

BrokerCheck Report
PATRICK BRAKE
 CRD# 1850590

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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:
 - o 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
 - o 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.

**PATRICK BRAKE**

CRD# 1850590

Currently employed by and registered with the following Firm(s):

B TP ICAP GLOBAL MARKETS AMERICAS LLC

200 VESEY STREET
6TH FLOOR
NEW YORK, NY 10285
CRD# 2762

Registered with this firm since: 06/30/2023

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 4 Self-Regulatory Organizations
- 1 U.S. state or territory

This broker has passed:

- 4 Principal/Supervisory Exams
- 6 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

B TULLETT PREBON FINANCIAL SERVICES LLC

CRD# 28196
NEW YORK, NY
03/2023 - 06/2023

B INVESTX MARKETS LLC

CRD# 148248
New York, NY
04/2021 - 03/2023

B HILL THOMPSON MAGID & CO., INC.

CRD# 2202
JERSEY CITY, NJ
02/1993 - 11/2006

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 4 SROs and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **TP ICAP GLOBAL MARKETS AMERICAS LLC**

Main Office Address: **200 VESEY STREET
6TH FLOOR
NEW YORK, NY 10285**

Firm CRD#: **2762**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	06/30/2023
B	FINRA	General Securities Principal	Approved	06/30/2023
B	FINRA	General Securities Representative	Approved	06/30/2023
B	FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	06/30/2023
B	FINRA	Private Securities Offerings Principal	Approved	06/30/2023
B	Nasdaq PHLX LLC	General Securities Principal	Approved	10/16/2023
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/16/2023
B	Nasdaq Stock Market	General Securities Principal	Approved	06/30/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	06/30/2023
B	New York Stock Exchange	General Securities Representative	Approved	06/30/2023

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	06/30/2023

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

TP ICAP GLOBAL MARKETS AMERICAS LLC

200 VESEY STREET

6TH FLOOR

NEW YORK, NY 10285



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 4 principal/supervisory exams, 6 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	10/25/2021
B Compliance Officer Examination	Series 14	05/07/2021
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	06/05/1998
B General Securities Sales Supervisor - Options Module Examination	Series 9	06/05/1998

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	02/17/2022
B Limited Representative-Private Securities Offerings	Series 82TO	04/07/2021
B Securities Industry Essentials Examination	SIE	03/16/2021
B Limited Representative-Equity Trader Exam	Series 55	11/03/1998
B General Securities Representative Examination	Series 7	07/30/1992
B Municipal Securities Representative Examination	Series 52	08/16/1989

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/24/2021

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Industry Exams this Broker has Passed, continued

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/2023 - 06/2023	TULLETT PREBON FINANCIAL SERVICES LLC	28196	NEW YORK, NY
B 04/2021 - 03/2023	INVESTX MARKETS LLC	148248	New York, NY
B 02/1993 - 11/2006	HILL THOMPSON MAGID & CO., INC.	2202	JERSEY CITY, NJ
B 02/2000 - 07/2002	THOMPSON DAVIS & CO., INC.	41353	RICHMOND, VA
B 08/1992 - 02/1993	MOORS & CABOT, INC.	594	BOSTON, MA
B 08/1991 - 10/1991	MOORS & CABOT, INC.	594	BOSTON, MA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
06/2023 - Present	TP ICAP GLOBAL MARKETS AMERICAS LLC	Mass Transfer	Y	NEW YORK, NY, United States
03/2023 - 06/2023	TULLETT PREBON FINANCIAL SERVICES LLC	Associate General Counsel Regulatory Broker Dealer	Y	New York, NY, United States
02/2021 - 02/2023	InvestX Capital Ltd.	Corporate Counsel	Y	New York, NY, United States
02/2021 - 02/2023	InvestX Markets LLC	Registered Representative	Y	New York, NY, United States
11/2020 - 02/2021	Unemployed	Unemployed	N	Hillsborough, NJ, United States
03/2020 - 11/2020	Industrial and Commercial Bank of China Financial Services LLC	Legal Counsel	Y	New York, NY, United States
10/2011 - 03/2020	Sumitomo Mitsui Banking Corporation	Associate General Counsel	N	New York, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
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Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

End of Report



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