BrokerCheck Report

COMPOSER SECURITIES LLC

CRD# 325118

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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Thank you for using FINRA BrokerCheck.

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.

COMPOSER SECURITIES LLC

CRD# 325118

SEC# 8-71057

Main Office Location

2750 EAST COTTONWOOD PARKWAY
#300
COTTONWOOD HEIGHTS, UT 84121
Regulated by FINRA Denver Office

Mailing Address

2750 EAST COTTONWOOD PARKWAY
#300
COTTONWOOD HEIGHTS, UT 84121

Business Telephone Number

305-857-5828

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 01/12/2023.

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 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 01/12/2023.

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.

COMPOSER SECURITIES LLC

Doing business as COMPOSER SECURITIES LLC

CRD# 325118

SEC# 8-71057

Main Office Location

2750 EAST COTTONWOOD PARKWAY
#300
COTTONWOOD HEIGHTS, UT 84121

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#300
COTTONWOOD HEIGHTS, UT 84121

Business Telephone Number

305-857-5828

Other Names of this Firm

Name	Where is it used
COMPOSER	FL

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):	COMPOSER TECHNOLOGIES, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER
Position Start Date	01/2023
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):	HOUK, PHILIP 6117722
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER AND CHIEF BROKERAGE OFFICER
Position Start Date	07/2026
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):	MACHADO PINTO E SILVA, BRUNO 7237558
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	06/2024

User Guidance

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):	SPEZIALE, RICHARD SALVATORE 1192739
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, PRINCIPAL FINANCIAL OFFICER, PRINCIPAL OPERATIONS OFFICER
Position Start Date	02/2023
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

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

Indirect Owners

Legal Name & CRD# (if any):	COMPOSER TECHNOLOGIES 311289
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	COMPOSER TECHNOLOGIES, INC.
Relationship to Direct Owner	SOLE SHAREHOLDER
Relationship Established	01/2023
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):	SOFI TECHNOLOGIES INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	COMPOSER TECHNOLOGIES INC.
Relationship to Direct Owner	SOLE SHAREHOLDER
Relationship Established	03/2026
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

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	09/12/2023

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	09/12/2023

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	12/08/2023
Alaska	Approved	09/22/2023
Arizona	Approved	10/19/2023
Arkansas	Approved	11/01/2023
California	Approved	11/01/2023
Colorado	Approved	11/07/2023
Connecticut	Approved	11/02/2023
Delaware	Approved	11/06/2023
District of Columbia	Approved	04/09/2024
Florida	Approved	10/31/2023
Georgia	Approved	09/22/2023
Hawaii	Approved	11/01/2023
Idaho	Approved	11/01/2023
Illinois	Approved	03/04/2024
Indiana	Approved	02/06/2024
Iowa	Approved	09/06/2023
Kansas	Approved	11/01/2023
Kentucky	Approved	11/01/2023
Louisiana	Approved	11/01/2023
Maine	Approved	11/02/2023
Maryland	Approved	11/02/2023
Massachusetts	Approved	04/29/2024
Michigan	Approved	10/17/2023
Minnesota	Approved	02/06/2024
Mississippi	Approved	11/01/2023
Missouri	Approved	11/06/2023
Montana	Approved	09/06/2023
Nebraska	Approved	10/20/2023
Nevada	Approved	11/06/2023
New Hampshire	Approved	11/02/2023
New Jersey	Approved	11/14/2023
New Mexico	Approved	11/16/2023
New York	Approved	11/02/2023

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	11/06/2023
North Dakota	Approved	02/14/2024
Ohio	Approved	09/22/2023
Oklahoma	Approved	11/06/2023
Oregon	Approved	11/06/2023
Pennsylvania	Approved	11/02/2023
Puerto Rico	Approved	11/06/2023
Rhode Island	Approved	11/01/2023
South Carolina	Approved	11/02/2023
South Dakota	Approved	09/06/2023
Tennessee	Approved	11/06/2023
Texas	Approved	11/01/2023
Utah	Approved	09/21/2023
Vermont	Approved	11/06/2023
Virgin Islands	Approved	12/06/2023
Virginia	Approved	11/02/2023
Washington	Approved	11/02/2023
West Virginia	Approved	11/02/2023
Wisconsin	Approved	11/01/2023
Wyoming	Approved	11/06/2023

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

Types of Business
Broker or dealer retailing corporate equity securities over-the-counter
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Other - COMPOSER SECURITIES LLC ENGAGES IN ONLINE BROKERAGE SERVICES IN EQUITIES, ETFS, AND OPTIONS.

