

BrokerCheck Report

STEVEN FREDERIC SINGER

CRD# 2360737

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 10
Registration and Employment History	12 - 14



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.

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.

**STEVEN F. SINGER**

CRD# 2360737

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

B MIDDLEMARCH SECURITIES LLC
 700 CANAL ST.
 BUILDING 1, FLOOR 1, SUITE 148
 STAMFORD, CT 06902
 CRD# 283508
 Registered with this firm since: 03/06/2023

B INTERCOASTAL CAPITAL MARKETS, INC.
 200 EAST PALMETTO PARK ROAD
 SUITE 108
 BOCA RATON, FL 33432
 CRD# 83
 Registered with this firm since: 01/19/2021

B PUENTE SERVICIOS FINANCIEROS LLC
 801 BRICKELL AVENUE
 SUITE 2010
 MIAMI, FL 33131
 CRD# 304587
 Registered with this firm since: 11/30/2020

B ZEUS FINANCIAL, LLC
 4800 T-REX AVENUE
 SUITE 100
 BOCA RATON, FL 33431
 CRD# 18192
 Registered with this firm since: 07/09/2018

This broker is currently registered with FINRA or a national securities exchange at more than four brokerage firms. Please see the Registration History section of the report for a list of these brokerage firms.

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:**

- 2 Self-Regulatory Organizations
- 2 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 0 State Securities Law Exams

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

- B SEALE CAPITAL, INC.**
 CRD# 148420
 ARLINGTON, VA
 07/2010 - 05/2019
- B CG CAPITAL MARKETS, LLC**
 CRD# 35513
 BOCA RATON, FL
 08/2016 - 02/2019
- B INSIGNEO SECURITIES, LLC**
 CRD# 29249
 MIAMI, FL
 04/2011 - 01/2019

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 2 SROs and is licensed in 2 U.S. states and territories through his or her employer.

Employment 1 of 12

Firm Name: **CREDICORP CAPITAL LLC**

Main Office Address: **1111 BRICKELL AVENUE
SUITE 2825
MIAMI, FL 33131**

Firm CRD#: **136791**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	03/02/2009
B	FINRA	Operations Professional	Approved	10/20/2011

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	03/02/2009

Branch Office Locations

CREDICORP CAPITAL LLC

**1111 BRICKELL AVENUE
SUITE 2825
MIAMI, FL 33131**

Employment 2 of 12

Firm Name: **EAST WIND SECURITIES, LLC**

Main Office Address: **810 SEVENTH AVENUE
35TH FLOOR
NEW YORK, NY 10019**

Firm CRD#: **148032**



Broker Qualifications

Employment 2 of 12, continued

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	01/13/2009
B FINRA	Operations Professional	Approved	12/12/2011

Branch Office Locations

EAST WIND SECURITIES, LLC

810 SEVENTH AVENUE
35TH FLOOR
NEW YORK, NY 10019

Employment 3 of 12

Firm Name: **EQUUS FINANCIAL CONSULTING LLC**

Main Office Address: **78 PINE ST., SUITE 101
NEW CANAAN, CT 06840**

Firm CRD#: **131449**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	09/11/2006
B FINRA	Operations Professional	Approved	12/10/2011

U.S. State/ Territory	Category	Status	Date
B Connecticut	Agent	Approved	09/12/2006
B Florida	Agent	Approved	09/11/2006

Branch Office Locations

EQUUS FINANCIAL CONSULTING LLC

78 PINE ST., SUITE 101
NEW CANAAN, CT 06840



Broker Qualifications

Employment 4 of 12

Firm Name: **INTERCOASTAL CAPITAL MARKETS, INC.**
 Main Office Address: **200 EAST PALMETTO PARK ROAD
 SUITE 108
 BOCA RATON, FL 33432**
 Firm CRD#: **83**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	01/19/2021
B FINRA	Operations Professional	Approved	01/19/2021
U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	01/19/2021

Branch Office Locations

INTERCOASTAL CAPITAL MARKETS, INC.
 200 EAST PALMETTO PARK ROAD
 SUITE 108
 BOCA RATON, FL 33432

Employment 5 of 12

Firm Name: **JOSEPH GUNNAR & CO. LLC**
 Main Office Address: **1000 RXR PLAZA
 UNIONDALE, NY 11556**
 Firm CRD#: **24795**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	06/10/2005
B FINRA	Operations Professional	Approved	10/01/2018
B Nasdaq Stock Market	Financial and Operations Principal	Approved	07/12/2006



