

## BrokerCheck Report

# TITAN GLOBAL TECHNOLOGIES LLC

CRD# 312379

| <u>Section Title</u> | <u>Page(s)</u> |
|----------------------|----------------|
| Report Summary       | 1              |
| Firm Profile         | 2 - 9          |
| Firm History         | 10             |
| Firm Operations      | 11 - 17        |



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:
  - 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.

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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)

**TITAN GLOBAL TECHNOLOGIES  
LLC**

CRD# 312379

SEC# 8-70650

**Main Office Location**

508 LAGUARDIA PL FL 3  
NEW YORK, NY 10012  
Regulated by FINRA New York Office

**Mailing Address**

508 LAGUARDIA PL FL 3  
NEW YORK, NY 10012

**Business Telephone Number**

973-490-4042

**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 12/28/2020.  
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
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

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

This firm conducts 4 types of businesses.

This firm is affiliated with 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 12/28/2020.

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.

### **TITAN GLOBAL TECHNOLOGIES LLC**

**Doing business as TITAN GLOBAL TECHNOLOGIES LLC**

**CRD#** 312379

**SEC#** 8-70650

### **Main Office Location**

508 LAGUARDIA PL FL 3

NEW YORK, NY 10012

**Regulated by FINRA New York Office**

### **Mailing Address**

508 LAGUARDIA PL FL 3

NEW YORK, NY 10012

### **Business Telephone Number**

973-490-4042



## 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):** TITAN GLOBAL CAPITAL MANAGEMENT, INC.

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

**Position** SOLE MEMBER

**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

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**Legal Name & CRD# (if any):** JAIN, ANUSHREE RAJENDRA  
6818351

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

**Position** CEO

**Position Start Date** 10/2024

**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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**Legal Name & CRD# (if any):** KLEINER, GABRIEL KRISTIEN  
6444978

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

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 12/2023

## 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

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**Legal Name & CRD# (if any):** MEGENITY, BRIAN MCDONALD  
2889637

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

**Position** FINOP, CFO AND POO

**Position Start Date** 03/2021

**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

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## Firm Profile

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

### Indirect Owners

|                                                                       |                                       |
|-----------------------------------------------------------------------|---------------------------------------|
| <b>Legal Name &amp; CRD# (if any):</b>                                | ANDREESSEN HOROWITZ LSV FUND II, L.P. |
| <b>Is this a domestic or foreign entity or an individual?</b>         | Domestic Entity                       |
| <b>Company through which indirect ownership is established</b>        | TITAN GLOBAL CAPITAL MANAGEMENT, INC. |
| <b>Relationship to Direct Owner</b>                                   | SHAREHOLDER (SERIES B PREFERRED)      |
| <b>Relationship Established</b>                                       | 06/2021                               |
| <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>                                | ACCEL GROWTH FUND VI LP               |
| <b>Is this a domestic or foreign entity or an individual?</b>         | Domestic Entity                       |
| <b>Company through which indirect ownership is established</b>        | TITAN GLOBAL CAPITAL MANAGEMENT, INC. |
| <b>Relationship to Direct Owner</b>                                   | SHAREHOLDER (SERIES C PREFERRED)      |
| <b>Relationship Established</b>                                       | 12/2021                               |
| <b>Percentage of Ownership</b>                                        | 50% but less than 75%                 |
| <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>                        | ACCEL GROWTH FUND IV L.P. |
| <b>Is this a domestic or foreign entity or an individual?</b> | Domestic Entity           |



## Firm Profile

### Indirect Owners (continued)

**Company through which indirect ownership is established** TITAN GLOBAL CAPITAL MANAGEMENT, INC.

**Relationship to Direct Owner** SHAREHOLDER (SERIES C PREFERRED)

**Relationship Established** 12/2021

**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

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**Legal Name & CRD# (if any):** GARDNER, CLAYTON  
5811832

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

**Company through which indirect ownership is established** TITAN GLOBAL CAPITAL MANAGEMENT, INC.

**Relationship to Direct Owner** SHAREHOLDER (VOTING COMMON)

**Relationship Established** 04/2017

**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

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**Legal Name & CRD# (if any):** GENERAL CATALYST GROUP X EARLY VENTURE, L.P.

