FINRA

BrokerCheck Report

DASTA FINANCIAL, LLC

CRD# 316477

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.

DASTA FINANCIAL, LLC

CRD# 316477

SEC# 8-70841

Main Office Location

450 BROADWAY
SECOND FLOOR
NEW YORK, NY 10013
Regulated by FINRA New York Office

Mailing Address

450 BROADWAY
SECOND FLOOR
NEW YORK, NY 10013

Business Telephone Number

212-574-1281

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 10/21/2021.

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**

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 10/21/2021.

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.

DUB FINANCIAL, LLC

Doing business as DASTA FINANCIAL, LLC

CRD# 316477

SEC# 8-70841

Main Office Location

450 BROADWAY
SECOND FLOOR
NEW YORK, NY 10013

Regulated by FINRA New York Office

Mailing Address

450 BROADWAY
SECOND FLOOR
NEW YORK, NY 10013

Business Telephone Number

212-574-1281

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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):	DASTA INCORPORATED
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	10/2021
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):	RAMIREZ, JUSTIN MATTHEW 4819041
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO-CEO
Position Start Date	10/2021
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

Legal Name & CRD# (if any):	RYAN, KIMBERLY ANN 4316310
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP/PFO
Position Start Date	05/2023

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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

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Firm Profile

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

Indirect Owners

No information reported.

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Firm History

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

No information reported.

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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	12/13/2022

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	12/13/2022

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	03/13/2023
Alaska	Approved	03/21/2023
Arizona	Approved	03/16/2023
Arkansas	Approved	03/13/2023
California	Approved	01/30/2023
Colorado	Approved	02/15/2023
Connecticut	Approved	02/07/2023
Delaware	Approved	03/10/2023
District of Columbia	Approved	04/26/2023
Florida	Approved	07/27/2023
Georgia	Approved	03/22/2023
Hawaii	Approved	03/21/2023
Idaho	Approved	01/31/2023
Illinois	Approved	03/15/2023
Indiana	Approved	12/21/2022
Iowa	Approved	01/24/2023
Kansas	Approved	01/30/2023
Kentucky	Approved	02/03/2023
Louisiana	Approved	01/30/2023
Maine	Approved	02/07/2023
Maryland	Approved	01/26/2023
Massachusetts	Approved	04/03/2023
Michigan	Approved	04/27/2023
Minnesota	Approved	04/14/2023
Mississippi	Approved	01/30/2023
Missouri	Approved	04/28/2023
Montana	Approved	01/10/2023
Nebraska	Approved	02/06/2023
Nevada	Approved	04/03/2023
New Hampshire	Approved	04/13/2023
New Jersey	Approved	03/15/2023
New Mexico	Approved	03/17/2023
New York	Approved	01/29/2023

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	03/08/2023
North Dakota	Approved	03/16/2023
Ohio	Approved	02/07/2023
Oklahoma	Approved	01/26/2023
Oregon	Approved	03/14/2023
Pennsylvania	Approved	01/30/2023
Puerto Rico	Approved	04/14/2023
Rhode Island	Approved	01/24/2023
South Carolina	Approved	02/16/2023
South Dakota	Approved	02/03/2023
Tennessee	Approved	02/14/2023
Texas	Approved	02/17/2023
Utah	Approved	01/26/2023
Vermont	Approved	04/03/2023
Virgin Islands	Approved	05/03/2023
Virginia	Approved	02/14/2023
Washington	Approved	02/16/2023
West Virginia	Approved	02/22/2023
Wisconsin	Approved	02/08/2023
Wyoming	Approved	02/23/2023

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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 - THE FIRM PROVIDES ITS CUSTOMERS WITH ACCESS TO AN ONLINE BROKERAGE PLATFORM.

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:

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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:	APEX CLEARING CORPORATION
CRD #:	13071
Business Address:	ONE DALLAS CENTER 350 N. ST. PAUL, SUITE 1300 DALLAS, TX 75201
Effective Date:	08/23/2021
Description:	THE FIRM HAS A CLEARING AGREEMENT WITH APEX CLEARING CORPORATION UNDER WHICH ITS CUSTOMER ACCOUNTS ARE INTRODUCED TO APEX ON A FULLY-DISCLOSED BASIS.

Firm Operations

Industry Arrangements

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

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: ONE DALLAS CENTER
350 N. ST. PAUL, SUITE 1300
DALLAS, TX 75201

Effective Date: 08/23/2021

Description: THE FIRM HAS A CLEARING AGREEMENT WITH APEX CLEARING CORPORATION UNDER WHICH ITS CUSTOMER ACCOUNTS ARE INTRODUCED TO APEX ON A FULLY-DISCLOSED BASIS.

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

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: ONE DALLAS CENTER
350 N. ST. PAUL SUITE 1300
DALLAS, TX 75201

Effective Date: 08/23/2021

Description: THE FIRM HAS A CLEARING AGREEMENT WITH APEX CLEARING CORPORATION UNDER WHICH ITS CUSTOMER ACCOUNTS ARE INTRODUCED TO APEX ON A FULLY-DISCLOSED BASIS.

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

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: ONE DALLAS CENTER
350 N. ST. PAUL SUITE 1300
DALLAS, TX 75201

Effective Date: 08/23/2021

Description: THE FIRM HAS A CLEARING AGREEMENT WITH APEX CLEARING CORPORATION UNDER WHICH ITS CUSTOMER ACCOUNTS ARE INTRODUCED TO APEX ON A FULLY-DISCLOSED BASIS.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

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Firm Operations

Industry Arrangements (continued)

This firm does not have individuals who wholly or partly finance the firm's business.

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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.

DASTA INVESTMENTS LLC is under common control with the firm.

CRD #:	315589
Business Address:	520 BROADWWAY, 11TH FLOOR NEW YORK, NY 10012
Effective Date:	07/07/2021
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	DASTA INVESTMENTS, LLC (F/K/A ECHOFI INVESTMENTS LLC), AN INVESTMENT ADVISER, AND DASTA FINANCIAL, LLC ARE WHOLLY-OWNED SUBSIDIARIES OF DASTA INCORPORATED.

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**

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End of Report

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