

BrokerCheck Report

ELEQUIN SECURITIES LLC

CRD# 311650

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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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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)

**ELEQUIN SECURITIES LLC**

CRD# 311650

SEC# 8-70654

Main Office Location

1333 BROADWAY
SUITE 500
NEW YORK, NY 10018
Regulated by FINRA New York Office

Mailing Address

1333 BROADWAY
SUITE 500
NEW YORK, NY 10018

Business Telephone Number

929-346-7126

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 04/07/2020.

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
- 3 Self-Regulatory Organizations
- 0 U.S. states and territories

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

This firm conducts 1 type of business.

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 04/07/2020.

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.

ELEQUIN SECURITIES LLC

Doing business as ELEQUIN SECURITIES LLC

CRD# 311650

SEC# 8-70654

Main Office Location

1333 BROADWAY
SUITE 500
NEW YORK, NY 10018

Regulated by FINRA New York Office

Mailing Address

1333 BROADWAY
SUITE 500
NEW YORK, NY 10018

Business Telephone Number

929-346-7126



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): ELEQUIN HOLDINGS LLC

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

Position PARENT COMPANY

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): CROTTY, CHRISTOPHER CHARLES

2488082

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 05/2023

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): FINLAYSON, JAMES DREW

3096527

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

Position PRESIDENT, FINOP, COO

Position Start Date 06/2024

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? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GUTIERREZ, PETER GERMAN
2933355

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

Position CHIEF EXECUTIVE OFFICER

Position Start Date 04/2020

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



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	BAIN CAPITAL PARTNERSHIP STRATEGIES FUND, L.P.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	BCPS PSF (ELEQUIN), L.P.
Relationship to Direct Owner	LIMITED PARTNER
Relationship Established	03/2022
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):	BAIN CAPITAL PARTNERSHIP STRATEGIES PARTNERS, L.P.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	BAIN CAPITAL PARTNERSHIP STRATEGIES FUND, L.P.
Relationship to Direct Owner	SPECIAL LIMITED PARTNER
Relationship Established	08/2018
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):	BCPS PSF (ELEQUIN), L.P.
Is this a domestic or foreign entity or an individual?	Foreign Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established ELEQUIN HOLDINGS LLC

Relationship to Direct Owner MEMBER

Relationship Established 03/2022

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): ELEQUIN GROUP, LP

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

Company through which indirect ownership is established ELEQUIN CAPITAL, LP

Relationship to Direct Owner LIMITED PARTNER

Relationship Established 03/2025

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): GUTIERREZ, PETER GERMAN
2933355

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

Company through which indirect ownership is established ELEQUIN GROUP, LP

Relationship to Direct Owner LIMITED PARTNER



Firm Profile

Indirect Owners (continued)

Relationship Established	03/2025
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):	BAIN CAPITAL PARTNERSHIP STRATEGIES INVESTORS, LLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	BCPS PSF (ELEQUIN), L.P.
Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	03/2022
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

Legal Name & CRD# (if any):	BAIN CAPITAL PARTNERSHIP STRATEGIES INVESTORS, LLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	BAIN CAPITAL PARTNERSHIP STRATEGIES FUND, L.P.
Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	08/2018
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes

Firm Profile



Indirect Owners (continued)

Is this a public reporting company? No

Legal Name & CRD# (if any): BOYLSTON PARTNERS, LLC

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

Company through which indirect ownership is established BAIN CAPITAL PARTNERSHIP STRATEGIES PARTNERS, L.P.

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 08/2018

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

Legal Name & CRD# (if any): ELEQUIN CAPITAL, LP
308371

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

Company through which indirect ownership is established ELEQUIN HOLDINGS LLC

Relationship to Direct Owner MANAGING MEMBER

Relationship Established 03/2022

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, 3 SROs and 0 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	12/27/2021

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	03/29/2024
Cboe BZX Exchange, Inc.	Approved	12/28/2021
Cboe Exchange, Inc.	Approved	12/27/2021

Firm Operations

Registrations (continued)



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 1 type of business.

Types of Business

Trading securities for own account



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: GOLDMAN SACHS & CO. LLC

CRD #: 361

Business Address: 200 WEST STREET
NEW YORK, NY 10282

Effective Date: 11/19/2025

Description: GOLDMAN SACHS & CO. LLC IS OUR PRIME BROKER. (ELEQUIN) BOOKS AND RECORDS ARE KEPT OR MAINTAINED BY THIS ORGANIZATION.

