**BrokerCheck Report**

# MOONFARE SECURITIES USA

CRD# 325838



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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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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.

# MOONFARE SECURITIES USA

CRD# 325838

SEC# 8-71091

## Main Office Location

12TH E 49TH STREET
FLOOR 11
NEW YORK, NY 10017
Regulated by FINRA New York Office

## Mailing Address

12TH E 49TH STREET
FLOOR 11
NEW YORK, NY 10017

## Business Telephone Number

9292096942

# 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 10/28/2021.

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
- 50 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 10/28/2021.

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.

**MOONFARE SECURITIES USA LLC**

**Doing business as MOONFARE SECURITIES USA**

**CRD#** 325838

**SEC#** 8-71091

**Main Office Location**

12TH E 49TH STREET
FLOOR 11
NEW YORK, NY 10017

**Regulated by FINRA New York Office**

**Mailing Address**

12TH E 49TH STREET
FLOOR 11
NEW YORK, NY 10017

**Business Telephone Number**

9292096942

 

## 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):** | MOONFARE USA HOLDINGS LLC |
| **Is this a domestic or foreign entity or an individual?** | Domestic Entity |
| **Position** | OWNER |
| **Position Start Date** | 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 |

| | |
|---|---|
| **Legal Name & CRD# (if any):** | ABBRUZZESE, EMILY COPELAND<br>4606343 |
| **Is this a domestic or foreign entity or an individual?** | Individual |
| **Position** | PRINCIPAL FINANCIAL OFFICER/ FINOP |
| **Position Start Date** | 04/2023 |
| **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 |

| | |
|---|---|
| **Legal Name & CRD# (if any):** | REID, MEKALIA VIOLA<br>5535070 |
| **Is this a domestic or foreign entity or an individual?** | Individual |
| **Position** | CHIEF COMPLIANCE OFFICER |
| **Position Start Date** | 02/2023 |

## 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):** | SINGH, KUMAR<br>6577670 |
| **Is this a domestic or foreign entity or an individual?** | Individual |
| **Position** | PRINCIPAL |
| **Position Start Date** | 08/2025 |
| **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 |

# Firm Profile

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

## Indirect Owners

| | |
|---|---|
| **Legal Name & CRD# (if any):** | MOONFARE<br>319285 |
| **Is this a domestic or foreign entity or an individual?** | Foreign Entity |
| **Company through which indirect ownership is established** | MOONFARE USA HOLDINGS LLC |
| **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 |

| | |
|---|---|
| **Legal Name & CRD# (if any):** | PAULS, STEFFEN HERMANN<br>6920040 |
| **Is this a domestic or foreign entity or an individual?** | Individual |
| **Company through which indirect ownership is established** | ANCORA PARTNERS GBR |
| **Relationship to Direct Owner** | OWNER |
| **Relationship Established** | 07/2016 |
| **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):** | ANCORA PARTNERS GBR |

 

# Firm Profile

## Indirect Owners (continued)

| | |
|---|---|
| **Is this a domestic or foreign entity or an individual?** | Foreign Entity |
| **Company through which indirect ownership is established** | SP GLOBALPARTNERS SCS |
| **Relationship to Direct Owner** | OWNER |
| **Relationship Established** | 10/2016 |
| **Percentage of Ownership** | 25% but less than 50% |
| **Does this owner direct the management or policies of the firm?** | No |
| **Is this a public reporting company?** | No |

| | |
|---|---|
| **Legal Name & CRD# (if any):** | SP GLOBAL PARTNERS SCS |
| **Is this a domestic or foreign entity or an individual?** | Foreign Entity |
| **Company through which indirect ownership is established** | MOONFARE GMBH |
| **Relationship to Direct Owner** | SHAREHOLDER |
| **Relationship Established** | 03/2017 |
| **Percentage of Ownership** | 25% but less than 50% |
| **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 50 U.S. states and territories.**

| Federal Regulator | Status | Date Effective |
|---|---|---|
| SEC | Approved | 01/04/2024 |

## 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 | 01/04/2024 |

 

## Firm Operations

### Registrations (continued)

| U.S. States & Territories | Status | Date Effective |
|---|---|---|
| Alabama | Approved | 01/30/2024 |
| Arizona | Approved | 01/19/2024 |
| Arkansas | Approved | 02/02/2024 |
| California | Approved | 01/12/2024 |
| Colorado | Approved | 01/24/2024 |
| Connecticut | Approved | 02/01/2024 |
| Delaware | Approved | 01/18/2024 |
| District of Columbia | Approved | 01/29/2024 |
| Florida | Approved | 03/11/2024 |
| Georgia | Approved | 01/25/2024 |
| Hawaii | Approved | 01/23/2024 |
| Idaho | Approved | 01/29/2024 |
| Illinois | Approved | 04/11/2024 |
| Indiana | Approved | 02/05/2024 |
| Iowa | Approved | 01/24/2024 |
| Kansas | Approved | 01/31/2024 |
| Kentucky | Approved | 01/29/2024 |
| Louisiana | Approved | 01/17/2024 |
| Maine | Approved | 01/18/2024 |
| Maryland | Approved | 02/21/2024 |
| Massachusetts | Approved | 04/01/2024 |
| Michigan | Approved | 01/24/2024 |
| Minnesota | Approved | 03/08/2024 |
| Mississippi | Approved | 01/26/2024 |
| Missouri | Approved | 03/18/2024 |
| Montana | Approved | 01/10/2024 |
| Nebraska | Approved | 02/29/2024 |
| Nevada | Approved | 01/17/2024 |
| New Hampshire | Approved | 01/26/2024 |
| New Jersey | Approved | 01/23/2024 |
| New Mexico | Approved | 01/26/2024 |
| New York | Approved | 01/11/2024 |
| North Carolina | Approved | 01/18/2024 |

