

## BrokerCheck Report

**ALAN MITCHELL KRIM**

CRD# 2785337

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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.

**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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**ALAN M. KRIM**

CRD# 2785337

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

**B IRONLIGHT MARKETS, LLC**  
 Mount Vernon, NY  
 CRD# 330576  
 Registered with this firm since: 01/07/2025

**B BEACONS STRATEGIC CAPITAL, INC.**  
 1054 SNIPE CT.  
 CARLSBAD, CA 92011  
 CRD# 32754  
 Registered with this firm since: 04/03/2023

**B PTR, INC.**  
 601 HADDON AVENUE  
 SUITE 108  
 COLLINGSWOOD, NJ 08108  
 CRD# 31559  
 Registered with this firm since: 01/30/2023

**B THINKEQUITY LLC**  
 17 STATE STREET, 41ST FLOOR  
 NEW YORK, NY 10004  
 CRD# 20996  
 Registered with this firm since: 08/31/2022

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:**

- 7 Self-Regulatory Organizations
- 0 U.S. states and territories

**This broker has passed:**

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

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

**B PARX TRADING, LLC**  
 CRD# 329378  
 NEW YORK, NY  
 08/2024 - 10/2024

**B TRADEMAS INC.**  
 CRD# 130030  
 NEW YORK, NY  
 06/2018 - 10/2024

**B CIRRUS RESEARCH, LLC**  
 CRD# 143800  
 NEW YORK, NY  
 06/2023 - 07/2024

**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? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Termination	1



## 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 7 SROs and is licensed in 0 U.S. states and territories through his or her employer.**

### Employment 1 of 5

Firm Name: **BEACONS STRATEGIC CAPITAL, INC.**

Main Office Address: **1054 SNIPE CT.  
CARLSBAD, CA 92011**

Firm CRD#: **32754**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	04/03/2023
B	FINRA	Operations Professional	Approved	04/03/2023
B	NYSE American LLC	Financial and Operations Principal	Approved	04/03/2023
B	New York Stock Exchange	Financial and Operations Principal	Approved	04/03/2023

### Branch Office Locations

**BEACONS STRATEGIC CAPITAL, INC.**

1054 SNIPE CT.  
CARLSBAD, CA 92011

### Employment 2 of 5

Firm Name: **FARINA & ASSOCIATES, INC.**

Main Office Address: **C/O BAYAT CONSULTING, INC.  
14 WALL STREET, 20TH FLOOR  
NEW YORK, NY 10005**

Firm CRD#: **32830**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	06/26/2019



## Broker Qualifications

### Employment 2 of 5, continued

	SRO	Category	Status	Date
<b>B</b>	FINRA	Operations Professional	Approved	06/26/2019
<b>B</b>	NYSE American LLC	Financial and Operations Principal	Approved	06/26/2019
<b>B</b>	New York Stock Exchange	Financial and Operations Principal	Approved	06/26/2019

### Branch Office Locations

**FARINA & ASSOCIATES, INC.**  
 C/O BAYAT CONSULTING, INC.  
 14 WALL STREET, 20TH FLOOR  
 NEW YORK, NY 10005

### Employment 3 of 5

Firm Name: **IRONLIGHT MARKETS, LLC**  
 Main Office Address: **57 VERNON PARKWAY**  
**MOUNT VERNON, NY 10552**  
 Firm CRD#: **330576**

	SRO	Category	Status	Date
<b>B</b>	FINRA	Financial and Operations Principal	Approved	01/07/2025
<b>B</b>	FINRA	Operations Professional	Approved	01/07/2025

### Branch Office Locations

**IRONLIGHT MARKETS, LLC**  
 Mount Vernon, NY

### Employment 4 of 5

Firm Name: **PTR, INC.**  
 Main Office Address: **601 HADDON AVENUE**  
**SUITE 108**  
**COLLINGSWOOD, NJ 08108**



## Broker Qualifications

### Employment 4 of 5, continued

Firm CRD#: **31559**

	SRO	Category	Status	Date
<b>B</b>	MIAX Sapphire	Financial and Operations Principal	Approved	05/01/2025
<b>B</b>	NYSE American LLC	Financial and Operations Principal	Approved	01/30/2023
<b>B</b>	Nasdaq PHLX LLC	Financial and Operations Principal	Approved	01/30/2023