Name: MYCOMPLIANCEOFFICE

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

Effective Date: 07/23/2025

Description: MYCOMPLIANCEOFFICE RECEIVE, STORES, AND ARCHIVES THE FIRMS RECORDS SUCH AS PERSONAL ACCOUNT TRADING DATA, COMPLIANCE QUESTIONNAIRES IN ELECTRONIC FORM IN ACCORDANCE WITH SEC RULE 17A-4

Name: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 09/01/2024

Description: PERSHING, LLC IS OUR PRIME BROKER. (ELEQUIN) BOOKS AND RECORDS ARE KEPT OR MAINTAINED BY THIS ORGANIZATION.

Name: BOFA SECURITIES, INC.

CRD #: 283942

Business Address: ONE BRYANT PARK
NEW YORK, NY 10036

Effective Date: 08/14/2023

Description: BOFA SECURITIES, INC IS OUR PRIME BROKER. (ELEQUIN) BOOKS AND RECORDS ARE KEPT OR MAINTAINED BY THIS ORGANIZATION.

Firm Operations



Industry Arrangements (continued)

Name:	SMARSH, INCORPORATED
Business Address:	851 SW 6TH AVE. SUITE 800 PORTLAND, OR 97204
Effective Date:	07/10/2023
Description:	ARCHIVING SERVICES FOR ELECTRONIC COMMUNICATIONS.
Name:	SG AMERICAS SECURITIES, LLC
CRD #:	128351
Business Address:	245 PARK AVE NEW YORK, NY 10167
Effective Date:	05/24/2022
Description:	SG AMERICAS SECURITIES, LLC IS OUR PRIME BROKER. (ELEQUIN) BOOKS OR RECORDS ARE KEPT OR MAINTAINED BY THIS ORGANIZATION.
Name:	STATE STREET GLOBAL MARKETS, LLC
CRD #:	285852
Business Address:	ONE LINCOLN STREET BOSTON, MA 02111
Effective Date:	03/28/2022
Description:	STATE STREET GLOBAL MARKETS, LLC IS OUR PRIME BROKER. (ELEQUIN) BOOKS OR RECORDS ARE KEPT OR MAINTAINED BY THIS ORGANIZATION.
This firm does have accounts, funds, or securities maintained by a third party.	
Name:	GOLDMAN SACHS & CO. LLC
CRD #:	361
Business Address:	200 WEST STREET NEW YORK, NY 10282
Effective Date:	11/19/2025
Description:	GOLDMAN SACHS & CO. LLC IS OUR PRIME BROKER. (ELEQUIN) ACCOUNTS, FUNDS OR SECURITIES ARE MAINTAINED BY THIS ORGANIZATION.
Name:	PERSHING LLC
CRD #:	7560

Firm Operations



Industry Arrangements (continued)

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 09/01/2024

Description: PERSHING, LLC IS OUR PRIME BROKER. (ELEQUIN) ACCOUNTS, FUNDS OR SECURITIES ARE MAINTAINED BY THIS ORGANIZATION.

Name: BOFA SECURITIES, INC.

CRD #: 283942

Business Address: ONE BRYANT PARK
NEW YORK, NY 10036

Effective Date: 08/14/2023

Description: BOFA SECURITIES INC IS OUR PRIME BROKER. (ELEQUIN) ACCOUNTS, FUNDS OR SECURITIES ARE MAINTAINED BY THIS ORGANIZATION.

Name: SG AMERICAS SECURITIES, LLC

CRD #: 128351

Business Address: 245 PARK AVE
NEW YORK, NY 10167

Effective Date: 05/24/2022

Description: SG AMERICAS SECURITIES, LLC IS OUR PRIME BROKER. ACCOUNTS, FUNDS, OR SECURITIES ARE HELD OR MAINTAINED BY THIS ORGANIZATION.

Name: STATE STREET GLOBAL MARKETS, LLC

CRD #: 285852

Business Address: ONE LINCOLN STREET
BOSTON, MA 02111

Effective Date: 03/28/2022

Description: STATE STREET GLOBAL MARKETS, LLC IS OUR PRIME BROKER. ACCOUNTS, FUNDS, OR SECURITIES ARE MAINTAINED BY THIS ORGANIZATION.

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.**

ELEQUIN CAPITAL, LP is under common control with the firm.

CRD #:	308371
Business Address:	1333 BROADWAY STE 500 NEW YORK, NY 10018
Effective Date:	06/13/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ELEQUIN SECURITIES, LLC IS UNDER COMMON CONTROL WITH ELEQUIN CAPITAL, LP.

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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