

BrokerCheck Report

WESTCAP MARKETS, LLC

CRD# 318970

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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.

**WESTCAP MARKETS, LLC**

CRD# 318970

SEC# 8-70895

Main Office Location

25 CHURCH ROAD
RYE BEACH, NH 03871
Regulated by FINRA Boston Office

Mailing Address

25 CHURCH ROAD
RYE BEACH, NH 03871

Business Telephone Number

917-834-1136

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 10/20/2021.

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 4 types of businesses.

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 10/20/2021.

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.

WESTCAP MARKETS, LLC

Doing business as WESTCAP MARKETS, LLC

CRD# 318970

SEC# 8-70895

Main Office Location

25 CHURCH ROAD
RYE BEACH, NH 03871

Regulated by FINRA Boston Office

Mailing Address

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RYE BEACH, NH 03871

Business Telephone Number

917-834-1136



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): WESTCAP MANAGEMENT, LLC

301822

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

Position PARENT COMPANY

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? Yes

Legal Name & CRD# (if any): BACH, KRISTINA

4281682

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

Position FINOP, PRINCIPAL FINANCIAL OFFICER AND PRINCIPAL OPERATIONS OFFICER

Position Start Date 09/2023

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): COMBS, MARINA

4536154

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

Position CHIEF COMPLIANCE OFFICER

Firm Profile



Direct Owners and Executive Officers (continued)

Position Start Date 07/2025

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): DODWELL, JAMES LARKIN III
2962275

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

Position CHIEF OPERATING OFFICER

Position Start Date 11/2024

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): MULLEN, JOHN JEFFREY
4168772

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

Position CHIEF EXECUTIVE OFFICER

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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	TOSI, LAURENCE ANTHONY 4876604
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	WESTCAP MANAGEMENT, LLC
Relationship to Direct Owner	MANAGING PARTNER
Relationship Established	02/2019
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

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	01/06/2023

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	01/06/2023



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	03/01/2023
Alaska	Approved	03/15/2023
Arizona	Approved	02/06/2023
Arkansas	Approved	02/28/2023
California	Approved	02/27/2023
Colorado	Approved	03/01/2023
Connecticut	Approved	02/27/2023
Delaware	Approved	03/01/2023
District of Columbia	Approved	03/01/2023
Florida	Approved	05/30/2023
Georgia	Approved	02/07/2023
Hawaii	Approved	02/24/2023
Idaho	Approved	02/24/2023
Illinois	Approved	03/02/2023
Indiana	Approved	03/08/2023
Iowa	Approved	01/20/2023
Kansas	Approved	02/24/2023
Kentucky	Approved	03/01/2023
Louisiana	Approved	02/27/2023
Maine	Approved	02/27/2023
Maryland	Approved	02/07/2023
Massachusetts	Approved	06/23/2023
Michigan	Approved	01/24/2023
Minnesota	Approved	08/24/2023
Mississippi	Approved	03/01/2023
Missouri	Approved	03/21/2023
Montana	Approved	03/03/2023
Nebraska	Approved	03/01/2023
Nevada	Approved	02/28/2023
New Hampshire	Approved	02/24/2023
New Jersey	Approved	03/01/2023
New Mexico	Approved	03/06/2023
New York	Approved	02/27/2023

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	02/28/2023
North Dakota	Approved	02/28/2023
Ohio	Approved	01/31/2023
Oklahoma	Approved	02/24/2023
Oregon	Approved	01/31/2023
Pennsylvania	Approved	02/28/2023
Puerto Rico	Approved	03/07/2023
Rhode Island	Approved	02/17/2023
South Carolina	Approved	02/27/2023
South Dakota	Approved	02/03/2023
Tennessee	Approved	02/27/2023
Texas	Approved	02/28/2023
Utah	Approved	01/24/2023
Vermont	Approved	02/24/2023
Virgin Islands	Approved	03/16/2023
Virginia	Approved	02/28/2023
Washington	Approved	02/27/2023
West Virginia	Approved	02/28/2023
Wisconsin	Approved	02/27/2023
Wyoming	Approved	02/27/2023



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

Underwriter or selling group participant (corporate securities other than mutual funds)

Mutual fund retailer

Private placements of securities

Other - THE FIRM WILL PROVIDE MERGERS & ACQUISITIONS ADVISORY SERVICES TO INSTITUTIONAL CLIENTS.

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 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
8TH FLOOR
NEW YORK, NY 10016
Effective Date: 01/06/2023
Description: WESTCAP MARKETS HAS AN AGREEMENT IN PLACE WITH COMPLIANCE SCIENCE, INC. (COMPLYSCI) TO ARCHIVE CERTAIN BOOKS AND RECORDS OF THE FIRM.

Name: 17A-4, LLC
Business Address: 15 BREEZE HILL
P.O. BOX 1492
MILLBROOK, NY 12545
Effective Date: 06/29/2022
Description: WESTCAP MARKETS HAS AN AGREEMENT IN PLACE WITH 17A-4, LLC TO ARCHIVE BOOKS AND RECORDS OF THE FIRM.

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.

WESTCAP MANAGEMENT, LLC controls the firm.

CRD #:	301822
Business Address:	590 PACIFIC AVENUE SAN FRANCISCO, CA 94135
Effective Date:	10/21/2021
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE AFFILIATE, WESTCAP MANAGEMENT, LLC MAINTAINS CONTROL OVER WESTCAP MARKETS, 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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