| U.S. States & Territories | Status | Date Effective |
|---|---|---|
| North Dakota | Approved | 02/16/2024 |
| Ohio | Approved | 01/18/2024 |
| Oklahoma | Approved | 02/01/2024 |
| Oregon | Approved | 01/18/2024 |
| Pennsylvania | Approved | 01/12/2024 |
| Rhode Island | Approved | 01/17/2024 |
| South Carolina | Approved | 01/18/2024 |
| South Dakota | Approved | 01/24/2024 |
| Tennessee | Approved | 01/19/2024 |
| Texas | Approved | 01/30/2024 |
| Utah | Approved | 01/12/2024 |
| Vermont | Approved | 01/25/2024 |
| Virginia | Approved | 01/25/2024 |
| Washington | Approved | 01/24/2024 |
| West Virginia | Approved | 01/30/2024 |
| Wisconsin | Approved | 01/26/2024 |
| Wyoming | Approved | 02/02/2024 |

# 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 |
|---|
| Private placements of securities |

# 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.**

**MOONFARE INVESTMENT VERWALTUNGS GMBH is under common control with the firm.**

| | |
|---|---|
| **Business Address:** | KÖPENICKER STR. 40C<br>C/O MOONFARE GMBH<br>10179 BERLIN, GERMANY |
| **Effective Date:** | 12/23/2023 |
| **Foreign Entity:** | Yes |
| **Country:** | GERMANY |
| **Securities Activities:** | Yes |
| **Investment Advisory Activities:** | No |
| **Description:** | MOONFARE GMBH IS COMMON ULTIMATE PARENT. |

**ACCESS PRIVATE MARKET OPPORTUNITIES S.A. is under common control with the firm.**

| | |
|---|---|
| **Business Address:** | 412F, ROUTE D'ESCH<br>L-1471<br>LUXEMBOURG, GRAND DUCHY OF LUXEMBOURG |
| **Effective Date:** | 12/19/2023 |
| **Foreign Entity:** | Yes |
| **Country:** | LUXEMBOURG |
| **Securities Activities:** | Yes |
| **Investment Advisory Activities:** | No |
| **Description:** | MOONFARE GMBH IS COMMON ULTIMATE PARENT. |

**ACCESS GP S.A.R.L. is under common control with the firm.**

| | |
|---|---|
| **Business Address:** | 12, RUE DES MÉROVINGIENS |

# Firm Operations

## Organization Affiliates (continued)

| | |
|---|---|
| | L - 8070 BERTRANGE, GRAND DUCHY OF LUXEMBOURG |
| **Effective Date:** | 08/17/2021 |
| **Foreign Entity:** | Yes |
| **Country:** | GRAND DUCHY OF LUXEMBOURG |
| **Securities Activities:** | Yes |
| **Investment Advisory Activities:** | No |
| **Description:** | MOONFARE GMBH IS COMMON ULTIMATE PARENT. |

**MOONFARE UK LTD. is under common control with the firm.**

| | |
|---|---|
| **Business Address:** | 78 DUKE STREET<br>LONDON, UNITED KINGDOM W1K 6JQ |
| **Effective Date:** | 08/17/2021 |
| **Foreign Entity:** | Yes |
| **Country:** | ENGLAND AND WALES |
| **Securities Activities:** | Yes |
| **Investment Advisory Activities:** | No |
| **Description:** | MOONFARE GMBH IS COMMON ULTIMATE PARENT. |

**MOONFARE II S.A.R.L. is under common control with the firm.**

| | |
|---|---|
| **Business Address:** | 12, RUE DES MÉROVINGIENS<br>L - 8070 BERTRANGE, GRAND DUCHY OF LUXEMBOURG |
| **Effective Date:** | 08/17/2021 |
| **Foreign Entity:** | Yes |
| **Country:** | GRAND DUCHY OF LUXEMBOURG |
| **Securities Activities:** | Yes |
| **Investment Advisory Activities:** | No |
| **Description:** | MOONFARE GMBH IS COMMON ULTIMATE PARENT. |

**MOONFARE I S.A.R.L. is under common control with the firm.**

# Firm Operations

## Organization Affiliates (continued)

| | |
|---|---|
| **Business Address:** | 12, RUE DES MÉROVINGIENS<br>L - 8070 BERTRANGE, GRAND DUCHY OF LUXEMBOURG |
| **Effective Date:** | 08/17/2021 |
| **Foreign Entity:** | Yes |
| **Country:** | GRAND DUCHY OF LUXEMBOURG |
| **Securities Activities:** | Yes |
| **Investment Advisory Activities:** | No |
| **Description:** | MOONFARE GMBH IS COMMON ULTIMATE PARENT. |

**MOONFARE SINGAPORE PTE LTD. is under common control with the firm.**

| | |
|---|---|
| **Business Address:** | 135 CECIL STREET<br>#10-01 S PHILIPPINE AIRLINES BLDG<br>SINGAPORE, SINGAPORE 069536 |
| **Effective Date:** | 08/17/2021 |
| **Foreign Entity:** | Yes |
| **Country:** | SINGAPORE |
| **Securities Activities:** | Yes |
| **Investment Advisory Activities:** | No |
| **Description:** | MOONFARE GMBH IS COMMON ULTIMATE PARENT. |

**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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