

BrokerCheck Report

PAVE SECURITIES, LLC

CRD# 324533

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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.

**PAVE SECURITIES, LLC**

CRD# 324533

SEC# 8-71031

Main Office Location

171 MADISON AVE.
SUITE 1500
NEW YORK, NY 10016
Regulated by FINRA New York Office

Mailing Address

171 MADISON AVE.
SUITE 1500
NEW YORK, NY 10016

Business Telephone Number

646-690-2800

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 11/30/2022.

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
- 51 U.S. states and territories

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

This firm conducts 2 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 limited liability company.

This firm was formed in Delaware on 11/30/2022.

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.

PAVE SECURITIES, LLC

Doing business as PAVE SECURITIES, LLC

CRD# 324533

SEC# 8-71031

Main Office Location

171 MADISON AVE.
SUITE 1500
NEW YORK, NY 10016

Regulated by FINRA New York Office

Mailing Address

171 MADISON AVE.
SUITE 1500
NEW YORK, NY 10016

Business Telephone Number

646-690-2800



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): PAVE FINANCE, INC.

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

Position SOLE MEMBER

Position Start Date 12/2022

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): AINSWORTH, CHRISTOPHER LEE
2726985

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

Position CHIEF EXECUTIVE OFFICER

Position Start Date 12/2022

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): DOLAN, ERIK J
3161467

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

Position CCO

Position Start Date 10/2025

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?	No
Is this a public reporting company?	No
<hr/>	
Legal Name & CRD# (if any):	GASTON, JEANNETTE NMN 2500225
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	EPI HOLDING, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	PAVE FINANCE, INC.
Relationship to Direct Owner	OWNER
Relationship Established	12/2022
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

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	08/29/2023

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	08/29/2023



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	09/09/2024
Alaska	Approved	04/22/2025
Arizona	Approved	04/12/2024
Arkansas	Approved	01/29/2024
California	Approved	10/17/2023
Colorado	Approved	04/12/2024
Connecticut	Approved	03/27/2024
Delaware	Approved	04/28/2025
District of Columbia	Approved	04/01/2025
Florida	Approved	02/08/2024
Georgia	Approved	05/31/2024
Hawaii	Approved	01/02/2024
Idaho	Approved	04/09/2025
Illinois	Approved	05/30/2024
Indiana	Approved	05/14/2024
Iowa	Approved	04/08/2025
Kansas	Approved	03/28/2024
Kentucky	Approved	04/24/2024
Louisiana	Approved	04/08/2025
Maine	Approved	08/21/2025
Maryland	Approved	09/10/2024
Massachusetts	Approved	10/03/2024
Michigan	Approved	11/14/2023
Minnesota	Approved	09/16/2024
Mississippi	Approved	04/30/2025
Missouri	Approved	05/30/2024
Montana	Approved	08/12/2024
Nebraska	Approved	04/17/2025
Nevada	Approved	05/02/2024
New Hampshire	Approved	06/17/2025
New Jersey	Approved	02/28/2024
New Mexico	Approved	02/12/2025
New York	Approved	10/10/2023

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	10/20/2023
Ohio	Approved	04/01/2024
Oklahoma	Approved	04/10/2025
Oregon	Approved	05/02/2024
Pennsylvania	Approved	08/12/2024
Puerto Rico	Approved	07/10/2025
Rhode Island	Approved	04/22/2025
South Carolina	Approved	08/07/2024
South Dakota	Approved	05/07/2025
Tennessee	Approved	05/02/2024
Texas	Approved	03/18/2024
Utah	Approved	03/29/2024
Vermont	Approved	05/13/2025
Virginia	Approved	08/20/2024
Washington	Approved	04/02/2024
West Virginia	Approved	05/01/2025
Wisconsin	Approved	04/17/2025
Wyoming	Approved	05/13/2025

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 2 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

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:	INTERACTIVE BROKERS LLC
CRD #:	36418
Business Address:	1 PICKWICK PLAZA GREENWICH, CT 06830
Effective Date:	12/12/2022
Description:	PAVE SECURITIES REFERS AND INTRODUCES CUSTOMERS TO INTERACTIVE BROKERS.

Firm Operations

Industry Arrangements



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

Name: ABACUS GROUP, LLC

Business Address: 221 PINE STREET
SUITE 600
SAN FRANCISCO, CA 94104

Effective Date: 12/12/2022

Description: ABACUS PROVIDES TECHNOLOGY SUPPORT AND BACKUP SERVICES FOR PAVE EMPLOYEES AND ASSOCIATED INDIVIDUALS.

Name: AMAZON WEB SERVICES

Business Address: 410 TERRY AVENUE NORTH
SEATTLE, WA 98109

Effective Date: 12/12/2022

Description: AMAZON WEB SERVICES (AWS) IS THE 3RD PARTY CLOUD/ DATA PROVIDER AND BACKUP SERVICE FOR PAVE'S APPLICATION AND SYSTEMS.

Name: GLOBAL RELAY

Business Address: 286 MADISON AVE.
NEW YORK, NY 10017

Effective Date: 12/12/2022

Description: GLOBAL RELAY IS THE 3RD PARTY EMAIL AND ONLINE COMMUNICATIONS SERVICES RETENTION AND BACKUP SERVICE.

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

Name: SILICON VALLEY BANK

Business Address: 3003 TASMAN DRIVE
SANTA CLARA, CA 95054

Effective Date: 12/12/2022

Description: PROVIDES BANKING SERVICES TO THE BROKER DEALER.

Name: INTERACTIVE BROKERS LLC

CRD #: 36418

Business Address: 1 PICKWICK PLAZA
GREENWICH, CT 06830

Firm Operations



Industry Arrangements (continued)

Effective Date: 12/12/2022

Description: PAVE SECURITIES WILL MAINTAIN AN ACCOUNT IN CASE OF ANY BUSTED TRADES OR TRADE ERRORS. THE FIRM WILL NOT MAINTAIN ANY PROPRIETARY TRADING.

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

Name: INTERACTIVE BROKERS LLC

CRD #: 36418

Business Address: 1 PICKWICK PLAZA
GREENWICH, CT 06830

Effective Date: 12/12/2022

Description: PROVIDES CUSTODY, TRADING AND CLEARING SERVICES FOR CLIENTS.

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.

SYSTEMATIC ALPHA INVESTMENTS, LLC is under common control with the firm.

CRD #:	297693
Business Address:	36 MERCER STREET PRINCETON, NJ 08540
Effective Date:	01/01/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	AFFILIATION THROUGH COMMON CONTROL PERSON, CHRISTOPHER L. AINSWORTH CRD# 2726985.

PAVE INVESTMENT ADVISORS, LLC. is under common control with the firm.

CRD #:	322420
Business Address:	171 MADISON AVE. SUITE 1500 NEW YORK, NY 10016
Effective Date:	12/12/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	AFFILIATION THROUGH COMMON CONTROL PERSON, CHRISTOPHER L.

Firm Operations



Organization Affiliates (continued)

AINSWORTH CRD# 2726985. ADDITIONALLY, PAVE SECURITIES,LLC AND PAVE INVESTMENT ADVISORS, LLC ARE OWNED BY PAVE FINANCE, INC.

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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