

BrokerCheck Report

NOMAD INVESTMENT SERVICES

CRD# 324105

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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:
 - o 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
 - o 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.

**NOMAD INVESTMENT SERVICES**

CRD# 324105

SEC# 8-71067

Main Office Location

20-102A
200 S BISCAYNE BLVD
MIAMI, FL 33131
Regulated by FINRA Florida Office

Mailing Address

20-102A
200 S BISCAYNE BLVD
MIAMI, FL 33131

Business Telephone Number

305-939-0397

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 corporation.

This firm was formed in Delaware on 10/14/2022.

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
- 1 U.S. state or territory

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 6 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**



Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 10/14/2022.

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.

NOMAD INVESTMENT SERVICES

Doing business as NOMAD INVESTMENT SERVICES

CRD# 324105

SEC# 8-71067

Main Office Location

20-102A
200 S BISCAYNE BLVD
MIAMI, FL 33131

Regulated by FINRA Florida Office

Mailing Address

20-102A
200 S BISCAYNE BLVD
MIAMI, FL 33131

Business Telephone Number

305-939-0397



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):	NOMAD FINTECH HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE SHAREHOLDER
Position Start Date	10/2022
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):	FASANELLA KAIRALLA, CAIO 7823695
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	10/2024
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):	GARCIA, DANIEL THOMAS 5847982
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	05/2025



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? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): HUBNER, ANDRE RICARDO
3249595

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

Position COO

Position Start Date 10/2024

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): MACHADO PINTO E SILVA, BRUNO
7237558

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

Position CCO

Position Start Date 05/2025

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): SPEZIALE, RICHARD SALVATORE

Firm Profile



Direct Owners and Executive Officers (continued)

	1192739
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	05/2025
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):	NOMAD HOLDING LTD.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	NOMAD FINTECH HOLDINGS LLC
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	07/2019
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 1 U.S state or territory.

Federal Regulator	Status	Date Effective
SEC	Approved	04/03/2025

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	04/03/2025

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Florida	Approved	06/25/2025



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 6 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Non-exchange member arranging for transactions in listed securities by exchange member
Other - BROKER OR DEALER SELLING EXCHANGE-TRADED FUNDS, PUBLICLY TRADED REITS, CERTIFICATES OF DEPOSITS, AND TIME DEPOSITS

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 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:	05/31/2024
Description:	THE APPLICANT ESTABLISHED A RELATIONSHIP WITH APEX TO CLEAR, CUSTODY, AND SETTLE CUSTOMER FUNDS AND SECURITIES ON A FULLY DISCLOSED BASIS

Firm Operations

Industry Arrangements



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

Name: MICROSOFT SHAREPOINT/BRASOFTWARE
Business Address: ONE MICROSOFT WAY
 REDMOND, WA 98052
Effective Date: 12/04/2024
Description: WE UTILIZE MICROSOFT SHAREPOINT FOR DAY-TO-DAY FOR FILES AND RECORDS

Name: AMAZON WEB SERVICES
Business Address: 410 TERRY AVENUE
 NORTH SEATTLE, WA 98109
Effective Date: 10/14/2022
Description: THE APPLICANT UTILIZES AMAZON WEB SERVICES FOR MAINTENANCE OF ITS BOOKS AND RECORDS.

Name: APEX CLEARING CORPORATION
CRD #: 13071
Business Address: ONE DALLAS CENTER 350 N. ST. PAUL
 SUITE 1300
 DALLAS, TX 75201
Effective Date: 05/31/2024
Description: THE APPLICANT ESTABLISHED A RELATIONSHIP WITH APEX TO CLEAR, CUSTODY, AND SETTLE CUSTOMER FUNDS AND SECURITIES ON A FULLY DISCLOSED BASIS

Name: GLOBAL RELAY
Business Address: 268 MADISON AVENUE,
 7TH FLOOR,
 NEW YORK, NY 10017
Effective Date: 10/14/2022
Description: THE APPLICANT HAS CONTRACTED WITH GLOBAL RELAY TO UTILIZE THEIR ELECTRONIC STORAGE MEDIA SERVICES TO ARCHIVE ITS ELECTRONIC COMMUNICATION RECORDS

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

Firm Operations



Industry Arrangements (continued)

Name: APEX CLEARING CORPORATION

CRD #: 13071

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

Effective Date: 05/31/2024

Description: THE APPLICANT ESTABLISHED A RELATIONSHIP WITH APEX TO CLEAR, CUSTODY, AND SETTLE CUSTOMER FUNDS AND SECURITIES 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: 05/31/2024

Description: THE APPLICANT ESTABLISHED A RELATIONSHIP WITH APEX TO CLEAR, CUSTODY, AND SETTLE CUSTOMER FUNDS AND SECURITIES ON A FULLY DISCLOSED BASIS

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.**

FUNDIFY ADVISORS LLC is under common control with the firm.

CRD #:	319004
Business Address:	5900 BALCONES DR AUSTIN, TX 78731
Effective Date:	10/15/2025
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	FIRM IS AFFILIATED WITH NOMAD INVESTMENT SERVICES VIA COMMON CONTROL PERSON DANIEL GARCIA

NOMAD WEALTH MANAGEMENT LTDA is under common control with the firm.

Business Address:	RUA BELA CINTRA, NO. 1,149, MEZZANINE, CONSOLAÇÃO SAO PAULO, BRAZIL 01415907
Effective Date:	12/20/2024
Foreign Entity:	Yes
Country:	BRAZIL
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BOTH NOMAD INVESTMENT SERVICES AND NOMAD WEALTH MANAGEMENT LTDA, A BRAZILIAN FINANCIAL ADVISOR, ARE OWNED BY THE SAME INDIRECT OWNER

Firm Operations



Organization Affiliates (continued)

COMPOSER SECURITIES LLC is under common control with the firm.

CRD #:	325118
Business Address:	427 MIDDLETON WAY CHESAPEAKE, VA 23322
Effective Date:	05/12/2025
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	FIRM IS AFFILIATED WITH COMPOSER SECURITIES LLC VIA COMMON CONTROL PERSON BRUNO MACHADO

NOMAD is under common control with the firm.

CRD #:	307764
Business Address:	873 EL CAMINO REAL MENLO PARK, CA
Effective Date:	10/14/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	NOMAD FINTECH, INC. IS A REGISTERED INVESTMENT ADVISER UNDER COMMON OWNERSHIP WITH THE APPLICANT.

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

Firm Operations



Organization Affiliates (continued)

End of Report



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