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

**Company through which indirect ownership is established** TITAN GLOBAL CAPITAL MANAGEMENT, INC.

**Relationship to Direct Owner** SHAREHOLDER (SERIES A PREFERRED)



## Firm Profile



### Indirect Owners (continued)

|                                                                       |                       |
|-----------------------------------------------------------------------|-----------------------|
| <b>Relationship Established</b>                                       | 12/2020               |
| <b>Percentage of Ownership</b>                                        | 25% but less than 50% |
| <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>                                | PERCOCO, JOSEPH JOHN<br>5813688       |
| <b>Is this a domestic or foreign entity or an individual?</b>         | Individual                            |
| <b>Company through which indirect ownership is established</b>        | TITAN GLOBAL CAPITAL MANAGEMENT, INC. |
| <b>Relationship to Direct Owner</b>                                   | SHAREHOLDER (VOTING COMMON)           |
| <b>Relationship Established</b>                                       | 04/2017                               |
| <b>Percentage of Ownership</b>                                        | 25% but less than 50%                 |
| <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>                         | ACCEL GROWTH FUND IV ASSOCIATES L.L.C. |
| <b>Is this a domestic or foreign entity or an individual?</b>  | Domestic Entity                        |
| <b>Company through which indirect ownership is established</b> | ACCEL GROWTH FUND IV L.P.              |
| <b>Relationship to Direct Owner</b>                            | GENERAL PARTNER                        |
| <b>Relationship Established</b>                                | 12/2021                                |
| <b>Percentage of Ownership</b>                                 | Other General Partners                 |
| <b>Does this owner direct the management or policies of</b>    | Yes                                    |



## Firm Profile

### Indirect Owners (continued) the firm?

Is this a public reporting company? No

Legal Name & CRD# (if any): ACCEL GROWTH FUND VI ASSOCIATES L.P.

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

Company through which indirect ownership is established ACCEL GROWTH FUND VI LP

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 12/2021

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): ACCEL GROWTH FUND VI GP ASSOCIATES L.L.C.

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

Company through which indirect ownership is established ACCEL GROWTH FUND VI ASSOCIATES L.P.

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 12/2021

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): AH EQUITY PARTNERS LSV II, L.L.C.

## Firm Profile



### Indirect Owners (continued)

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

**Company through which indirect ownership is established** ANDREESSEN HOROWITZ LSV FUND II, L.P.

**Relationship to Direct Owner** GENERAL PARTNER

**Relationship Established** 10/2020

**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):** GENERAL CATALYST PARTNERS X EARLY VENTURE, L.P.

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

**Company through which indirect ownership is established** GENERAL CATALYST GROUP X EARLY VENTURE, L.P.

**Relationship to Direct Owner** GENERAL PARTNER

**Relationship Established** 03/2020

**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, 1 SRO and 53 U.S. states and territories.**

| Federal Regulator | Status   | Date Effective |
|-------------------|----------|----------------|
| SEC               | Approved | 09/22/2021     |

### 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 | 09/22/2021     |



## Firm Operations

### Registrations (continued)

| U.S. States & Territories | Status   | Date Effective |
|---------------------------|----------|----------------|
| Alabama                   | Approved | 11/22/2021     |
| Alaska                    | Approved | 11/19/2021     |
| Arizona                   | Approved | 11/22/2021     |
| Arkansas                  | Approved | 12/14/2021     |
| California                | Approved | 11/16/2021     |
| Colorado                  | Approved | 10/22/2021     |
| Connecticut               | Approved | 01/10/2022     |
| Delaware                  | Approved | 10/20/2021     |
| District of Columbia      | Approved | 12/17/2021     |
| Florida                   | Approved | 05/04/2022     |
| Georgia                   | Approved | 01/12/2022     |
| Hawaii                    | Approved | 01/10/2022     |
| Idaho                     | Approved | 10/19/2021     |
| Illinois                  | Approved | 03/21/2022     |
| Indiana                   | Approved | 12/01/2021     |
| Iowa                      | Approved | 10/19/2021     |
| Kansas                    | Approved | 11/24/2021     |
| Kentucky                  | Approved | 10/19/2021     |
| Louisiana                 | Approved | 10/25/2021     |
| Maine                     | Approved | 11/08/2021     |
| Maryland                  | Approved | 10/18/2021     |
| Massachusetts             | Approved | 12/06/2021     |
| Michigan                  | Approved | 01/05/2022     |
| Minnesota                 | Approved | 12/01/2021     |
| Mississippi               | Approved | 09/30/2021     |
| Missouri                  | Approved | 11/18/2021     |
| Montana                   | Approved | 11/02/2021     |
| Nebraska                  | Approved | 12/17/2021     |
| Nevada                    | Approved | 12/09/2021     |
| New Hampshire             | Approved | 02/17/2022     |
| New Jersey                | Approved | 01/14/2022     |
| New Mexico                | Approved | 02/24/2022     |
| New York                  | Approved | 10/26/2021     |

| U.S. States & Territories | Status   | Date Effective |
|---------------------------|----------|----------------|
| North Carolina            | Approved | 10/27/2021     |
| North Dakota              | Approved | 02/11/2022     |
| Ohio                      | Approved | 10/21/2021     |
| Oklahoma                  | Approved | 10/18/2021     |
| Oregon                    | Approved | 10/18/2021     |
| Pennsylvania              | Approved | 10/20/2021     |
| Puerto Rico               | Approved | 03/09/2022     |
| Rhode Island              | Approved | 09/29/2021     |
| South Carolina            | Approved | 11/05/2021     |
| South Dakota              | Approved | 01/14/2022     |
| Tennessee                 | Approved | 11/08/2021     |
| Texas                     | Approved | 01/13/2022     |
| Utah                      | Approved | 10/05/2021     |
| Vermont                   | Approved | 02/09/2022     |
| Virgin Islands            | Approved | 03/15/2022     |
| Virginia                  | Approved | 10/25/2021     |
| Washington                | Approved | 11/30/2021     |
| West Virginia             | Approved | 02/09/2022     |
| Wisconsin                 | Approved | 01/11/2022     |
| Wyoming                   | Approved | 02/09/2022     |

