

BrokerCheck Report

JAMES HUGH DOHERTY

CRD# 4197747

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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



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.

**JAMES H. DOHERTY**

CRD# 4197747

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

B AMERICAN FIDELITY SECURITIES, INC.
 9000 CAMERON PARKWAY
 OKLAHOMA CITY, OK 73114-3701
 CRD# 11852
 Registered with this firm since: 04/21/2025

B INDEPENDENT BROKERAGE SOLUTIONS LLC
 485 MADISON AVENUE
 15TH FLOOR
 NEW YORK, NY 10022
 CRD# 153563
 Registered with this firm since: 01/15/2025

B FLOWW PRIVATE MARKETS US
 1111 BRICKELL AVENUE
 SABADELL FINANCIAL CENTER, SUITE 2725
 MIAMI, FL 33131
 CRD# 328174
 Registered with this firm since: 09/19/2024

B EAGLE POINT SECURITIES LLC
 600 STEAMBOAT ROAD
 SUITE 202
 GREENWICH, CT 06830
 CRD# 324528
 Registered with this firm since: 12/22/2023

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:

- 2 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 BANCO DO BRASIL SECURITIES LLC**
 CRD# 132701
 MIAMI, FL
 12/2024 - 05/2025
- B CVEX MARKETS LLC**
 CRD# 311448
 AUSTIN, TX
 07/2022 - 08/2023
- B SPC CAPITAL MARKETS LLC**
 CRD# 304381
 Greenwich, CT
 01/2020 - 08/2023

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 23

Firm Name: **AMERICAN FIDELITY SECURITIES, INC.**

Main Office Address: **9000 CAMERON PARKWAY
OKLAHOMA CITY, OK 73114-3701**

Firm CRD#: **11852**

| | SRO | Category | Status | Date |
|---|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 04/21/2025 |
| B | FINRA | Operations Professional | Approved | 04/21/2025 |

Branch Office Locations

AMERICAN FIDELITY SECURITIES, INC.

9000 CAMERON PARKWAY
OKLAHOMA CITY, OK 73114-3701

Employment 2 of 23

Firm Name: **BAIN CAPITAL DISTRIBUTORS, LLC**

Main Office Address: **200 CLARENDON STREET
BOSTON, MA 02116**

Firm CRD#: **175456**

| | SRO | Category | Status | Date |
|---|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 07/26/2019 |
| B | FINRA | Operations Professional | Approved | 07/26/2019 |

Branch Office Locations



Broker Qualifications

Employment 2 of 23, continued

BAIN CAPITAL DISTRIBUTORS, LLC

200 Clarendon Street
Boston, MA 02116

Employment 3 of 23

Firm Name: **BONDS.COM LLC**

Main Office Address: **32 OLD SLIP
34TH FLOOR
NEW YORK, NY 10005**

Firm CRD#: **43875**

| | SRO | Category | Status | Date |
|----------|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 11/15/2019 |
| B | FINRA | Operations Professional | Approved | 11/15/2019 |

Branch Office Locations

BONDS.COM LLC

32 Old Slip
34th Floor
NEW YORK, NY 10005

Employment 4 of 23

Firm Name: **BRADESCO SECURITIES, INC.**

Main Office Address: **450 PARK AVENUE
32ND FLOOR
NEW YORK, NY 10022**

Firm CRD#: **104347**

| | SRO | Category | Status | Date |
|----------|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 07/01/2019 |
| B | FINRA | Operations Professional | Approved | 07/01/2019 |



Broker Qualifications

Employment 4 of 23, continued

| SRO | Category | Status | Date |
|------------------------------|------------------------------------|----------|------------|
| B Nasdaq Stock Market | Financial and Operations Principal | Approved | 07/01/2019 |

Branch Office Locations

BRADESCO SECURITIES, INC.

