BrokerCheck Report

EQUITYBEE SECURITIES, LLC

CRD# 41896

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.

EQUITYBEE SECURITIES, LLC

CRD# 41896

SEC# 8-49621

Main Office Location

955 ALMA STREET.
SUITE B
PALO ALTO, CA 94301
Regulated by FINRA San Francisco Office

Mailing Address

955 ALMA STREET.
SUITE B
PALO ALTO, CA 94301

Business Telephone Number

650-847-1149

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 03/04/1998.

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
- 52 U.S. states and territories

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

This firm conducts 3 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 03/04/1998.

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.

EQUITYBEE SECURITIES, LLC

Doing business as EQUITYBEE SECURITIES, LLC

CRD# 41896

SEC# 8-49621

Main Office Location

955 ALMA STREET.
SUITE B
PALO ALTO, CA 94301

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Business Telephone Number

650-847-1149

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):	EQUITYBEE INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT
Position Start Date	04/2021
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

Legal Name & CRD# (if any):	DANIELS, RICHARD MATTHEW 5877964
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP/PFO/POO
Position Start Date	02/2022
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

Legal Name & CRD# (if any):	KAISER, MICHELLE AMBROSIO 5880443
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER
Position Start Date	08/2024

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):	LEVINSON, MATTHEW TODD
	2972310
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	01/2026
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

No information reported.

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 52 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/20/1997

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	01/20/1997

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	02/09/2022
Alaska	Approved	01/27/2022
Arizona	Approved	06/28/2021
Arkansas	Approved	01/31/2022
California	Approved	06/04/2021
Colorado	Approved	03/24/2021
Connecticut	Approved	07/19/2021
Delaware	Approved	03/02/2022
District of Columbia	Approved	02/17/2022
Florida	Approved	01/28/2022
Georgia	Approved	02/16/2022
Hawaii	Approved	02/07/2022
Idaho	Approved	05/27/2021
Illinois	Approved	06/24/2021
Indiana	Approved	02/17/2022
Iowa	Approved	05/27/2021
Kansas	Approved	02/10/2022
Kentucky	Approved	06/01/2021
Louisiana	Approved	01/18/2022
Maine	Approved	11/08/2021
Maryland	Approved	01/24/2022
Massachusetts	Approved	04/13/2022
Michigan	Approved	02/10/2022
Minnesota	Approved	08/21/2021
Mississippi	Approved	05/26/2021
Missouri	Approved	03/08/2022
Montana	Approved	02/24/2022
Nebraska	Approved	02/15/2022
Nevada	Approved	06/01/2021
New Hampshire	Approved	03/09/2022
New Jersey	Approved	06/24/2021
New Mexico	Approved	03/01/2022
New York	Approved	06/28/2021

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	05/06/2021
North Dakota	Approved	03/01/2022
Ohio	Approved	06/10/2021
Oklahoma	Approved	06/03/2021
Oregon	Approved	06/11/2021
Pennsylvania	Approved	06/04/2021
Puerto Rico	Approved	02/22/2022
Rhode Island	Approved	05/26/2021
South Carolina	Approved	06/01/2021
South Dakota	Approved	05/26/2021
Tennessee	Approved	02/11/2022
Texas	Approved	07/01/2021
Utah	Approved	03/10/2021
Vermont	Approved	02/28/2022
Virginia	Approved	10/16/2021
Washington	Approved	06/25/2021
West Virginia	Approved	02/22/2022
Wisconsin	Approved	02/18/2022
Wyoming	Approved	02/14/2022

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 3 types of businesses.

Types of Business

Broker or dealer selling tax shelters or limited partnerships in primary distributions
Private placements of securities
Other - 12Z EQUITYBEE SECURITIES, LLC ENGAGES IN REFERRING INDIVIDUALS AND ENTITIES TO FINANCING INSTITUTIONS FOR WHICH THE FIRM WILL RECEIVE A FINDERS FEE.

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 have books or records maintained by a third party.

Name:	PAGEFREEZER
Business Address:	#500 - 311 WATER STREET VANCOUVER, CANADA V6B 1B8
Effective Date:	03/17/2022
Description:	PAGEFREEZER ARCHIVES THE FIRM'S WEBSITE AND AND SOCIAL MEDIA CONTENT

Name:	RED OAK COMPLIANCE SOFTWARE, LLC
Business Address:	1320 ARROW POINT DRIVE SUITE 411 CEDAR PARK, TX 78613
Effective Date:	02/07/2022
Description:	EQUITYBEE SECURITIES, LLC WILL USE RED OAK TO STORE AND ARCHIVE THE FIRM'S BOOKS AND RECORDS.

Name:	BOX.COM (UK) LTD.
Business Address:	1 OLD STREET YARD OLD STREET LONDON, UNITED KINGDOM EC1Y 8AF
Effective Date:	03/30/2021
Description:	EQUITYBEE SECURITIES, LLC WILL USE BOX TO STORE AND ARCHIVE THE FIRM'S BOOKS AND RECORDS.

Name:	GLOBAL RELAY COMMUNICATIONS, INC
Business Address:	220 CAMBIE STREET, 2ND FL VANCOUVER, BC, CANADA V6B 2M9
Effective Date:	04/20/2008
Description:	GLOBAL RELAY ARCHIVES/RETAINS OUR EMAIL.

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.

Firm Operations

Industry Arrangements (continued)

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.

EQUITYBEE ADVISORS, LLC is under common control with the firm.

CRD #:	309297
Business Address:	955 ALMA STREET. SUITE A PALO ALTO, CA 94301
Effective Date:	04/13/2021
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	EQUITYBEE ADVISORS, LLC IS UNDER COMMON CONTROL WITH EQUITYBEE SECURITIES, LLC AND IS WHOLLY OWNED BY EQUITYBEE, 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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