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:	ALPACA SECURITIES LLC
CRD #:	288202
Business Address:	12 EAST 49TH STREET FLOOR 11 NEW YORK, NY 10017
Effective Date:	07/10/2024
Description:	THE FIRM WILL CLEAR TRANSACTIONS ON A FULLY DISCLOSED BASIS WITH ALPACA SECURITIES LLC.

Name:	APEX CLEARING CORPORATION
CRD #:	13071
Business Address:	ONE DALLAS CENTER 350 N. ST. PAUL, SUITE 1300 DALLAS, TX 75201
Effective Date:	05/31/2023
Description:	THE FIRM CLEARS ALL TRANSACTIONS ON A FULLY DISCLOSED BASIS WITH APEX CLEARING CORPORATION.

Firm Operations

Industry Arrangements

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

Name:	ALPACA SECURITIES LLC
CRD #:	288202
Business Address:	12 EAST 49TH STREET FLOOR 11 NEW YORK, NY 10017
Effective Date:	07/10/2024
Description:	THE FIRM WILL CLEAR TRANSACTIONS ON A FULLY DISCLOSED BASIS WITH ALPACA SECURITIES LLC.

Name:	APEX CLEARING CORPORATION
CRD #:	13071
Business Address:	ONE DALLAS CENTER 350 N. ST. PAUL, SUITE 1300 DALLAS, TX 75201
Effective Date:	05/31/2023
Description:	THE FIRM CLEARS ALL TRANSACTIONS ON A FULLY DISCLOSED BASIS WITH APEX CLEARING CORPORATION.

This firm does not have accounts, funds, or securities maintained by a third party.

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

Name:	ALPACA SECURITIES LLC
CRD #:	288202
Business Address:	12 EAST 49TH STREET FLOOR 11 NEW YORK, NY 10017
Effective Date:	07/10/2024
Description:	THE FIRM WILL CLEAR TRANSACTIONS ON A FULLY DISCLOSED BASIS WITH ALPACA SECURITIES LLC.

Name:	APEX CLEARING CORPORATION
CRD #:	13071
Business Address:	ONE DALLAS CENTER 350 N. ST. PAUL, SUITE 1300

Firm Operations

Industry Arrangements (continued)

	DALLAS, TX 75201
Effective Date:	05/31/2023
Description:	THE FIRM CLEARS ALL TRANSACTIONS ON A FULLY DISCLOSED BASIS WITH APEX CLEARING CORPORATION.

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.

SOFI WEALTH LLC is under common control with the firm.

CRD #:	167958
Business Address:	234 1ST STREET SAN FRANCISCO, CA 94105
Effective Date:	04/01/2026
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	SOFI WEALTH LLC IS A CONTROL AFFILIATE WITH THE APPLICANT

SOFI SECURITIES LLC is under common control with the firm.

CRD #:	151717
Business Address:	234 1ST STREET SAN FRANCISCO, CA 94105
Effective Date:	04/01/2026
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	SOFI SECURITIES LLC IS A CONTROL AFFILIATE WITH THE APPLICANT

NOMAD INVESTMENT SERVICES is under common control with the firm.

Firm Operations

Organization Affiliates (continued)

CRD #:	324105
Business Address:	1111 LINCOLN RD. MIAMI BEACH, FL 33139
Effective Date:	05/23/2025
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	FIRM IS AFFILIATED WITH NOMAD INVESTMENT SERVICES VIA COMMON CONTROL PERSON BRUNO MACHADO

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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