450 PARK AVENUE
32ND FLOOR
NEW YORK, NY 10022

Employment 5 of 23

Firm Name: **CHINA RENAISSANCE SECURITIES (US) INC.**

Main Office Address: **295 MADISON AVENUE
18TH FLOOR
NEW YORK, NY 10017**

Firm CRD#: **166318**

| SRO | Category | Status | Date |
|-----------------------|------------------------------------|----------|------------|
| B FINRA | Financial and Operations Principal | Approved | 06/18/2019 |
| B FINRA | General Securities Representative | Approved | 06/18/2019 |
| B FINRA | Operations Professional | Approved | 06/19/2019 |
| U.S. State/ Territory | Category | Status | Date |
| B New York | Agent | Approved | 06/18/2019 |

Branch Office Locations

CHINA RENAISSANCE SECURITIES (US) INC.

295 MADISON AVENUE
18TH FLOOR
NEW YORK, NY 10017



Broker Qualifications

Employment 6 of 23

Firm Name: **EAGLE POINT SECURITIES LLC**
 Main Office Address: **600 STEAMBOAT ROAD
 SUITE 202
 GREENWICH, CT 06830**
 Firm CRD#: **324528**

| | SRO | Category | Status | Date |
|----------|-------|--|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 12/22/2023 |
| B | FINRA | General Securities Representative | Approved | 12/22/2023 |
| B | FINRA | Introducing BD/Finan Operation Principal | Approved | 12/22/2023 |
| B | FINRA | Operations Professional | Approved | 12/22/2023 |

Branch Office Locations

EAGLE POINT SECURITIES LLC
 600 STEAMBOAT ROAD
 SUITE 202
 GREENWICH, CT 06830

Employment 7 of 23

Firm Name: **EAST WEST MARKETS, LLC**
 Main Office Address: **5001 SPRING VALLEY ROAD
 SUITE 400W
 DALLAS, TX 75244**
 Firm CRD#: **146871**

| | SRO | Category | Status | Date |
|----------|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 03/12/2020 |
| B | FINRA | Operations Professional | Approved | 03/12/2020 |

Branch Office Locations



Broker Qualifications

Employment 7 of 23, continued

EAST WEST MARKETS, LLC
 5001 SPRING VALLEY ROAD
 SUITE 400W
 DALLAS, TX 75244

Employment 8 of 23

Firm Name: **EASTDIL SECURED ADVISORS LLC**
 Main Office Address: **100 WILSHIRE BLVD**
SUITE 1500
SANTA MONICA, CA 90401
 Firm CRD#: **304434**

| | SRO | Category | Status | Date |
|---|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 01/16/2020 |
| B | FINRA | Operations Professional | Approved | 01/16/2020 |

Branch Office Locations

EASTDIL SECURED ADVISORS LLC
 100 Wilshire Blvd.,
 Suite 1500
 Santa Monica, CA 90401

Employment 9 of 23

Firm Name: **FLOWW PRIVATE MARKETS US**
 Main Office Address: **1111 BRICKELL AVENUE**
SABADELL FINANCIAL CENTER, SUITE 2725
MIAMI, FL 33131
 Firm CRD#: **328174**

| | SRO | Category | Status | Date |
|---|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 09/19/2024 |
| B | FINRA | Operations Professional | Approved | 09/19/2024 |



Broker Qualifications

Employment 9 of 23, continued

Branch Office Locations

FLOWW PRIVATE MARKETS US
 1111 BRICKELL AVENUE
 SABADELL FINANCIAL CENTER, SUITE 2725
 MIAMI, FL 33131

Employment 10 of 23

Firm Name: **FOROS SECURITIES LLC**
 Main Office Address: **461 FIFTH AVENUE
 17TH FLOOR
 NEW YORK, NY 10017**
 Firm CRD#: **150217**

| SRO | Category | Status | Date |
|----------------|------------------------------------|----------|------------|
| B FINRA | Financial and Operations Principal | Approved | 11/18/2019 |
| B FINRA | Operations Professional | Approved | 11/18/2019 |

Branch Office Locations

FOROS SECURITIES LLC
 461 FIFTH AVENUE
 17TH FLOOR
 NEW YORK, NY 10017

Employment 11 of 23

Firm Name: **GEMINI GALACTIC MARKETS, LLC**
 Main Office Address: **315 PARK AVENUE SOUTH
 NEW YORK, NY 10010**
 Firm CRD#: **304761**

| SRO | Category | Status | Date |
|----------------|------------------------------------|----------|------------|
| B FINRA | Financial and Operations Principal | Approved | 12/06/2021 |



