

BrokerCheck Report

STEVEN LEE THORNTON

CRD# 4496384

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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.



STEVEN L. THORNTON

CRD# 4496384

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

B CHINA ECAPITAL PARTNERS, LLC
3452 E. Foothill Blvd., Suite 800
Pasadena, CA 91107
CRD# 150251
Registered with this firm since: 06/28/2010

B WILDRIDGE SECURITIES
1100 GLENDON AVE., 17TH FLOOR
LOS ANGELES, CA 90024
CRD# 335666
Registered with this firm since: 07/11/2025

B EFCG TRANSACTION SERVICES LLC
4915 W 31ST AVE
DENVER, CO 80212
CRD# 333770
Registered with this firm since: 06/27/2025

B TFA SECURITIES, INC.
201 Continental Blvd., Suite 110
El Segundo, CA 90245
CRD# 284982
Registered with this firm since: 05/21/2025

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:

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

This broker has passed:

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

Registration History

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

- B COINSHARES CAPITAL LLC**
CRD# 170506
NEW YORK, NY
09/2019 - 01/2025
- B AIA SECURITIES LLC**
CRD# 323693
IRVINE, CA
07/2023 - 01/2025
- B COLLINS/BAY ISLAND SECURITIES, LLC**
CRD# 106560
Pasadena, CA
07/2014 - 08/2024

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? **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 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 43

Firm Name: **ANALYST HUB SECURITIES, LLC**

Main Office Address: **2301 S CAPITAL OF TEXAS HWY
STE. J-101
AUSTIN, TX 78746**

Firm CRD#: **297665**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	01/06/2020
B	FINRA	General Securities Principal	Approved	01/06/2020
B	FINRA	General Securities Representative	Approved	01/06/2020
B	FINRA	Introducing BD/Finan Operation Principal	Approved	01/06/2020
B	FINRA	Investment Banking Principal	Approved	01/06/2020
B	FINRA	Investment Banking Representative	Approved	01/06/2020
B	FINRA	Operations Professional	Approved	01/06/2020

Branch Office Locations

ANALYST HUB SECURITIES, LLC

2301 S Capital Of Texas Hwy
Ste. J-101
Austin, TX 78746

Employment 2 of 43

Firm Name: **APEXUS CAPITAL LLC**

Main Office Address: **321 19TH STREET
SANTA MONICA, CA 90402-2409**



Broker Qualifications

Employment 2 of 43, continued

Firm CRD#: **281779**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	09/30/2016
B FINRA	Operations Professional	Approved	09/30/2016

Branch Office Locations

APEXUS CAPITAL LLC

321 19TH STREET
SANTA MONICA, CA 90402-2409

Employment 3 of 43

Firm Name: **ARCSTONE SECURITIES LLC**

Main Office Address: **885 THIRD AVENUE
21ST FLOOR
NEW YORK, NY 11232**

Firm CRD#: **306029**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	11/25/2024
B FINRA	General Securities Representative	Approved	11/25/2024
B FINRA	Introducing BD/Finan Operation Principal	Approved	11/25/2024
B FINRA	Operations Professional	Approved	11/25/2024

Branch Office Locations

ARCSTONE SECURITIES LLC

885 THIRD AVENUE
21ST FLOOR
NEW YORK, NY 11232



Broker Qualifications

Employment 4 of 43

Firm Name: **AUGMENT CAPITAL, LLC**
 Main Office Address: **1204 SAN ANTONIO STREET
 SECOND FLOOR
 AUSTIN, TX 78701**
 Firm CRD#: **322519**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	01/07/2025
B	FINRA	Operations Professional	Approved	01/07/2025

Branch Office Locations

AUGMENT CAPITAL, LLC
 1204 SAN ANTONIO STREET
 SECOND FLOOR
 AUSTIN, TX 78701

Employment 5 of 43

Firm Name: **AVENDUS CAPITAL, INC.**
 Main Office Address: **445 PARK AVENUE 19TH FLOOR
 NEW YORK, NY 10022**
 Firm CRD#: **150160**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/06/2013
B	FINRA	General Securities Representative	Approved	09/06/2013
B	FINRA	Investment Banking Representative	Approved	09/06/2013
B	FINRA	Operations Professional	Approved	09/06/2013
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018