Broker Qualifications

Employment 5 of 12, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	06/10/2005

Branch Office Locations

JOSEPH GUNNAR & CO. LLC

1000 RXR PLAZA
UNIONDALE, NY 11556

JOSEPH GUNNAR & CO. LLC

40 WALL STREET
SUITE 3004
NEW YORK, NY 10005

Employment 6 of 12

Firm Name: **MARIVA CAPITAL MARKETS, LLC**

Main Office Address: **150 SE 2ND AVENUE
SUITE PH 4
MIAMI, FL 33131**

Firm CRD#: **156171**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	05/31/2013
B	FINRA	Operations Professional	Approved	10/01/2018
	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	07/09/2013

Branch Office Locations

MARIVA CAPITAL MARKETS, LLC

150 SE 2nd Avenue
SUITE PH3



Broker Qualifications

Employment 6 of 12, continued

MIAMI, FL 33131

Employment 7 of 12

Firm Name: **MIDDLEMARCH SECURITIES LLC**

Main Office Address: **700 CANAL ST.
BUILDING 1, FLOOR 1, SUITE 148
STAMFORD, CT 06902**

Firm CRD#: **283508**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	03/06/2023
B	FINRA	Operations Professional	Approved	03/06/2023

Branch Office Locations

MIDDLEMARCH SECURITIES LLC

700 CANAL ST.
BUILDING 1, FLOOR 1, SUITE 148
STAMFORD, CT 06902

Employment 8 of 12

Firm Name: **PUENTE SERVICIOS FINANCIEROS LLC**

Main Office Address: **801 BRICKELL AVENUE
SUITE 2010
MIAMI, FL 33131**

Firm CRD#: **304587**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	11/30/2020
B	FINRA	Operations Professional	Approved	11/30/2020

Branch Office Locations



Broker Qualifications

Employment 8 of 12, continued

PUENTE SERVICIOS FINANCIEROS LLC

801 BRICKELL AVENUE
SUITE 2010
MIAMI, FL 33131

Employment 9 of 12

Firm Name: **SABADELL SECURITIES USA, INC.**
Main Office Address: **1111 BRICKELL AVENUE, 30TH FLOOR**
MIAMI, FL 33131
Firm CRD#: **148137**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	05/10/2011
B FINRA	Operations Professional	Approved	11/14/2011
U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	05/10/2011

Branch Office Locations

SABADELL SECURITIES USA, INC.
1111 BRICKELL AVENUE, 30TH FLOOR
MIAMI, FL 33131

SABADELL SECURITIES USA, INC.
1111 BRICKELL AVENUE, 30TH FLOOR
MIAMI, FL 33131

Employment 10 of 12

Firm Name: **VALIDATE CAPITAL MARKETS, LLC**
Main Office Address: **505 PARK AVENUE, 14TH FLOOR**
NEW YORK, NY 10022
Firm CRD#: **133371**



Broker Qualifications

Employment 10 of 12, continued

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	01/30/2008
B FINRA	Operations Professional	Approved	10/01/2018
U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	08/03/2012

Branch Office Locations

VALIDATE CAPITAL MARKETS, LLC
 505 PARK AVENUE, 14TH FLOOR
 NEW YORK, NY 10022

Employment 11 of 12

Firm Name: **XP INVESTMENTS US, LLC**
 Main Office Address: **55 WEST 46TH STREET**
30TH FLOOR
NEW YORK, NY 10036
 Firm CRD#: **156691**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	10/01/2014
B FINRA	Operations Professional	Approved	10/01/2014
U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	10/01/2014

Branch Office Locations

XP INVESTMENTS US, LLC
 701 BRICKELL AVENUE



Broker Qualifications

Employment 11 of 12, continued

21ST FLOOR
MIAMI, FL 33131

Employment 12 of 12

Firm Name: **ZEUS FINANCIAL, LLC**
Main Office Address: **4800 T-REX AVENUE
SUITE 100
BOCA RATON, FL 33431**
Firm CRD#: **18192**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	07/09/2018
B FINRA	Operations Professional	Approved	09/28/2018
U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	07/09/2018

Branch Office Locations

ZEUS FINANCIAL, LLC
4800 T-REX AVENUE
SUITE 100
BOCA RATON, FL 33431



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 1 principal/supervisory exam, 2 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Financial and Operations Principal Examination	Series 27	06/15/1993

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	01/02/2023

State Securities Law Exams

Exam	Category	Date
No information reported.		

