

BrokerCheck Report
STG SECURITIES, LLC

CRD# 322438

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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.

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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



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.](http://www.finra.org)



STG SECURITIES, LLC

CRD# 322438

SEC# 8-70947

Main Office Location

250 WEST 55TH STREET
NEW YORK, NY 10019
Regulated by FINRA New York Office

Mailing Address

250 WEST 55TH STREET
NEW YORK, NY 10019

Business Telephone Number

16468681720

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 03/12/2013.

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
- 17 Self-Regulatory Organizations
- 0 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 not affiliated with any 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 03/12/2013.

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.

STG SECURITIES, LLC

Doing business as STG SECURITIES, LLC

CRD# 322438

SEC# 8-70947

Main Office Location

250 WEST 55TH STREET
NEW YORK, NY 10019

Regulated by FINRA New York Office

Mailing Address

250 WEST 55TH STREET
NEW YORK, NY 10019

Business Telephone Number

16468681720



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): | STG LIMITED |
| Is this a domestic or foreign entity or an individual? | Foreign Entity |
| Position | OWNER |
| Position Start Date | 01/2026 |
| Percentage of Ownership | 50% but less than 75% |
| Does this owner direct the management or policies of the firm? | Yes |
| Is this a public reporting company? | No |

| | |
|---|-----------------------------|
| Legal Name & CRD# (if any): | STG SECURITIES HOLDINGS LLC |
| Is this a domestic or foreign entity or an individual? | Domestic Entity |
| Position | OWNER |
| Position Start Date | 09/2025 |
| 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): | BLAIR, AMELIA KATE 7012521 |
| Is this a domestic or foreign entity or an individual? | Individual |
| Position | CHIEF COMPLIANCE OFFICER |
| Position Start Date | 04/2026 |
| Percentage of Ownership | Less than 5% |

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): GELMAN, KIRILL
2981442

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

Position CEO

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): LEVINE, ERIC JOSHUA
4212177

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

Position HEAD OF TRADING

Position Start Date 12/2025

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): SLOAN NOWAK, JACQUELINE LEE
2717305

Firm Profile



Direct Owners and Executive Officers (continued)

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

Position FINOP

Position Start Date 09/2025

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



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any): STG HOLDINGS LTD

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

Company through which indirect ownership is established STG LIMITED

Relationship to Direct Owner OWNER

Relationship Established 04/2023

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): STG LIMITED

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

Company through which indirect ownership is established STG SECURITIES GROUP HOLDINGS LTD

Relationship to Direct Owner OWNER

Relationship Established 12/2025

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): STG SECURITIES GROUP HOLDINGS LTD

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

Firm Profile



Indirect Owners (continued)

| | |
|---|-----------------------------|
| Company through which indirect ownership is established | STG SECURITIES HOLDINGS LLC |
| Relationship to Direct Owner | OWNER |
| Relationship Established | 12/2025 |
| 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, 17 SROs and 0 U.S. states and territories.

| Federal Regulator | Status | Date Effective |
|-------------------|----------|----------------|
| SEC | Approved | 07/26/2023 |

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 | 07/26/2023 |
| BOX Exchange LLC | Approved | 10/17/2025 |
| Cboe BZX Exchange, Inc. | Approved | 10/22/2025 |
| Cboe C2 Exchange, Inc. | Approved | 11/10/2025 |
| Cboe EDGX Exchange, Inc. | Approved | 10/22/2025 |
| Cboe Exchange, Inc. | Approved | 11/10/2025 |
| MIAX Emerald, LLC | Approved | 11/18/2025 |
| MIAX PEARL, LLC | Approved | 11/18/2025 |
| Miami International Securities Exchange, LLC | Approved | 11/18/2025 |
| NYSE American LLC | Approved | 11/04/2025 |
| NYSE Arca, Inc. | Approved | 11/04/2025 |
| Nasdaq GEMX, LLC | Approved | 10/20/2025 |
| Nasdaq ISE, LLC | Approved | 10/20/2025 |
| Nasdaq MRX, LLC | Approved | 10/20/2025 |
| Nasdaq PHLX LLC | Approved | 10/20/2025 |

| | | |
|---------------------|----------|------------|
| Nasdaq Stock Market | Approved | 08/02/2023 |
| Nasdaq Texas, LLC | Approved | 10/20/2025 |

Firm Operations

Registrations (continued)



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 making inter-dealer markets in corporation securities over-the-counter

Put and call broker or dealer or option writer

Trading securities for own account

Other Types of Business

This firm does 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: AMAZON WEB SERVICES, INC.
Business Address: 410 TERRY AVENUE NORTH
SEATTLE, WA 98109
Effective Date: 12/24/2025
Description: AWS IS A DATA STORAGE PROVIDER THAT MAINTAINS CERTAIN BOOKS AND RECORDS.

Name: ACA GROUP
Business Address: 140 E. 45TH STREET, 29TH FLOOR
NEW YORK, NY 10017
Effective Date: 12/03/2025
Description: THE APPLICANT UTILIZES THE EMPLOYEE COMPLIANCE MODULE OF ACA'S WEB-BASED COMPLIANCE MANAGEMENT PLATFORM. UNDER THE AGREEMENT, ACA MAY STORE CERTAIN BOOKS AND RECORDS.

Name: SQUAREPOINT SERVICES US LLC
Business Address: 250 WEST 55TH STREET
NEW YORK, NY 10019
Effective Date: 11/18/2025
Description: SQUAREPOINT SERVICES US LLC PROVIDES CERTAIN SERVICES TO STG SECURITIES, LLC AND IN THAT CAPACITY MAINTAINS A PORTION OF STG SECURITIES, LLC'S BOOKS AND RECORDS.

Name: GLOBAL RELAY
Business Address: 220 CAMBIE STREET, 2ND FLOOR
VANCOUVER, BC V6B 2M9
Effective Date: 10/13/2025
Description: THE APPLICANT USES GLOBAL RELAY AS ITS OUTSOURCED ELECTRONIC RECORDKEEPING SYSTEM VENDOR.

Name: COMMVault
Business Address: 1 COMMVault WAY
SUITE 2900
TINTON FALLS, NJ 07724

Firm Operations



Industry Arrangements (continued)

Effective Date: 09/30/2025

Description: COMMVAULT IS A DATA STORAGE PROVIDER THAT MAINTAINS CERTAIN BOOKS AND RECORDS.

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

Name: GOLDMAN SACHS & CO. LLC

CRD #: 361

Business Address: 200 WEST STREET
SUITE 2900
NEW YORK, NY 10282

Effective Date: 10/17/2025

Description: AS THE FIRM'S CLEARING FIRM, GS&CO MAY HOLD AND MAINTAIN THE FIRM'S FUNDS AND SECURITIES.

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 not, 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.**

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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