

BrokerCheck Report

SPP CAPITAL PARTNERS L L C

CRD# 38103

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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.

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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.](http://www.finra.org)



SPP CAPITAL PARTNERS L L C

CRD# 38103

SEC# 8-48093

Main Office Location

550 FIFTH AVENUE
12TH FLOOR
NEW YORK, NY 10036
Regulated by FINRA New York Office

Mailing Address

550 FIFTH AVENUE
12TH FLOOR
NEW YORK, NY 10036

Business Telephone Number

212-455-4500

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 08/21/1998.

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
- 11 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 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 08/21/1998.
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.

SPP CAPITAL PARTNERS, LLC
Doing business as SPP CAPITAL PARTNERS L L C
CRD# 38103
SEC# 8-48093

Main Office Location

550 FIFTH AVENUE
12TH FLOOR
NEW YORK, NY 10036

Regulated by FINRA New York Office

Mailing Address

550 FIFTH AVENUE
12TH FLOOR
NEW YORK, NY 10036

Business Telephone Number

212-455-4500

Other Names of this Firm

Name	Where is it used
SPP MEZZANINE	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): SPP HOLDINGS, LLC

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

Position MEMBER

Position Start Date 10/1998

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): BUSCH, ROBIN ELLIS
2082719

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

Position MANAGING PARTNER

Position Start Date 10/1998

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): LAZARUS, AMY SUE
1498788

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

Position CHIEF FINANCIAL OFFICER/CHIEF COMPLIANCE OFFICER AND FINOP

Position Start Date 10/1998

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
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Legal Name & CRD# (if any):	SHAFFER, STEFAN L 1498973
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING PARTNER
Position Start Date	10/1998
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
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Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	BUSCH, ROBIN ELLIS 2082719
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	SPP HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	10/1998
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SHAFFER, STEFAN L 1498973
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	SPP HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	10/1998
Percentage of Ownership	25% but less than 50%
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 11 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/03/1996

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	01/03/1996

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	01/12/2005
Connecticut	Approved	03/18/2002
Florida	Approved	01/31/2005
Louisiana	Approved	01/26/2015
New Jersey	Approved	02/14/2005
New York	Approved	01/01/1997
Ohio	Approved	12/24/1997
Pennsylvania	Approved	01/28/2005
Texas	Approved	06/24/2015
Vermont	Approved	05/18/1998
Virginia	Approved	01/11/2005



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

Private placements of securities

Other - REGISTRANT ENGAGES IN THE BUSINESS OF ADVISING & ASSISTING CLIENTS IN THE ACQUISITION & DISPOSITION OF COS. & BUSINESSES;PVT. .PROVIDES CERTAIN ADMIN SVCS TO 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.**

SPP CREDIT ADVISORS II LLC is under common control with the firm.

CRD #:	323725
Business Address:	550 FIFTH AVENUE 12TH FLOOR NEW YORK, NY 10036
Effective Date:	08/31/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ROBIN BUSCH, STEFAN SHAFFER, AND AMY LAZARUS ARE CONTROL MEMBERS OF SPP CAPITAL PARTNERS, LLC AND SPP CREDIT ADVISORS II LLC THROUGH THEIR ROLES AS MANAGING MEMBERS AND OFFICERS.

SPP CREDIT ADVISORS LLC is under common control with the firm.

Business Address:	550 FIFTH AVENUE 12TH FLOOR NEW YORK, NY 10036
Effective Date:	03/19/2021
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ROBIN BUSCH, STEFAN SHAFFER, AND AMY LAZARUS ARE CONTROL

Firm Operations



Organization Affiliates (continued)

MEMBERS OF SPP CAPITAL PARTNERS, LLC AND SPP CREDIT ADVISORS LLC THROUGH THEIR ROLES AS MANAGING MEMBERS AND OFFICERS.

SPP MEZZANINE PARTNERS II, LLC is under common control with the firm.

Business Address: 550 5TH AVENUE
NEW YORK, NY 10036

Effective Date: 11/08/2006

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: SPP MEZZANINE PARTNERS II, LLC IS 100% OWNED BY SPP HOLDINGS, LLC. SPP HOLDINGS, LLC IS 100% OWNER OF SPP CAPITAL PARTNERS, 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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