Broker Qualifications

Employment 5 of 43, continued

Branch Office Locations

AVENDUS CAPITAL, INC.
3452 E. Foothill, Blvd., Suite 800
PASADENA, CA 91107

Employment 6 of 43

Firm Name: **BDO CAPITAL ADVISORS, LLC**
Main Office Address: **ONE INTERNATIONAL PLACE, 4TH FLOOR
BOSTON, MA 02110**
Firm CRD#: **109679**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	07/01/2009
B	FINRA	Operations Professional	Approved	11/08/2011

Branch Office Locations

BDO CAPITAL ADVISORS, LLC
TWO INTERNATIONAL PLACE, 4TH FLOOR
BOSTON, MA 02110

Employment 7 of 43

Firm Name: **BREN VENTURES LLC**
Main Office Address: **445 PARK AVENUE 9TH FLOOR
NEW YORK, NY 10022**
Firm CRD#: **139768**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	11/03/2017
B	FINRA	Operations Professional	Approved	04/12/2018



Broker Qualifications

Employment 7 of 43, continued

Branch Office Locations

BREN VENTURES LLC
590 MADISON AVENUE
NEW YORK, NY 10022

Employment 8 of 43

Firm Name: **CAPITALA SECURITIES, LLC**
Main Office Address: **4201 CONGRESS STREET
SUITE 360C
CHARLOTTE, NC 28209**
Firm CRD#: **304095**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	03/04/2020
B FINRA	Operations Professional	Approved	03/04/2020

Branch Office Locations

CAPITALA SECURITIES, LLC
4201 Congress Street
Suite 360C
Charlotte, NC 28209-4636

Employment 9 of 43

Firm Name: **CENTERBOARD SECURITIES, LLC**
Main Office Address: **9430 RESEARCH BLVD., SUITE 120
AUSTIN, TX 78759**
Firm CRD#: **153900**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	10/25/2011



Broker Qualifications

Employment 9 of 43, continued

SRO	Category	Status	Date
B FINRA	Operations Professional	Approved	11/25/2011

Branch Office Locations

CENTERBOARD SECURITIES, LLC
 9430 RESEARCH BLVD., SUITE 120
 AUSTIN, TX 78759

Employment 10 of 43

Firm Name: **CENTERPOINT M&A ADVISORS, INC.**
 Main Office Address: **21550 OXNARD STREET, SUITE 960**
WOODLAND HILLS, CA 91367
 Firm CRD#: **139611**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	07/18/2006
B FINRA	Operations Professional	Approved	11/08/2011

Branch Office Locations

CENTERPOINT M&A ADVISORS, INC.
 21550 OXNARD STREET, SUITE 960
 WOODLAND HILLS, CA 91367

Employment 11 of 43

Firm Name: **CHINA ECAPITAL PARTNERS, LLC**
 Main Office Address: **144 MASTERPIECE**
IRVINE, CA 92618
 Firm CRD#: **150251**



Broker Qualifications

Employment 11 of 43, continued

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	06/28/2010
B	FINRA	Operations Professional	Approved	11/08/2011
B	FINRA	General Securities Principal	Approved	01/20/2016
B	FINRA	General Securities Representative	Approved	01/20/2016
B	FINRA	Investment Banking Representative	Approved	01/20/2016
B	FINRA	Investment Banking Principal	Approved	10/01/2018

Branch Office Locations

CHINA ECAPITAL PARTNERS, LLC

3452 E. Foothill Blvd., Suite 800
Pasadena, CA 91107

Employment 12 of 43

Firm Name: **COMPAK SECURITIES, INC.**
Main Office Address: **1801 DOVE STREET**
NEWPORT BEACH, CA 92660
Firm CRD#: **125472**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	02/26/2007
B	FINRA	Operations Professional	Approved	10/01/2018

Branch Office Locations

COMPAK SECURITIES, INC.