Broker Qualifications

Employment 11 of 23, continued

| SRO | Category | Status | Date |
|----------------|--|----------|------------|
| B FINRA | General Securities Representative | Approved | 12/06/2021 |
| B FINRA | Introducing BD/Finan Operation Principal | Approved | 12/06/2021 |
| B FINRA | Operations Professional | Approved | 12/06/2021 |
| B FINRA | Securities Trader | Approved | 12/06/2021 |

Branch Office Locations

GEMINI GALACTIC MARKETS, LLC

315 PARK AVENUE SOUTH
NEW YORK, NY 10010

GEMINI GALACTIC MARKETS, LLC

315 PARK AVENUE SOUTH
NEW YORK, NY 10010

Employment 12 of 23

Firm Name: **HOWDEN TIGER CAPITAL MARKETS & ADVISORY, LLC**

Main Office Address: **1350 AVENUE OF THE AMERICAS
33RD FLOOR
NEW YORK, NY 10019**

Firm CRD#: **172729**

| SRO | Category | Status | Date |
|----------------|------------------------------------|----------|------------|
| B FINRA | Financial and Operations Principal | Approved | 04/08/2022 |
| B FINRA | Operations Professional | Approved | 04/08/2022 |

Branch Office Locations

HOWDEN TIGER CAPITAL MARKETS & ADVISORY, LLC

1350 Avenue of the Americas
33rd Floor



Broker Qualifications

Employment 12 of 23, continued

New York, NY 10019

Employment 13 of 23

Firm Name: **INDEPENDENT BROKERAGE SOLUTIONS LLC**

Main Office Address: **485 MADISON AVENUE
15TH FLOOR
NEW YORK, NY 10022**

Firm CRD#: **153563**

| | SRO | Category | Status | Date |
|---|-------|--|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 01/15/2025 |
| B | FINRA | General Securities Representative | Approved | 01/15/2025 |
| B | FINRA | Introducing BD/Finan Operation Principal | Approved | 01/15/2025 |
| B | FINRA | Operations Professional | Approved | 01/15/2025 |
| B | FINRA | Securities Trader | Approved | 01/15/2025 |

Branch Office Locations

INDEPENDENT BROKERAGE SOLUTIONS LLC

485 MADISON AVENUE
15TH FLOOR
NEW YORK, NY 10022

Employment 14 of 23

Firm Name: **LIONTREE ADVISORS LLC**

Main Office Address: **745 FIFTH AVENUE
15TH FLOOR
NEW YORK, NY 10151**

Firm CRD#: **164399**

| | SRO | Category | Status | Date |
|---|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 11/19/2019 |



Broker Qualifications

Employment 14 of 23, continued

| SRO | Category | Status | Date |
|----------------|-------------------------|----------|------------|
| B FINRA | Operations Professional | Approved | 11/19/2019 |

Branch Office Locations

LIONTREE ADVISORS LLC

745 Fifth Avenue
15th Floor
New York, NY 10151

Employment 15 of 23

Firm Name: **MEC GLOBAL PARTNERS LLC**

Main Office Address: **ONE FEDERAL STREET
17TH FLOOR
BOSTON, MA 02110**

Firm CRD#: **305000**

| SRO | Category | Status | Date |
|----------------|------------------------------------|----------|------------|
| B FINRA | Financial and Operations Principal | Approved | 07/22/2020 |
| B FINRA | Operations Professional | Approved | 07/22/2020 |

Branch Office Locations

MEC GLOBAL PARTNERS LLC

ONE FEDERAL STREET
17TH FLOOR
BOSTON, MA 02110

Employment 16 of 23

Firm Name: **ODDO BHF NEW YORK CORPORATION**

Main Office Address: **150 EAST 52ND STREET
5TH FLOOR
NEW YORK, NY 10022**



Broker Qualifications

Employment 16 of 23, continued

Firm CRD#: **45104**

| | SRO | Category | Status | Date |
|----------|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 07/11/2019 |
| B | FINRA | Operations Professional | Approved | 07/11/2019 |

Branch Office Locations

ODDO BHF NEW YORK CORPORATION

150 EAST 52ND STREET
5TH FLOOR
NEW YORK, NY 10022

Employment 17 of 23

Firm Name: **PAPAMARKOU WELLNER & CO., INC.**

Main Office Address: **430 PARK AVENUE, 17TH FLOOR
NEW YORK, NY 10022**

Firm CRD#: **10963**

| | SRO | Category | Status | Date |
|----------|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 05/29/2019 |
| B | FINRA | Operations Professional | Approved | 05/29/2019 |

Branch Office Locations

PAPAMARKOU WELLNER & CO., INC.

