BrokerCheck Report

FINALIS SECURITIES LLC

CRD# 305908

Section Title	Page(s)

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.

FINALIS SECURITIES LLC

CRD# 305908

SEC# 8-70425

Main Office Location

228 PARK AVE SOUTH
SUITE 85550
NEW YORK, NY 10003
Regulated by FINRA New York Office

Mailing Address

228 PARK AVE SOUTH
SUITE 85550
NEW YORK, NY 10003

Business Telephone Number

800-962-0418.

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 09/10/2019.

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
- 53 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 09/10/2019.

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.

FINALIS SECURITIES LLC

Doing business as FINALIS SECURITIES LLC

CRD# 305908

SEC# 8-70425

Main Office Location

228 PARK AVE SOUTH
SUITE 85550
NEW YORK, NY 10003

Regulated by FINRA New York Office

Mailing Address

228 PARK AVE SOUTH
SUITE 85550
NEW YORK, NY 10003

Business Telephone Number

800-962-0418.

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):	FINALIS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	HOLDING COMPANY
Position Start Date	09/2017
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	AZARY, DENNIS MICHAEL 2384263
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO/CCO/FINOP
Position Start Date	10/2025
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

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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	04/21/2020

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	04/21/2020

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	07/22/2020
Alaska	Approved	05/14/2020
Arizona	Approved	05/15/2020
Arkansas	Approved	08/25/2020
California	Approved	04/23/2020
Colorado	Approved	05/20/2020
Connecticut	Approved	07/07/2020
Delaware	Approved	04/30/2020
District of Columbia	Approved	09/24/2020
Florida	Approved	09/18/2020
Georgia	Approved	07/24/2020
Hawaii	Approved	07/30/2020
Idaho	Approved	04/22/2020
Illinois	Approved	07/27/2020
Indiana	Approved	08/17/2020
Iowa	Approved	04/29/2020
Kansas	Approved	07/16/2020
Kentucky	Approved	04/28/2020
Louisiana	Approved	04/27/2020
Maine	Approved	08/04/2020
Maryland	Approved	07/28/2020
Massachusetts	Approved	09/01/2020
Michigan	Approved	05/13/2020
Minnesota	Approved	10/08/2020
Mississippi	Approved	04/22/2020
Missouri	Approved	08/05/2020
Montana	Approved	07/16/2020
Nebraska	Approved	09/17/2020
Nevada	Approved	07/06/2020
New Hampshire	Approved	09/09/2020
New Jersey	Approved	07/14/2020
New Mexico	Approved	07/14/2020
New York	Approved	04/25/2020

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	05/01/2020
North Dakota	Approved	07/16/2020
Ohio	Approved	07/27/2020
Oklahoma	Approved	04/24/2020
Oregon	Approved	06/12/2020
Pennsylvania	Approved	05/19/2020
Puerto Rico	Approved	06/19/2020
Rhode Island	Approved	04/24/2020
South Carolina	Approved	04/22/2020
South Dakota	Approved	06/05/2020
Tennessee	Approved	07/22/2020
Texas	Approved	06/28/2020
Utah	Approved	05/13/2020
Vermont	Approved	07/02/2020
Virgin Islands	Approved	02/22/2021
Virginia	Approved	08/19/2020
Washington	Approved	07/01/2020
West Virginia	Approved	08/11/2020
Wisconsin	Approved	05/14/2020
Wyoming	Approved	07/27/2020

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 - THE FIRM PARTICIPATES IN THE FOLLOWING ACTIVITIES: 1) UNDERWRITER OR SELLING GROUP PARTICIPANT (BEST EFFORTS); 2) MERGERS AND ACQUISITIONS AND INVESTMENT BANKING ADVISORY SERVICES; 3) PRIVATE PLACEMENTS OF SECURITIES, INCLUDING THE DISTRIBUTION OF EB-5 OFFERINGS; 4) CHAPERONE FOREIGN BROKER-DEALERS PURSUANT TO RULE 15A-6 FOR PRIVATE PLACEMENTS OF SECURITIES AND THE DISTRIBUTION OF RESEARCH PRODUCED OR OFFERED BY FOREIGN BROKER-DEALERS; AND 5) PRIVATE PLACEMENTS OF DIGITAL ASSET SECURITIES

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:	GOOGLE WORKSPACE
Business Address:	1600 AMPHITHEATRE PKWY MOUNTAIN VIEW, CA 94043
Effective Date:	04/21/2020
Description:	GOOGLE WORKSPACE IS A THIRD-PARTY VENDOR THAT THE FIRM UTILIZES TO MAINTAIN ITS BOOKS AND RECORDS IN A CLOUD-BASED ELECTRONIC ARCHIVE BACKUP SYSTEM

Name:	WOLTERS KLUWER
Business Address:	2700 LAKE COOK RD. RIVERWOODS, IL 60015
Effective Date:	08/01/2022
Description:	WOLTERS KLUWER IS A THIRD-PARTY VENDOR WITH WHOM THE FIRM ENTERED INTO A SUBSCRIPTION AGREEMENT FOR ARCHIVAL, MAINTENANCE, AND UPDATING OF THE FIRM'S WRITTEN SUPERVISORY PROCEDURES.

Name:	AMAZON GLACIER
Business Address:	410 TERRY AVENUE NORTH SEATTLE, WA 98109
Effective Date:	04/21/2020
Description:	AMAZON GLACIER IS A THIRD-PARTY VENDOR THAT THE FIRM UTILIZES TO MAINTAIN ITS BOOKS AND RECORDS IN A CLOUD-BASED ELECTRONIC ARCHIVE BACKUP SYSTEM

Name:	SMARSH
Business Address:	851 SW 6TH AVENUE SUITE 800 PORTLAND, OR 97204
Effective Date:	04/21/2020
Description:	SMARSH IS A THIRD PARTY VENDOR WITH WHOM THE FIRM ENTERED INTO A SERVICING AGREEMENT FOR ARCHIVAL OF ITS EMAIL COMMUNICATIONS.

This firm does not have accounts, funds, or securities maintained by a third party.

Firm Operations

Industry Arrangements (continued)

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.

FINALIS INVESTMENT ADVISORY LLC is under common control with the firm.

CRD #:	318981
Business Address:	3520 N LAKE SHORE DR. UNIT 4H CHICAGO, IL 60657
Effective Date:	03/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	FINALIS INC, PARENT OWNS 100% OF FINALIS INVESTMENT ADVISORY

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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