1801 DOVE STREET
NEWPORT BEACH, CA 92660



Broker Qualifications

Employment 12 of 43, continued

COMPAK SECURITIES, INC.
1801 DOVE STREET
NEWPORT BEACH, CA 92660

Employment 13 of 43

Firm Name: **DIRECT REALTY SECURITIES, INC.**
Main Office Address: **5743 CORSA AVENUE, SUITE 215**
WESTLAKE VILLAGE, CA 91362
Firm CRD#: **168435**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	07/03/2014
B	FINRA	Operations Professional	Approved	10/01/2018

Branch Office Locations

DIRECT REALTY SECURITIES, INC.
5743 CORSA AVENUE, SUITE 215
WESTLAKE VILLAGE, CA 91362

Employment 14 of 43

Firm Name: **EFCG TRANSACTION SERVICES LLC**
Main Office Address: **4915 W 31ST AVE**
DENVER, CO 80212
Firm CRD#: **333770**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	06/27/2025
B	FINRA	General Securities Representative	Approved	06/27/2025
B	FINRA	Introducing BD/Finan Operation Principal	Approved	06/27/2025
B	FINRA	Investment Banking Representative	Approved	06/27/2025



Broker Qualifications

Employment 14 of 43, continued

SRO	Category	Status	Date
B FINRA	Operations Professional	Approved	06/27/2025

Branch Office Locations

EFCG TRANSACTION SERVICES LLC

4915 W 31ST AVE
DENVER, CO 80212

Employment 15 of 43

Firm Name: **EXCHANGERIGHT SECURITIES, LLC**
Main Office Address: **1055 E. COLORADO BLVD., SUITE 310**
PASADENA, CA 91106
Firm CRD#: **283430**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	10/09/2017
B FINRA	Operations Professional	Approved	10/09/2017

Branch Office Locations

EXCHANGERIGHT SECURITIES, LLC

1055 E. COLORADO BLVD, SUITE 3130
Pasadena, CA 91106

Employment 16 of 43

Firm Name: **FCA CAPITAL MARKETS LLC**
Main Office Address: **240 SAINT PAUL STREET**
SUITE 400
DENVER, CO 80206
Firm CRD#: **322688**



Broker Qualifications

Employment 16 of 43, continued

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	02/02/2023
B FINRA	General Securities Principal	Approved	12/05/2023
B FINRA	General Securities Representative	Approved	12/05/2023

Branch Office Locations

FCA CAPITAL MARKETS LLC
 240 SAINT PAUL STREET
 SUITE 400
 DENVER, CO 80206

Employment 17 of 43

Firm Name: **FMI CAPITAL ADVISORS, INC.**
 Main Office Address: **44 COOK ST STE 900**
DENVER, CO 80206-5827
 Firm CRD#: **129262**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	08/03/2023
B FINRA	General Securities Representative	Approved	08/03/2023
B FINRA	Introducing BD/Finan Operation Principal	Approved	08/03/2023

Branch Office Locations

FMI CAPITAL ADVISORS, INC.
 44 COOK ST STE 900
 DENVER, CO 80206-5827

Employment 18 of 43

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



Broker Qualifications

Employment 18 of 43, continued

Main Office Address: **3452 EAST FOOTHILL BOULEVARD
SUITE 1040
PASADENA, CA 91107**

Firm CRD#: **29721**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	04/02/2004
B FINRA	Operations Professional	Approved	11/08/2011

Branch Office Locations

GLOBALINK SECURITIES, INC.
3452 EAST FOOTHILL BOULEVARD
SUITE 1040
PASADENA, CA 91107

Employment 19 of 43

Firm Name: **INCLINE ADVISORS**

Main Office Address: **655 TYNER WAY
INCLINE VILLAGE, NV 89451**

Firm CRD#: **293345**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	04/10/2020
B FINRA	Operations Professional	Approved	04/10/2020

Branch Office Locations

INCLINE ADVISORS
655 TYNER WAY
INCLINE VILLAGE, NV 89451



Broker Qualifications

Employment 20 of 43

Firm Name: **INNOVATION CAPITAL, LLC**
 Main Office Address: **2255 GLADES ROAD SUITE 324A
 BOCA RATON, FL 33431**
 Firm CRD#: **133551**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	05/17/2005
B FINRA	Corporate Securities Represent	Approved	05/18/2009
B FINRA	General Securities Principal	Approved	05/18/2009
B FINRA	General Securities Representative	Approved	05/28/2009
B FINRA	Operations Professional	Approved	11/08/2011
U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	05/17/2021