## 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 4 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Mutual fund retailer

Non-exchange member arranging for transactions in listed securities by exchange member

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 refer or introduce customers to other brokers and dealers.

|                          |                                                                                             |
|--------------------------|---------------------------------------------------------------------------------------------|
| <b>Name:</b>             | APEX CLEARING CORPORATION                                                                   |
| <b>CRD #:</b>            | 13071                                                                                       |
| <b>Business Address:</b> | 350 NORTH ST. PAUL STREET<br>SUITE 1300<br>DALLAS, TX 75201                                 |
| <b>Effective Date:</b>   | 02/18/2022                                                                                  |
| <b>Description:</b>      | TITAN GLOBAL TECHNOLOGIES LLC INTRODUCES CUSTOMER<br>ACCOUNTS TO APEX CLEARING CORPORATION. |

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## Firm Operations

### Industry Arrangements



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

**Name:** BOX, INC.  
**Business Address:** 900 JEFFERSON AVENUE  
REDWOOD CITY, CA 94063  
**Effective Date:** 04/29/2024  
**Description:** ELECTRONIC RECORDKEEPING OF GENERAL FIRM AND COMPLIANCE  
DEPARTMENT RECORDS.

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**Name:** RED OAK COMPLIANCE SOLUTIONS  
**Business Address:** 1320 ARROW POINT DRIVE  
SUITE 411  
CEDAR PARK, TX 78613  
**Effective Date:** 07/07/2022  
**Description:** MARKETING REVIEW PLATFORM AND RECORDS RETENTION FOR  
MARKETING MATERIALS

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**Name:** SMARSH INC.  
**Business Address:** 110 WILLIAMS ST #1804  
NEW YORK, NY 10038  
**Effective Date:** 08/24/2022  
**Description:** ELECTRONIC COMMUNICATIONS ARCHIVING

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**Name:** AMAZON WEB SERVICES  
**Business Address:** 410 TERRY AVE. NORTH  
SEATTLE, WA 98109  
**Effective Date:** 09/22/2021  
**Description:** CLOUD PLATFORM DATA STORAGE.

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**Name:** APEX CLEARING CORPORATION  
**CRD #:** 13071  
**Business Address:** 350 NORTH ST. PAUL STREET  
1300  
DALLAS, TX 75201  
**Effective Date:** 02/18/2022



## Firm Operations

### Industry Arrangements (continued)

**Description:** CUSTODIAL RECORDS INCLUDING LEDGERS, BLOTTERS, STATEMENTS, CONFIRMATIONS, POSITION DATA, ETC.

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

**Name:** APEX CLEARING CORPORATION

**CRD #:** 13071

**Business Address:** 350 NORTH ST. PAUL STREET  
SUITE 1300  
DALLAS, TX 75201

**Effective Date:** 02/18/2022

**Description:** APEX CLEARING CORPORATION HOLDS PRIOPRIETARY TRADING ACCOUNTS FOR TITAN GLOBAL TECHNOLOGIES LLC.

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

**Name:** APEX CLEARING CORPORATION

**CRD #:** 13071

**Business Address:** 350 NORTH ST. PAUL STREET  
SUITE 1300  
DALLAS, TX 75201

**Effective Date:** 02/18/2022

**Description:** APEX CLEARING CORPORATION HOLDS CUSTOMER ACCOUNTS FOR TITAN GLOBAL TECHNOLOGIES LLC.

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### 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.**

**TITAN is under common control with the firm.**

|                                        |                                                                                                                                                                                                                                                              |
|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>CRD #:</b>                          | 290111                                                                                                                                                                                                                                                       |
| <b>Business Address:</b>               | 508 LAGUARDIA PLACE<br>NEW YORK, NY 10012                                                                                                                                                                                                                    |
| <b>Effective Date:</b>                 | 12/28/2020                                                                                                                                                                                                                                                   |
| <b>Foreign Entity:</b>                 | No                                                                                                                                                                                                                                                           |
| <b>Country:</b>                        |                                                                                                                                                                                                                                                              |
| <b>Securities Activities:</b>          | No                                                                                                                                                                                                                                                           |
| <b>Investment Advisory Activities:</b> | Yes                                                                                                                                                                                                                                                          |
| <b>Description:</b>                    | TITAN (AN SEC-REGISTERED INVESTMENT ADVISOR) AND TITAN GLOBAL TECHNOLOGIES LLC (FINRA BROKER-DEALER) ARE OWNED BY TITAN GLOBAL CAPITAL MANAGEMENT, INC. (THE "PARENT"). TITAN AND THE APPLICANT ARE UNDER COMMON CONTROL VIA COMMON OWNERSHIP BY THE PARENT. |

**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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