### Branch Office Locations

**PTR, INC.**  
 601 HADDON AVENUE  
 SUITE 108  
 COLLINGSWOOD, NJ 08108

### Employment 5 of 5

Firm Name: **THINKEQUITY LLC**  
 Main Office Address: **17 STATE STREET, 41ST FLOOR**  
**NEW YORK, NY 10004**  
 Firm CRD#: **20996**

	SRO	Category	Status	Date
<b>B</b>	FINRA	Financial and Operations Principal	Approved	08/31/2022
<b>B</b>	FINRA	Operations Professional	Approved	08/31/2022
<b>B</b>	NYSE American LLC	Financial and Operations Principal	Approved	08/31/2022
<b>B</b>	NYSE Arca, Inc.	Financial and Operations Principal	Approved	08/31/2022
<b>B</b>	Nasdaq Stock Market	Financial and Operations Principal	Approved	08/31/2022
<b>B</b>	New York Stock Exchange	Financial and Operations Principal	Approved	08/31/2022

### Branch Office Locations

## Broker Qualifications



### Employment 5 of 5, continued

**THINKEQUITY LLC**  
17 STATE STREET, 41ST FLOOR  
NEW YORK, NY 10004

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## 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, 3 general industry/product exams, and 0 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Financial and Operations Principal Examination	Series 27	04/10/2001

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	01/02/2023
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> NYSE Trading Assistant Examination	Series 25	03/13/2000

### 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/](http://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>B</b> 08/2024 - 10/2024	PARX TRADING, LLC	329378	NEW YORK, NY
<b>B</b> 06/2018 - 10/2024	TRADEMAS INC.	130030	NEW YORK, NY
<b>B</b> 06/2023 - 07/2024	CIRRUS RESEARCH, LLC	143800	NEW YORK, NY
<b>B</b> 10/2020 - 12/2023	DE PAOLA TRADING, INC.	143625	NEW YORK, NY
<b>B</b> 04/2023 - 07/2023	PENSION FUND EVALUATIONS, INC.	10985	CENTEREACH, NY
<b>B</b> 02/2021 - 01/2023	JP DERIVATIVES, LLC	284131	NEW YORK, NY
<b>B</b> 09/2018 - 06/2019	JAMES E. COFFEY SECURITIES, INC.	141393	NEW YORK, NY
<b>B</b> 01/2017 - 03/2017	J. STREICHER CAPITAL LLC	146671	NEW YORK, NY
<b>B</b> 08/2014 - 06/2016	CLANCY FINANCIAL SERVICES, INC.	133379	NEW YORK, NY
<b>B</b> 07/2014 - 06/2016	DERMOTT W. CLANCY CORP.	37451	NEW YORK, NY
<b>B</b> 01/2013 - 12/2015	ILLUSTRO TRADING, LLC	32792	NEW YORK, NY
<b>B</b> 01/2009 - 11/2015	EMPIRE EXECUTIONS, INC.	44957	NEW YORK, NY
<b>B</b> 01/2013 - 04/2015	G&L PARTNERS, INC.	129605	SEA CLIFF, NY
<b>B</b> 03/2013 - 10/2013	OBSIDIAN FINANCIAL GROUP, LLC	104255	WOODBURY, NY
<b>B</b> 06/2012 - 11/2012	VTRADER PRO, LLC	131920	SAN FRANCISCO, CA
<b>B</b> 08/2007 - 12/2011	CONDATA FINANCIAL	108715	NEW YORK, NY
<b>B</b> 07/2010 - 06/2011	FIRST MERGER CAPITAL, INC	44083	NEW YORK, NY
<b>B</b> 08/2007 - 10/2008	VIANET DIRECT, INC.	124887	DREXEL HILL, PA
<b>B</b> 08/2007 - 02/2008	TRINITY TRADING CORP.	122553	NEW YORK, NY
<b>B</b> 08/2001 - 06/2007	TAG SECURITIES CORP.	104076	NEW YORK, NY
<b>B</b> 11/2001 - 01/2007	MCKEON BROTHERS, LLC	42774	OYSTER BAY, NY
<b>B</b> 10/2000 - 01/2001	PERFORMANCE SPECIALIST GROUP, LLC	35032	NEW YORK, NY