430 PARK AVENUE, 17th FLOOR
NEW YORK, NY 10022

Employment 18 of 23

Firm Name: **RAINE SECURITIES LLC**

Main Office Address: **65 EAST 55TH STREET**



Broker Qualifications

Employment 18 of 23, continued

24TH FLOOR
NEW YORK, NY 10022

Firm CRD#: 137873

| SRO | Category | Status | Date |
|----------------|------------------------------------|----------|------------|
| B FINRA | Financial and Operations Principal | Approved | 06/21/2019 |
| B FINRA | Operations Professional | Approved | 06/21/2019 |

Branch Office Locations

RAINE SECURITIES LLC

65 EAST 55TH STREET
24TH FLOOR
NEW YORK, NY 10022

Employment 19 of 23

Firm Name: TRANSPACIFIC GROUP LLC

Main Office Address: 150 SE 2ND AVENUE
SUITE 1401
MIAMI, FL 33131

Firm CRD#: 143869

| SRO | Category | Status | Date |
|----------------|------------------------------------|----------|------------|
| B FINRA | Financial and Operations Principal | Approved | 02/26/2020 |
| B FINRA | Operations Professional | Approved | 02/26/2020 |

Branch Office Locations

TRANSPACIFIC GROUP LLC

150 SE 2ND AVENUE
SUITE 1401
MIAMI, FL 33131



Broker Qualifications

Employment 20 of 23

Firm Name: **UNITED FIRST PARTNERS LLC**

Main Office Address: **3 COLUMBUS CIRCLE
SUITE 1730
NEW YORK, NY 10019**

Firm CRD#: **155456**

| | SRO | Category | Status | Date |
|---|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 04/27/2020 |
| B | FINRA | Operations Professional | Approved | 04/27/2020 |

Branch Office Locations

UNITED FIRST PARTNERS LLC

3 Columbus Circle
Suite 1730
New York, NY 10019

Employment 21 of 23

Firm Name: **VAN LANSCHOT KEMPEN (USA) INC.**

Main Office Address: **880 THIRD AVENUE
17TH FLOOR
NEW YORK, NY 10022**

Firm CRD#: **38760**

| | SRO | Category | Status | Date |
|---|-------|------------------------------------|----------|------------|
| B | FINRA | Financial and Operations Principal | Approved | 06/04/2020 |
| B | FINRA | Operations Professional | Approved | 06/04/2020 |

Branch Office Locations

VAN LANSCHOT KEMPEN (USA) INC.

880 THIRD AVENUE
NEW YORK, NY 10022



Broker Qualifications

Employment 21 of 23, continued

Employment 22 of 23

Firm Name: **WINTERFLOOD SECURITIES US CORPORATION**

Main Office Address: **1460 BROADWAY, 9TH FLOOR
NEW YORK, NY 10036**

Firm CRD#: **299110**

| SRO | Category | Status | Date |
|-----------------------|------------------------------------|----------|------------|
| B FINRA | Financial and Operations Principal | Approved | 09/27/2019 |
| B FINRA | Operations Professional | Approved | 09/27/2019 |
| U.S. State/ Territory | Category | Status | Date |
| B Florida | Agent | Approved | 11/14/2019 |

Branch Office Locations

WINTERFLOOD SECURITIES US CORPORATION

1460 BROADWAY, 9TH FLOOR
NEW YORK, NY 10036

Employment 23 of 23

Firm Name: **YIELDSTREET MARKETS LLC**

Main Office Address: **300 PARK AVENUE
15TH FLOOR
NEW YORK, NY 10022**

Firm CRD#: **172295**

| SRO | Category | Status | Date |
|----------------|------------------------------------|----------|------------|
| B FINRA | Financial and Operations Principal | Approved | 06/23/2022 |
| B FINRA | Operations Professional | Approved | 06/23/2022 |

