

BrokerCheck Report

RUFFER LLC

CRD# 322523

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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.

**RUFFER LLC**

CRD# 322523

SEC# 8-70952

Main Office Location

300 PARK AVENUE
SUITE 1710
NEW YORK, NY 10022
Regulated by FINRA New York Office

Mailing Address

300 PARK AVENUE
SUITE 1710
NEW YORK, NY 10022

Business Telephone Number

1-203-524-8145

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 04/01/2022.

Its fiscal year ends in March.

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
- 51 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 04/01/2022.
Its fiscal year ends in March.

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.

RUFFER LLC

Doing business as RUFFER LLC

CRD# 322523

SEC# 8-70952

Main Office Location

300 PARK AVENUE
SUITE 1710
NEW YORK, NY 10022

Regulated by FINRA New York Office

Mailing Address

300 PARK AVENUE
SUITE 1710
NEW YORK, NY 10022

Business Telephone Number

1-203-524-8145

Other Names of this Firm

Name	Where is it used
RUFFER NORTH AMERICA LLC	NY



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): RUFFER IH LIMITED

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

Position MEMBER

Position Start Date 04/2022

Percentage of Ownership 75% or more

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

Is this a public reporting company? No

Legal Name & CRD# (if any): BRANT, DAVID ROBERT
2718478

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

Position FINOP, POO, PFO

Position Start Date 12/2022

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): GIMPEL, BRUCE PAUL
2682838

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

Position MEMBER OF BOARD OF DIRECTORS

Position Start Date 06/2022

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

Legal Name & CRD# (if any): KUTNEY, CHAD WILLIAM
4229844

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

Position APPOINTED MANAGER, MEMBER BOARD OF DIRECTORS, DIRECTOR - US INSTITUTIONAL, CCO AND AMLCO

Position Start Date 05/2022

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): MOUNTAIN, SIMON OLIVER
7770385

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

Position MEMBER OF BOARD OF DIRECTORS

Position Start Date 06/2023

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

Firm Profile



Direct Owners and Executive Officers (continued)

Legal Name & CRD# (if any):	OSBERG, SARA MICHEL 2965908
Is this a domestic or foreign entity or an individual?	Individual
Position	APPOINTED MANAGER, MEMBER OF BOARD OF DIRECTORS; DIRECTOR - CONSULTANT RELATIONS; EXECUTIVE REP.
Position Start Date	06/2022
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):	RUFFER LLP
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	RUFFER IH LTD
Relationship to Direct Owner	OWNER
Relationship Established	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

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 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	02/14/2023

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	02/14/2023



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	03/20/2023
Alaska	Approved	05/15/2023
Arizona	Approved	03/16/2023
Arkansas	Approved	06/21/2023
California	Approved	03/15/2023
Colorado	Approved	03/29/2023
Connecticut	Approved	02/15/2023
Delaware	Approved	03/21/2023
District of Columbia	Approved	11/13/2023
Florida	Approved	10/17/2024
Georgia	Approved	04/12/2023
Hawaii	Approved	03/27/2023
Idaho	Approved	03/10/2023
Illinois	Approved	10/06/2023
Indiana	Approved	03/27/2024
Iowa	Approved	03/10/2023
Kansas	Approved	03/20/2023
Kentucky	Approved	03/07/2023
Louisiana	Approved	04/25/2023
Maine	Approved	05/15/2023
Maryland	Approved	03/15/2023
Massachusetts	Approved	05/15/2023
Michigan	Approved	05/26/2023
Minnesota	Approved	04/21/2023
Mississippi	Approved	03/07/2023
Missouri	Approved	08/24/2023
Montana	Approved	04/18/2023
Nebraska	Approved	03/31/2023
Nevada	Approved	03/17/2023
New Hampshire	Approved	07/26/2023
New Jersey	Approved	05/30/2023
New Mexico	Approved	06/20/2023
New York	Approved	03/07/2023

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	03/21/2023
North Dakota	Approved	06/22/2023
Ohio	Approved	03/14/2023
Oklahoma	Approved	06/14/2023
Oregon	Approved	03/16/2023
Pennsylvania	Approved	03/14/2023
Rhode Island	Approved	03/01/2023
South Carolina	Approved	05/17/2023
South Dakota	Approved	03/01/2023
Tennessee	Approved	06/27/2023
Texas	Approved	03/24/2023
Utah	Approved	03/03/2023
Vermont	Approved	06/20/2023
Virginia	Approved	05/12/2023
Washington	Approved	05/10/2023
West Virginia	Approved	03/30/2023
Wisconsin	Approved	03/20/2023
Wyoming	Approved	07/10/2023



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 1 type of business.

Types of Business

Other - RUFFER LLC WILL MARKET/DISTRIBUTE FUNDS MANAGED BY AFFILIATED ENTITIES.

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 not have books or records maintained by a third party.

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.

RUFFER SA is under common control with the firm.

Business Address:	103 BD HAUSSMANN PARIS, FRANCE 75008
Effective Date:	04/01/2022
Foreign Entity:	Yes
Country:	FRANCE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RUFFER SA IS 100% OWNED BY RUFFER LLP. RUFFER LLP IS THE 100% OWNER OF RUFFER IH LTD, WHICH IS THE 100% OWNER OF RUFFER LLC

RUFFER AIFM LIMITED is under common control with the firm.

CRD #:	315315
Business Address:	80 VICTORIA STREET LONDON, ENGLAND SW1E 5JL
Effective Date:	04/01/2022
Foreign Entity:	Yes
Country:	ENGLAND
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RUFFER AIFM LTD IS 100% OWNED BY RUFFER LLP. RUFFER LLP IS THE 100% OWNER OF RUFFER IH LTD, WHICH IS THE 100% OWNER OF RUFFER LLC

Firm Operations



Organization Affiliates (continued)

RUFFER (CHANNEL ISLANDS) LIMITED is under common control with the firm.

Business Address:	SUITE 4, FIRST FLOOR, TOWER HILL HOUSE LE BORDAGE ST. PETER PORT, GUERNSEY GY1 1BP
Effective Date:	04/01/2022
Foreign Entity:	Yes
Country:	GUERNSEY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RUFFER(CHANNEL ISLANDS) LIMITED IS 100% OWNED BY RUFFER LLP. RUFFER LLP IS THE 100% OWNER OF RUFFER IH LTD, WHICH IS THE 100% OWNER OF RUFFER 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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