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



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 07/2010 - 05/2019	SEALE CAPITAL, INC.	148420	ARLINGTON, VA
B 08/2016 - 02/2019	CG CAPITAL MARKETS, LLC	35513	BOCA RATON, FL
B 04/2011 - 01/2019	INSIGNEO SECURITIES, LLC	29249	MIAMI, FL
B 07/2015 - 10/2016	RIVERROCK SECURITIES, LLC	153178	HOUSTON, TX
B 07/2010 - 05/2013	UNITED CAPITAL MARKETS, INC.	40980	MIAMI, FL
B 05/2010 - 04/2013	TCT SECURITIES & DERIVATIVES, LLC	149679	MIAMI, FL
B 06/2009 - 11/2012	MERCOR SECURITIES LLC	149016	NEW YORK, NY
B 04/2011 - 08/2012	AMBATA SECURITIES, LLC	131607	QUEENS, NY
B 02/2011 - 08/2011	SCS (USA) INC	153978	TORONTO ONTARIO, CANADA
B 10/2002 - 12/2009	REVA CAPITAL MARKETS LLC	105791	NEW YORK, NY
B 07/2001 - 09/2002	JOSEPH GUNNAR & CO. LLC	24795	UNIONDALE, NY
B 01/1997 - 06/2001	WEATHERLY SECURITIES CORPORATION	11081	NEW YORK, NY
B 06/1993 - 10/1996	AMERICORP SECURITIES, INC.	30405	NEW YORK, NY

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
03/2023 - Present	MIDDLEMARCH SECURITIES LLC	FINOP	Y	STAMFORD, CT, United States
05/2021 - Present	PUENTE ASESORAMIENTO DE INVERSIONES, LLC	FINANCIAL SERVICES	Y	MIAMI, FL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2021 - Present	INTERCOASTAL CAPITAL MARKETS INC	FINOP	Y	BOCA RATON, FL, United States
11/2020 - Present	PUNTE SERVICIOS FINANCIEROS LLC	FINOP/ CFO	Y	Miami, FL, United States
07/2018 - Present	Zeus Securities, Inc.	FINOP	Y	Boca Raton, FL, United States
09/2014 - Present	XP SECURITIES, LLC	CFO/FINOP	Y	MIAMI, FL, United States
05/2013 - Present	MARIVA CAPITAL MARKETS, LLC	FINOP	Y	MIAMI, FL, United States
05/2011 - Present	SABADELL SECURITIES USA, INC	FINOP/ CFO	Y	MIAMI, FL, United States
03/2009 - Present	CREDICORP CAPITAL LLC	FINOP CFO	Y	MIAMI, FL, United States
01/2009 - Present	EAST WIND SECURITIES, LLC	FINOP	Y	NEW YORK, NY, United States
01/2008 - Present	VALIDATE CAPITAL MARKETS LLC	FINOP	Y	NEW YORK, NY, United States
09/2006 - Present	EQUUS FINANCIAL CONSULTING	FINOP	Y	WESTPORT, CT, United States
06/2005 - Present	JOSEPH GUNNAR & CO., LLC	FINOP	Y	NEW YORK, NY, United States
06/2008 - 05/2019	SEALE CAPITAL, INC.	FINOP	Y	ARLINGTON, VA, United States
08/2016 - 02/2019	CG Capital Markets, LLC	CFO/FINOP	Y	Boca Raton, FL, United States
04/2011 - 01/2019	Insigneo Securities, LLC.	FINOP/CFO	Y	MIAMI, FL, United States
07/2015 - 10/2016	RIVERROCK SECURITIES, LLC	FINOP	Y	HOUSTON, TX, United States

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.

MAVEN STRATEGIC SOLUTIONS, LLC, 5030 CHAMPION BLVD, SUITE G11-124, BOCA RATON, FL 33496; PRESIDENT, CONSULTING, 1/1/05 160 HRS/MO., 160 HRS DURING TRDING. OUTSOURCED CFO, FINOP AND FINANCIAL SERVICES FOR FINANCIAL INSTITUTIONS. I receive a monthly retainer for this activity.

Registration and Employment History



Other Business Activities, continued

Volunteer Treasurer for Colts Travel Baseball, Inc., 11/12/2010-approx. 5hrs monthly, non-compensated and non-investment related.

End of Report



This page is intentionally left blank.