland	Approved	11/25/2020
Michigan	Approved	12/01/2020
New Jersey	Approved	12/10/2020
New York	Approved	07/24/2020
Pennsylvania	Approved	10/26/2020
Rhode Island	Approved	01/26/2021
Texas	Approved	12/09/2020
Utah	Approved	11/10/2020
Washington	Approved	12/02/2020



## 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 2 types of businesses.**

#### Types of Business

Private placements of securities

Other - CARTA CAPITAL MARKETS, LLC ("CCMX") OPERATES AN ALTERNATIVE TRADING SYSTEM ASSISTING IN THE MATCHING OF BUYERS AND SELLERS IN PRIVATE SECONDARY MARKET TRANSACTIONS OF UNREGISTERED SECURITIES OF NON-REPORTING CORPORATE ISSUERS.

#### 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:** BOX, INC.

**Business Address:** 900 JEFFERSON AVE  
REDWOOD CITY, CA 94063

**Effective Date:** 08/12/2020

**Description:** BOX, INC. IS A CLOUD CONTENT MANAGEMENT COMPANY THAT WILL PROVIDE CCMX WITH SECURE EXTERNAL-PARTY DOCUMENT SHARING SERVICES IN SECURE WRITE-ONCE-READ-MANY (WORM) FORMAT.

**Name:** TERRANUA DBA MYCOMPLIANCE OFFICE (MCO)

**Business Address:** 535 FIFTH AVENUE  
4TH FLOOR  
NEW YORK, NY 10017

**Effective Date:** 06/14/2019

**Description:** MCO PROVIDES CCMX WITH COMPLIANCE MANAGEMENT SOFTWARE, WHICH THE FIRM USES TO CREATE TASKS AND TRACK DELIVERABLES RELATED TO REGULATORY OBLIGATIONS IN SECURE WRITE-ONCE-READ-MANY (WORM) FORMAT.

**Name:** PATRINA CORPORATION

**Business Address:** 45 BROADWAY  
NEW YORK, NY 10006

**Effective Date:** 06/14/2019

**Description:** PATRINA CORPORATION ARCHIVES CCMX'S DAILY TRADING SYSTEM FILES IN SECURE WRITE-ONCE-READ-MANY (WORM) FORMAT

**Name:** GLOBAL RELAY COMMUNICATIONS, INC.

**Business Address:** 268 MADISON AVENUE  
7TH FLOOR  
NEW YORK, NY 10017

**Effective Date:** 06/14/2019

**Description:** GLOBAL RELAY PROVIDES ELECTRONIC COMMUNICATIONS ARCHIVING AND ANALYSIS SOFTWARE AND SERVICES TO CCMX, STORING ALL OF THE FIRM'S ELECTRONIC COMMUNICATIONS IN SECURE WRITE-ONCE-READ-MANY (WORM) FORMAT.

## **Firm Operations**



### **Industry Arrangements (continued)**

**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.

**CARTA SECURITIES, LLC is under common control with the firm.**

<b>CRD #:</b>	282086
<b>Business Address:</b>	333 BUSH STREET FLOOR 23 SUITE 2300 SAN FRANCISCO, CA 94104
<b>Effective Date:</b>	09/13/2016
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	CARTA CAPITAL MARKETS, LLC AND CARTA SECURITIES, LLC ARE BOTH WHOLLY OWNED BY ESHARES, INC. D/B/A CARTA, INC.

**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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