## Registration and Employment History

### Registration History, continued

### 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
02/2025 - Present	Beacons Strategic Capital, Inc., formerly, MJM	FINOP	Y	Carlsbad, CA, United States
10/2023 - Present	IRONLIGHT MARKETS LLC	CFO AND FINOP	Y	MT. VERNON, NY, United States
05/2023 - Present	Cirrus Research, LLC	FINOP/CFO	Y	Tarrytown, NY, United States
01/2023 - Present	PTR, INC.	CFO/FinOP	Y	COLLINGSWOOD, NJ, United States
08/2022 - Present	THINKEQUITY LLC	CFO/FINOP	Y	NEW YORK, NY, United States
06/2019 - Present	Farina & Associates	FINOP/CFO/COO	Y	New York, NY, United States
11/2017 - Present	BAYAT CONSULTING INC.	ACCOUNTANT	N	GLENDALE, NY, United States
03/2016 - Present	Reporting and Review Inc.	Consultant	N	New York, NY, United States
04/2023 - 02/2025	Mark J. Muller Equities, Inc. (MJM)	FINOP/CFO/COO	Y	New York, NY, United States
01/2024 - 10/2024	PARX TRADING, LLC	CFO/FINOP	Y	NEW YORK, NY, United States
06/2018 - 10/2024	TradeMas SECURITIES INC.	CFO	Y	NEW YORK, NY, United States
10/2020 - 01/2024	DEPAOLA TRADING, INC.	CFO/FINOP	Y	NEW YORK, NY, United States
02/2021 - 11/2022	JP DERIVATIVES, LLC	CFO/FINOP	Y	NEW YORK, NY, United States
09/2018 - 05/2019	James E. Coffey Securities, Inc.	CFO, FINOP, COO	Y	New York, NY, United States
08/2016 - 03/2018	Lerner Sipkin CPA LP.	Accountant	N	New York, NY, United States
07/2015 - 06/2016	DERMOTT W. CLANCY CORP.	FINOP/CFO	Y	new york, NY, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2014 - 06/2016	CLANCY FINANCIAL SERVICES, INC.	FINOP/CFO	Y	new york, NY, United States
10/2015 - 12/2015	KEL-TECH CONSTRUCTION	Assistant Controller	N	Far Rockaway, NY, United States
01/2013 - 12/2015	ILLUSTRO TRADING, LLC.	CFO	Y	NEW YORK, NY, United States
01/2009 - 11/2015	EMPIRE EXECUTIONS, INC.	CFO/COO/FNOP	Y	NEW YORK, NY, United States
12/2000 - 10/2015	ACCOUNTING & COMPLIANCE INTERNATIONAL	BOOKKEEPER	N	NEW YORK, NY, 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.

Alan is a FINOP and consultant with Reporting and Review, Inc., a FINOP consulting firm. He works with them less than 1 hour/ month and rarely during trading hours. He is also an accountant with Bayat Consulting, Inc. and serves as a FINOP for various registered broker dealers as identified in item No. 12 above.

## Disclosure Events



### What you should know about reported disclosure events:

1. 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.
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 broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all 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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Termination	N/A	1	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employer Name:</b>	G & L PARTNERS, INC.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	04/24/2015
<b>Allegations:</b>	INDIVIDUAL FAILED TO REPORT TO MANAGEMENT CHANGES TO U4 INFORMATION INCLUDING PENDING ARBITRATION MATTERS THEREBY PREVENTING TIMELY UPDATES TO REQUIRED DISCLOSURES
<b>Product Type:</b>	No Product
<b>Firm Statement</b>	THE EMPLOYEE IS AN OUTSOURCED FINOP. SINCE HE HAS NO CLIENT INVOLVEMENT OR CONTROL IN THE ALLEGED CLAIMS OF DISSATISFIED CUSTOMERS, HE ATTEMPTED TO OBTAIN DISMISSAL AND HE BELIEVED IT WAS NOT A REPORTABLE MATTER.

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<b>Reporting Source:</b>	Broker
<b>Employer Name:</b>	G&L Partners
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	04/01/2015
<b>Allegations:</b>	Failure to report disclosure
<b>Product Type:</b>	No Product



**Broker Statement**

Alan Krim was terminated for not making a disclosure that we believe did not need to be disclosed based on of FINRA's Guidance.

## End of Report



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