Broker Qualifications



Employment 23 of 23, continued

Branch Office Locations

YIELDSTREET MARKETS LLC

300 PARK AVENUE

15TH FLOOR

NEW YORK, NY 10022



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 2 principal/supervisory exams, 6 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Introducing Broker/Dealer Financial Operations Principal Examination | Series 28 | 01/02/2023 |
| B Financial and Operations Principal Examination | Series 27 | 05/16/2019 |

General Industry/Product Exams

| Exam | Category | Date |
|--|-------------|------------|
| B Operations Professional Examination | Series 99TO | 01/02/2023 |
| B Securities Trader Exam | Series 57TO | 01/02/2023 |
| B Securities Industry Essentials Examination | SIE | 09/12/2017 |
| B Limited Representative-Equity Trader Exam | Series 55 | 12/01/2006 |
| B NYSE Trading Assistant Examination | Series 25 | 09/02/2003 |
| B General Securities Representative Examination | Series 7 | 07/06/2000 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination | Series 63 | 11/08/2000 |

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 12/2024 - 05/2025 | BANCO DO BRASIL SECURITIES LLC | 132701 | MIAMI, FL |
| B 07/2022 - 08/2023 | CVEX MARKETS LLC | 311448 | AUSTIN, TX |
| B 01/2020 - 08/2023 | SPC CAPITAL MARKETS LLC | 304381 | Greenwich, CT |
| B 01/2023 - 05/2023 | HEDGE PRO | 317250 | KENNESAW, GA |
| B 05/2020 - 12/2022 | VICENTE & PARTNERS LLC | 305200 | LONDON, UNITED KINGDOM |
| B 06/2021 - 06/2022 | REVOLUT SECURITIES INC. | 304600 | NEW YORK, NY |
| B 06/2019 - 12/2021 | OLIVETREE FINANCIAL, LLC | 154026 | NEW YORK, NY |
| B 10/2020 - 08/2021 | ASHFORD SECURITIES LLC | 305330 | DALLAS, TX |
| B 10/2019 - 06/2020 | REALCADRE LLC | 172295 | NEW YORK, NY |
| B 06/2019 - 10/2019 | SDDCO BROKERAGE ADVISORS LLC | 153563 | NEW YORK, NY |
| B 03/2019 - 05/2019 | SDDCO BROKERAGE ADVISORS LLC | 153563 | NEW YORK, NY |
| B 12/2008 - 09/2017 | BAY CREST PARTNERS, LLC | 39944 | NEW YORK, NY |
| B 07/2000 - 06/2008 | BEAR, STEARNS & CO. INC. | 79 | BROOKLYN, 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 |
|-------------------|------------------------------------|------------------------------|--------------------|----------------------------------|
| 04/2025 - Present | AMERICAN FIDELITY SECURITIES, INC. | Principal Operations Officer | Y | Oklahoma City, OK, United States |

Registration and Employment History



Employment History, continued

| Employment | Employer Name | Position | Investment Related | Employer Location |
|-------------------|--|------------------------------|--------------------|--------------------------------|
| 01/2025 - Present | INDEPENDENT BROKERAGE SOLUTIONS LLC | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 12/2023 - Present | FLOWW PRIVATE MARKETS US | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 01/2023 - Present | Eagle Point Securities LLC | Principal Operations Officer | Y | Greenwich, CT, United States |
| 06/2022 - Present | YIELDSTREET MARKETS LLC (FORMALLY REALCADRE LLC) | PRINCIPAL OPERATIONS OFFICER | Y | New York, NY, United States |
| 03/2022 - Present | HOWDEN TIGER CAPITAL MARKETS & ADVISORY, LLC | PRINCIPAL OPERATIONS OFFICER | Y | New York, NY, United States |
| 07/2020 - Present | MEC GLOBAL PARTNERS LLC | PRINCIPAL OPERATIONS OFFICER | Y | BOSTON, MA, United States |
| 06/2020 - Present | VAN LANSCHOT KEMPEN (USA) INC. | PRINCIPAL OPERATIONS OFFICER | Y | New York, NY, United States |
| 03/2020 - Present | EAST WEST MARKETS, LLC | PRINCIPAL OPERATIONS OFFICER | Y | DALLAS, TX, United States |
| 03/2020 - Present | United First Partners LLC | Principal Operations Officer | Y | New York, NY, United States |
| 02/2020 - Present | TRANSPACIFIC GROUP LLC | PRINCIPAL OPERATIONS OFFICER | Y | MIAMI BEACH, FL, United States |
| 01/2020 - Present | Eastdil Secured Advisors LLC | Principal Operations Officer | Y | New York, NY, United States |
| 11/2019 - Present | BONDS.COM LLC | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |



Registration and Employment History

Employment History, continued

| Employment | Employer Name | Position | Investment Related | Employer Location |
|-------------------|--|------------------------------|--------------------|-----------------------------|
| 11/2019 - Present | FOROS SECURITIES LLC | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 11/2019 - Present | LIONTREE ADVISORS, LLC | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 09/2019 - Present | WINTERFLOOD SECURITIES US CORPORATION | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 07/2019 - Present | BAIN CAPITAL DISTRIBUTORS, LLC | PRINCIPAL OPERATIONS OFFICER | Y | BOSTON, MA, United States |
| 07/2019 - Present | BRADESCO SECURITIES, INC. | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 07/2019 - Present | GEMINI GALACTIC MARKETS, LLC | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 07/2019 - Present | ODDO BHF NEW YORK CORPORATION | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 06/2019 - Present | CHINA RENAISSANCE SECURITIES (US) INC. | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 06/2019 - Present | RAINE SECURITIES LLC | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 05/2019 - Present | PAPAMARKOU WELLNER & CO., INC. | PRINCIPAL OPERATIONS OFFICER | Y | New York, NY, United States |
| 03/2019 - Present | DFP PARTNERS CPA, P.C | MANAGING DIRECTOR OPERATIONS | Y | NEW YORK, NY, United States |
| 12/2024 - 04/2025 | Banco do Brasil Securities LLC | Principal Operations Officer | Y | Miami, FL, United States |



Registration and Employment History

Employment History, continued

| Employment | Employer Name | Position | Investment Related | Employer Location |
|-------------------|------------------------------|------------------------------|--------------------|------------------------------------|
| 06/2022 - 08/2023 | CVEX MARKETS LLC | PRINCIPAL OPERATIONS OFFICER | Y | Austin, TX, United States |
| 05/2019 - 08/2023 | SPC CAPITAL MARKETS LLC | PRINCIPAL OPERATIONS OFFICER | Y | GREENWICH, CT, United States |
| 04/2022 - 05/2023 | HEDGE PRO | PRINCIPAL OPERATIONS OFFICER | Y | MARIETTA, GA, United States |
| 09/2019 - 11/2022 | VICENTE & PARTNERS LLC | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 10/2019 - 06/2022 | REVOLUT SECURITIES INC. | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 06/2019 - 12/2021 | OLIVETREE FINANCIAL, LLC | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 10/2020 - 07/2021 | ASHFORD SECURITIES LLC | PRINCIPAL OPERATIONS OFFICER | Y | DALLAS, TX, United States |
| 10/2019 - 06/2020 | REALCADRE LLC | PRINCIPAL OPERATIONS OFFICER | Y | NEW YORK, NY, United States |
| 03/2019 - 10/2019 | SDDCO BROKERAGE ADVISORS LLC | OPERATIONS DIRECTOR | Y | NEW YORK, NY, United States |
| 09/2017 - 03/2019 | UNEMPLOYED | UNEMPLOYED | N | PORT WASHINGTON, NY, United States |
| 04/2009 - 09/2017 | BAY CREST PARTNERS LLC | BROKER | Y | 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.

Registration and Employment History



Other Business Activities, continued

JAMES DOHERTY IS REGISTERED AS A PRINCIPAL OPERATIONS OFFICER WITH THE FIRMS LISTED UNDER THE EMPLOYMENT SECTION OF THIS FORM U4.

End of Report



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