BrokerCheck Report

TZERO DIGITAL ASSET SECURITIES, LLC

CRD# 316189

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.

TZERO DIGITAL ASSET SECURITIES LLC

CRD# 316189

SEC# 8-70879

Main Office Location

525 WASHINGTON BLVD
SUITE 300
JERSEY CITY, NJ 07310
Regulated by FINRA Woodbridge Office

Mailing Address

525 WASHINGTON BLVD
SUITE 300
JERSEY CITY, NJ 07310

Business Telephone Number

347-380-7318

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 06/02/2021.

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 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 06/02/2021.

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.

TZERO DIGITAL ASSET SECURITIES, LLC

Doing business as TZERO DIGITAL ASSET SECURITIES, LLC

CRD# 316189

SEC# 8-70879

Main Office Location

525 WASHINGTON BLVD
SUITE 300
JERSEY CITY, NJ 07310

Regulated by FINRA Woodbridge Office

Mailing Address

525 WASHINGTON BLVD
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JERSEY CITY, NJ 07310

Business Telephone Number

347-380-7318

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):	TZERO BROKER SERVICES LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	06/2021
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):	KNIGHT, JAMES ATWOOD JR 6513288
Is this a domestic or foreign entity or an individual?	Individual
Position	POO
Position Start Date	04/2024
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):	ONISHCHUK, OLGA 5435460
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	04/2024

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):	ONISHCHUK, OLGA 5435460
Is this a domestic or foreign entity or an individual?	Individual
Position	COMPLIANCE OFFICER
Position Start Date	01/2024
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

Legal Name & CRD# (if any):	TAIONATO CLEMENTE, RENATA 5875477
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP & PFO
Position Start Date	09/2025
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

Legal Name & CRD# (if any):	VLASTAKIS, ALEX

Direct Owners and Executive Officers (continued)

	4141268
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	06/2021
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):	BEYOND, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	MEDICI VENTURES, L.P.
Relationship to Direct Owner	LIMITED PARTNER
Relationship Established	04/2021
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	Yes

Legal Name & CRD# (if any):	TZERO GROUP, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	TZERO BROKER SERVICES, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	06/2021
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):	BEYOND, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity

Indirect Owners (continued)

Company through which indirect ownership is established	TZERO GROUP, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	09/2016
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?	Yes

Legal Name & CRD# (if any):	MEDICI VENTURES, L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	TZERO GROUP, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/2016
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

Legal Name & CRD# (if any):	PELION MV GP. L.L.C.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	MEDICI VENTURES, L.P.
Relationship to Direct Owner	GENERAL PARTNER
Relationship Established	04/2021

Firm Profile

Indirect Owners (continued)

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	09/12/2024

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	09/12/2024

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	11/14/2024
Alaska	Approved	09/26/2024
Arizona	Approved	10/22/2024
Arkansas	Approved	10/30/2024
California	Approved	10/23/2024
Colorado	Approved	10/24/2024
Connecticut	Approved	10/24/2024
Delaware	Approved	09/30/2024
District of Columbia	Approved	10/30/2024
Florida	Approved	11/14/2024
Georgia	Approved	10/23/2024
Hawaii	Approved	11/01/2024
Idaho	Approved	10/23/2024
Illinois	Approved	10/31/2024
Indiana	Approved	09/13/2024
Iowa	Approved	09/13/2024
Kansas	Approved	10/23/2024
Kentucky	Approved	10/23/2024
Louisiana	Approved	10/24/2024
Maine	Approved	10/25/2024
Maryland	Approved	10/28/2024
Massachusetts	Approved	11/21/2024
Michigan	Approved	10/18/2024
Minnesota	Approved	11/01/2024
Mississippi	Approved	09/18/2024
Missouri	Approved	11/15/2024
Montana	Approved	10/10/2024
Nebraska	Approved	10/28/2024
Nevada	Approved	11/20/2024
New Hampshire	Approved	10/10/2024
New Jersey	Approved	10/22/2024
New Mexico	Approved	10/21/2024
New York	Approved	10/23/2024

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	10/07/2024
North Dakota	Approved	10/24/2024
Ohio	Approved	10/18/2024
Oklahoma	Approved	10/23/2024
Oregon	Approved	10/01/2024
Pennsylvania	Approved	10/24/2024
Puerto Rico	Approved	11/01/2024
Rhode Island	Approved	10/24/2024
South Carolina	Approved	10/30/2024
South Dakota	Approved	09/13/2024
Tennessee	Approved	11/01/2024
Texas	Approved	12/12/2024
Utah	Approved	09/26/2024
Vermont	Approved	10/31/2024
Virgin Islands	Approved	11/06/2024
Virginia	Approved	10/23/2024
Washington	Approved	10/24/2024
West Virginia	Approved	11/07/2024
Wisconsin	Approved	10/22/2024
Wyoming	Approved	10/30/2024

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 1 type of business.

Types of Business

Other - -CLEARANCE, SETTLEMENT AND CUSTODY OF DIGITAL ASSET SECURITIES FOR DIRECT CUSTOMERS SOLELY IN CONNECTION WITH DIGITAL ASSET SECURITIES TRADING THROUGH A BROKER-DEALER CORRESPONDENT
-CORRESPONDENT CLEARANCE, SETTLEMENT AND CUSTODY OF DIGITAL ASSET SECURITIES
-SPECIAL PURPOSE DIGITAL ASSETS BROKER-DEALER

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 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:	COMPLIANCE SCIENCE, INC
Business Address:	136 MADISON AVENUE NEW YORK, NY 10016
Effective Date:	09/12/2024
Description:	COMPLIANCE SCIENCE PROVIDES 3RD PARTY SERVICES INCLUDING MONITORING EMPLOYEES OUTSIDE TRADINGACTIVITY, AND METHODS TO TRACK OUTSIDE BUSINESS ACTIVITY REQUESTS, APPROVALS AND CHANGES.
Name:	GLOBAL RELAY
Business Address:	220 CAMBIE STREET, 2ND FLOOR VANCOUVER, BC V682M9
Effective Date:	09/12/2024
Description:	THIRD PARTY ELECTRONIC COMMUNICATIONS STORAGE PURSUANT TO SEC 17A-3 AND 17A-4

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

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.

TZERO SECURITIES, LLC is under common control with the firm.

CRD #:	123421
Business Address:	525 WASHINGTON BLVD SUITE 300 JERSEY CITY, NJ 07310
Effective Date:	06/02/2021
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	TZERO DIGITAL ASSET SECURITIES LLC AND TZERO SECURITIES LLC (FORMER NAME TZERO ATS LLC) ARE BOTH OWNED BY TZERO BROKER SERVICES, LLC.

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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