

BrokerCheck Report

NORTHBOUND SECURITIES LLC

CRD# 314549

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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.

• **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.

**NORTHBOUND SECURITIES LLC**

CRD# 314549

SEC# 8-70710

Main Office Location

9736 RENNES LANE
DELREY BEACH, FL 33446
Regulated by FINRA Florida Office

Mailing Address

9736 RENNES LANE
DELREY BEACH, FL 33446

Business Telephone Number

954-600-9052

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 Florida on 03/03/2021.

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 3 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 Florida on 03/03/2021.

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.

NORTHBOUND SECURITIES LLC

Doing business as NORTHBOUND SECURITIES LLC

CRD# 314549

SEC# 8-70710

Main Office Location

9736 RENNES LANE
DELREY BEACH, FL 33446

Regulated by FINRA Florida Office

Mailing Address

9736 RENNES LANE
DELREY BEACH, FL 33446

Business Telephone Number

954-600-9052



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):	VEST, INC.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Position	SHAREHOLDER
Position Start Date	05/2023
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):	SILVER, SCOTT MICHAEL 2290261
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER, CHIEF COMPLIANCE OFFICER, FINOP, PRINCIPAL OPERATIONS OFFICER
Position Start Date	09/2024
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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	POLHAMUS, AARON 7343854
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	VEST, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	05/2023
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

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	12/21/2021

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	12/21/2021



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	11/04/2022
Alaska	Approved	03/12/2024
Arizona	Approved	03/04/2024
Arkansas	Approved	02/26/2024
California	Approved	05/19/2022
Colorado	Approved	05/11/2022
Connecticut	Approved	10/14/2022
Delaware	Approved	01/29/2024
District of Columbia	Approved	04/08/2024
Florida	Approved	09/22/2022
Georgia	Approved	11/07/2022
Hawaii	Approved	03/05/2024
Idaho	Approved	01/23/2024
Illinois	Approved	06/28/2022
Indiana	Approved	03/13/2024
Iowa	Approved	10/30/2023
Kansas	Approved	02/02/2024
Kentucky	Approved	01/29/2024
Louisiana	Approved	01/17/2024
Maine	Approved	02/12/2024
Maryland	Approved	10/26/2022
Massachusetts	Approved	05/30/2024
Michigan	Approved	11/09/2023
Minnesota	Approved	01/30/2024
Mississippi	Approved	01/11/2024
Missouri	Approved	04/05/2024
Montana	Approved	01/10/2024
Nebraska	Approved	05/22/2024
Nevada	Approved	02/05/2024
New Hampshire	Approved	02/21/2024
New Jersey	Approved	07/21/2022
New Mexico	Approved	05/01/2024
New York	Approved	12/26/2021

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	10/13/2022
North Dakota	Approved	02/29/2024
Ohio	Approved	02/08/2024
Oklahoma	Approved	01/12/2024
Oregon	Approved	01/26/2024
Pennsylvania	Approved	02/05/2024
Puerto Rico	Approved	06/17/2022
Rhode Island	Approved	01/11/2024
South Carolina	Approved	11/01/2022
South Dakota	Approved	01/10/2024
Tennessee	Approved	02/09/2024
Texas	Approved	06/24/2022
Utah	Approved	10/14/2022
Vermont	Approved	02/26/2024
Virgin Islands	Approved	03/01/2024
Virginia	Approved	01/30/2024
Washington	Approved	06/21/2022
West Virginia	Approved	02/12/2024
Wisconsin	Approved	02/27/2024
Wyoming	Approved	02/05/2024



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 3 types of businesses.

Types of Business

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

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

Other - NORTHBOUND SECURITIES OFFERS CUSTOMERS ACCESS TO ITS CLEARING FIRM'S ORDER MANAGEMENT SYSTEM SO THEY MAY ENTER SELF-DIRECTED TRADES IN US-LISTED OR OTC EQUITIES, INCLUDING ETFs.

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:	DRIVEWEALTH, LLC
CRD #:	165429
Business Address:	15 EXCHANGE PLACE 10TH FLOOR JERSEY CITY, NJ 07302
Effective Date:	12/21/2021
Description:	DRIVEWEALTH LLC CLEARS TRANSACTION AND CARRIES ACCOUNTS FOR NORTHBOUND SECURITIES LLC ON A FULLY DISCLOSED BASIS.

Firm Operations

Industry Arrangements



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

Name: DRIVEWEALTH, LLC
CRD #: 165429
Business Address: 15 EXCHANGE PLACE
10TH FLOOR
JERSEY CITY, NJ 07302
Effective Date: 12/21/2021
Description: DRIVEWEALTH LLC CLEARS TRANSACTION AND CARRIES ACCOUNTS
FOR NORTHBOUND SECURITIES LLC ON A FULLY DISCLOSED BASIS.

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

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

Name: DRIVEWEALTH, LLC
CRD #: 165429
Business Address: 15 EXCHANGE PLACE
10TH FLOOR
JERSEY CITY, NJ 07302
Effective Date: 12/21/2021
Description: DRIVEWEALTH LLC CLEARS TRANSACTION AND CARRIES ACCOUNTS
FOR NORTHBOUND SECURITIES LLC ON A FULLY DISCLOSED BASIS.

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.**

VEST WEALTH INC. is under common control with the firm.

CRD #:	316132
Business Address:	9106 CANOPY OAK LANE SUITE 403 RIVERVIEW, FL 33578
Effective Date:	03/03/2023
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	NORTHBOUND SECURITIES LLC, VESTFI INC AND VEST WEALTH INC ARE FULLY OWNED SUBSIDIARIES OF VEST 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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