BrokerCheck Report

SECOND STREET SECURITIES, INC.

CRD# 42404

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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.

SECOND STREET SECURITIES, INC.

CRD# 42404

SEC# 8-49829

Main Office Location

600 TOWNSEND
SUITE 300
SAN FRANCISCO, CA 94103
Regulated by FINRA San Francisco Office

Mailing Address

600 TOWNSEND
SUITE 300
SAN FRANCISCO, CA 94103

Business Telephone Number

818-312-3283

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 corporation.

This firm was formed in Delaware on 11/21/1996.

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:

- 1 Self-Regulatory Organization
- 1 U.S. state or territory

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 11/21/1996.

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.

SECOND STREET SECURITIES, INC.

Doing business as SECOND STREET SECURITIES, INC.

CRD# 42404

SEC# 8-49829

Main Office Location

600 TOWNSEND
SUITE 300
SAN FRANCISCO, CA 94103

Regulated by FINRA San Francisco Office

Mailing Address

600 TOWNSEND
SUITE 300
SAN FRANCISCO, CA 94103

Business Telephone Number

818-312-3283

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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):	ADVENT SOFTWARE, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	11/1996
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

Legal Name & CRD# (if any):	BANERJEE, DEBASISH ("NMN") 1555979
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL, FINOP, CCO, CFO
Position Start Date	06/2006
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	BANERJEE, DEBASISH ("NMN") 1555979
Is this a domestic or foreign entity or an individual?	Individual
Position	PFO, POO
Position Start Date	10/2018

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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?	

Legal Name & CRD# (if any):	KURLAND, SCOTT HAMILTON 2726302
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL
Position Start Date	09/2019
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	

Legal Name & CRD# (if any):	TSUI, JACK
Is this a domestic or foreign entity or an individual?	Individual
Position	BOARD MEMBER
Position Start Date	12/2016
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	

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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):	SS&C TECHNOLOGIES HOLDINGS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	SS&C TECHNOLOGIES, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	05/2015
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

Legal Name & CRD# (if any):	SS&C TECHNOLOGIES, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ADVENT SOFTWARE, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	05/2015
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

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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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 1 SRO and 1 U.S state or territory.

Self-Regulatory Organization	Status	Date Effective
FINRA	Termination Requested	10/30/2026

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Termination Requested	10/30/2026

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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

Other - 10Y SECOND STREET SECURITIES, INC, IS 100% OWNED BY ADVENT SOFTWARE INC A PUBLICALLY TRADED FIRM. ADVENT SOFTWARE INC. SELLS INVESTMENT PORTFOLIO SOFTWARE PRODUCTS TO THE PROFESSIONAL INVESTMENT COMMUNITY. THE BROKER DEALER SECOND STREET SECURITIES INC IS PLANNING TO ENGAGE IN A GENERAL SECURITIES BUSINESS, ON A FULLY DISCLOSED BASIS WITH MORE THAN ONE CLEARING FIRM.

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:

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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.

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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.

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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.

EZE SOFTWARE GROUP PTY LIMITED is under common control with the firm.

Business Address:	LEVEL 17, 9 CASTLEREAGH STREET SYDNEY, AUSTRALIA 2000
Effective Date:	10/01/2008
Foreign Entity:	Yes
Country:	AUSTRALIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

SS&C MARKET SERVICES, LLC is under common control with the firm.

CRD #:	23568
Business Address:	920 2ND AVENUE SOUTH, SUITE 700 MINNEAPOLIS, MN 55402
Effective Date:	04/01/2018
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

ALPS PORTFOLIO SOLUTIONS DISTRIBUTOR, INC. is under common control with the firm.

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Firm Operations

Organization Affiliates (continued)

CRD #: 144464

Business Address: 1290 BROADWAY, SUITE 1100
DENVER, CO 80203

Effective Date: 04/01/2018

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

ALPS ADVISORS, INC. is under common control with the firm.

CRD #: 134340

Business Address: 1290 BROADWAY, SUITE 1100
DENVER, CO 80203

Effective Date: 04/01/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

ALPS DISTRIBUTORS, INC. is under common control with the firm.

CRD #: 16853

Business Address: 1290 BROADWAY, SUITE 1100
DENVER, CO 80203

Effective Date: 04/01/2018

Foreign Entity: No

Country:

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Firm Operations

Organization Affiliates (continued)

Securities Activities: Yes

Investment Advisory Activities: No

Description: BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

DST SYSTEMS is under common control with the firm.

Business Address: 333 W 11TH STREET
KANSAS CITY, MO 64105

Effective Date: 04/01/2018

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

EZE CASTLE TRANSACTION SERVICES LLC is under common control with the firm.

CRD #: 132246

Business Address: 12 FARNSWORTH STREET, 6TH FLOOR
BOSTON, MA 02210

Effective Date: 10/01/2018

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: BUSINESS AFFILIATE AND APPLICANT ARE UNDER COMMON CONTROL BY SS&C TECHNOLOGIES HOLDINGS, INC.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**

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Firm Operations

Organization Affiliates (continued)

- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

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Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

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Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	NASD RULES 1031 AND 2110 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT FIRM CONSENTED TO THE ENTRY OF FINDINGS THAT IT, ACTING THROUGH REGISTERED REPRESENTATIVE, PERMITTED INDIVIDUALS TO MAINTAIN THEIR SECURITIES LICENSES WITH FIRM ALTHOUGH THEY WERE NOT ACTIVELY INVOLVED IN THE FIRM'S INVESTMENT BANKING OR SECURITIES BUSINESS.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	09/19/2002
Docket/Case Number:	C9B020071
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	09/19/2002
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	
Sanction Details:	A CENSURE AND A FINE OF $7,500, JOINTLY AND SEVERALLY.

Reporting Source:	Firm
Current Status:	Final
Allegations:	RE: NASD REGISTRATION RULE 1031 AND NASD CONDUCT RULE 2110. THE NASD IS INVESTIGATING THE VALIDITY OF INDIVIDUALS REGISTRATIONS WITH THE BROKER DEALER
Initiated By:	NASD REGULATION
Date Initiated:	04/22/2002
Docket/Case Number:	C9B020071
Principal Product Type:	Other
Other Product Type(s):	RE: NASD REGISTRATION RULE 1031 AND NASD CONDUCT RULE 2110. THE NASD IS INVESTIGATING THE VALIDITY OF INDIVIDUALS

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REGISTRATIONS WITH THE BROKER DEALER

Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	09/19/2002
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING ALLEGED VIOLATIONS AND SOLEY FOR PURPOSE OF PROCEEDINGS BROUGHT ON BEHALFO OF THE NASD RE: THE FOLLOWING FINDINGS - AT VARIOUS PERIODS DURING 1997 AND 2002 SECOND STREET ACTING THROUGH IRV LICHTENWALD PERMITED JC, SL, AND JM TO MAINTAIN THEIR SECURITIES LICENSES WITH SECOND STREET ALTHOUGH THEY WERE NOT ACTIVELY INVOLOVED IN THE FIRM'S INVESTMENT BANKING OR SECURITIES BUSINESS. AS A RESULT OF SUCH CONDUCT SECOND STREET ACTING THROUGH LICTENWALD VIOLATED NASD MEMBERSHIP AND REGISTRATION RULE 1031 AND NASD CONDUCT RULE 2110. A CENSURE AND A FINE OF $7500, JOINTLY AND SEVERALLY BETWEEN SECOND STREET AND IRV LICHTENWALD.

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End of Report

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