

BrokerCheck Report

AUERBACH GRAYSON & COMPANY LLC

CRD# 30761

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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)

**AUERBACH GRAYSON & COMPANY
LLC**

CRD# 30761

SEC# 8-45136

Main Office Location

20W 55TH STREET
4TH FLOOR
NEW YORK, NY 10019
Regulated by FINRA New York Office

Mailing Address

20W 55TH STREET
NEW YORK, NY 10019

Business Telephone Number

212-557-4444

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 01/29/2010.
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
- 13 U.S. states and territories

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

This firm conducts 8 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 01/29/2010.
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.

AUERBACH GRAYSON & COMPANY LLC
Doing business as AUERBACH GRAYSON & COMPANY LLC
CRD# 30761
SEC# 8-45136

Main Office Location

20W 55TH STREET
4TH FLOOR
NEW YORK, NY 10019

Regulated by FINRA New York Office

Mailing Address

20W 55TH STREET
NEW YORK, NY 10019

Business Telephone Number

212-557-4444

Other Names of this Firm

Name	Where is it used
AGCO	NY
AUERBACH	NY
AUERBACH GRAYSON	NY
AUERBACH GRAYSON & CO.	NY



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): HDH GLOBAL LLC

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

Position OWNER

Position Start Date 12/2020

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): AIKINS, GIL O

5157274

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

Position CHIEF COMPLIANCE OFFICER/INTERIM COO

Position Start Date 03/2024

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): BHATNAGAR, NIKHIL

5874592

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

Position CHIEF EXECUTIVE OFFICER

Position Start Date 02/2024

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): HEWITT, MICHAEL THOMAS JR
6594844

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

Position FINOP

Position Start Date 06/2025

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): MANDEL, SIMON MARKOVICH
5824632

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

Position BOARD MEMBER

Position Start Date 04/2025

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

Legal Name & CRD# (if any): JUNIPER TREE CAPITAL LLC

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

Company through which indirect ownership is established HDH GLOBAL LLC

Relationship to Direct Owner OWNER

Relationship Established 04/2025

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): MANDEL, SIMON MARKOVICH
5824632

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

Company through which indirect ownership is established JUNIPER TREE

Relationship to Direct Owner OWNER

Relationship Established 04/2025

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): FINOROO AG

Is this a domestic or foreign Foreign Entity

Firm Profile



Indirect Owners (continued)
entity or an individual?

Company through which indirect ownership is established	JUNIPER TREE
Relationship to Direct Owner	OWNER
Relationship Established	04/2025
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.



This firm was previously:	AUERBACH GRAYSON & COMPANY INCORPORATED
Date of Succession:	01/29/2010
Predecessor CRD#:	30761
Predecessor SEC#:	8-45136
Description	THE BROKER DEALER ASSETS, LIABILITIES, MANAGEMENT AND EMPLOYEES HAS BEEN TRANSFERRED TO THE NEW ENTITY SUCCESSOR).THE BUSINESS, OWNERSHIP ,KEY MANAGEMENT AND OPERATION WILL BE EXACTLY THE SAME AS THEY WERE BEFORE WITH NO CHANGES IN CONTROL.



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 13 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/09/1992

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	02/05/1993

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	07/12/2024
Colorado	Approved	07/18/2014
Connecticut	Approved	08/18/2014
Florida	Approved	01/23/2013
Illinois	Approved	04/09/2025
Massachusetts	Approved	02/07/1996
Missouri	Approved	05/12/2023
New York	Approved	09/21/1992
Ohio	Approved	04/13/2023
Texas	Approved	02/26/2001
Utah	Approved	07/01/2024
Virginia	Approved	08/12/2014
Washington	Approved	07/24/2024



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 8 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)
Mutual fund retailer
U S. government securities broker
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - 10Y THE FIRM WILL ARRANGE FOR EXECUTION OF ORDERS FOR ITS CUSTOMERS' ACCOUNTS IN FOREIGN MARKETS BY U.S. AND FOREIGN FIRMS WHICH ARE MEMBERS OF, OR ELIGIBLE TO OPERATE IN, FOREIGN MARKETS.
OTHER" (12.Z) M&A ADVISORY

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:	AXOS CLEARING LLC
CRD #:	117176
Business Address:	15950 WEST DODGE ROAD, SUITE 300 OMAHA, NE 68118
Effective Date:	08/01/2023
Description:	FULLY DISCLOSED CLEARING AGREEMENT

Firm Operations

Industry Arrangements



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

Name: AXOS CLEARING LLC
CRD #: 117176
Business Address: 15950 WEST DODGE ROAD, SUITE 300
OMAHA, NE 68118
Effective Date: 08/01/2023
Description: FULLY DISCLOSED CLEARING AGREEMENT

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

Name: AXOS CLEARING LLC
CRD #: 117176
Business Address: 15950 WEST DODGE ROAD, SUITE 300
OMAHA, NE 68118
Effective Date: 08/01/2023
Description: FULLY DISCLOSED CLEARING AGREEMENT

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

Name: AXOS CLEARING LLC
CRD #: 117176
Business Address: 15950 WEST DODGE ROAD, SUITE 300
OMAHA, NE 68118
Effective Date: 08/01/2023
Description: FULLY DISCLOSED CLEARING AGREEMENT

Name: AXOS CLEARING LLC
CRD #: 117176
Business Address: 15950 WEST DODGE ROAD, SUITE 300
OMAHA, NE 68118
Effective Date: 08/01/2023
Description: FULLY DISCLOSED CLEARING AGREEMENT

Control Persons/Financing

Firm Operations



Industry Arrangements (continued)

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 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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