Branch Office Locations

INNOVATION CAPITAL, LLC
 2255 GLADES ROAD SUITE 324A
 BOCA RATON, FL 33431

Employment 21 of 43

Firm Name: **KAL CAPITAL MARKETS LLC**
 Main Office Address: **3738 BAYER AVENUE SUITE 103
 LONG BEACH, CA 90808**
 Firm CRD#: **291333**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	02/28/2018
B FINRA	Operations Professional	Approved	02/28/2018



Broker Qualifications

Employment 21 of 43, continued

Branch Office Locations

KAL CAPITAL MARKETS LLC
3738 BAYER AVENUE SUITE 103
LONG BEACH, CA 90808

Employment 22 of 43

Firm Name: **LESKO SECURITIES INC.**
Main Office Address: **400 PLAZA DR
SUITE A
VESTAL, NY 13850**
Firm CRD#: **10091**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	11/27/2024
B FINRA	Operations Professional	Approved	11/27/2024

Branch Office Locations

LESKO SECURITIES INC.
400 PLAZA DR
SUITE A
VESTAL, NY 13850

Employment 23 of 43

Firm Name: **LIGHTHOUSE CAPITAL GROUP, LLC**
Main Office Address: **1055 E. COLORADO BLVD., SUITE 310
PASADENA, CA 91106**
Firm CRD#: **169135**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	06/30/2014



Broker Qualifications

Employment 23 of 43, continued

SRO	Category	Status	Date
B FINRA	Operations Professional	Approved	10/01/2018

Branch Office Locations

LIGHTHOUSE CAPITAL GROUP, LLC
 1055 E. COLORADO BLVD., SUITE 310
 PASADENA, CA 91106

Employment 24 of 43

Firm Name: **MAINSRING CAPITAL MANAGEMENT, LLC**
 Main Office Address: **3452 E. FOOTHILL BLVD., SUITE 800**
PASADENA, CA 91107
 Firm CRD#: **168756**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	08/04/2016
B FINRA	General Securities Representative	Approved	08/04/2016
B FINRA	Investment Banking Representative	Approved	08/04/2016
B FINRA	Operations Professional	Approved	08/04/2016
B FINRA	Introducing BD/Finan Operation Principal	Approved	07/07/2017
B FINRA	Compliance Officer	Approved	10/01/2018
B FINRA	Investment Banking Principal	Approved	10/01/2018

Branch Office Locations

MAINSRING CAPITAL MANAGEMENT, LLC
 Pasadena, CA



Broker Qualifications

Employment 25 of 43

Firm Name: **MARKS BAUGHAN SECURITIES LLC**
 Main Office Address: **161 WASHINGTON ST., SUITE 1390**
CONSHOHOCKEN, PA 19428
 Firm CRD#: **132652**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	04/26/2012
B FINRA	Operations Professional	Approved	04/26/2012

Branch Office Locations

MARKS BAUGHAN SECURITIES LLC
 161 WASHINGTON ST., SUITE 1390
 CONSHOHOCKEN, PA 19428

Employment 26 of 43

Firm Name: **MIT ASSOCIATES, LLC**
 Main Office Address: **85 EASTVIEW AVENUE**
TIBURON, CA 94920
 Firm CRD#: **121171**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	12/03/2024
B FINRA	General Securities Representative	Approved	12/03/2024

Branch Office Locations

MIT ASSOCIATES, LLC
 Tiburon, CA

Employment 27 of 43

Firm Name: **MJ CAPITAL PARTNERS, LLC**



Broker Qualifications

Employment 27 of 43, continued

Main Office Address: **ONE CALIFORNIA PLAZA
300 GRAND AVE., SUITE 4050
LOS ANGELES, CA 90071**

Firm CRD#: **150938**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	12/28/2015
B	FINRA	General Securities Representative	Approved	12/28/2015
B	FINRA	Introducing BD/Finan Operation Principal	Approved	12/28/2015
B	FINRA	Operations Professional	Approved	12/28/2015
B	FINRA	Compliance Officer	Approved	10/01/2018

Branch Office Locations

MJ CAPITAL PARTNERS, LLC
3452 E. Foothill Blvd., Suite 800
Pasadena, CA 91107

Employment 28 of 43

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

Main Office Address: **STATE OF TEXAS ADDRESS CONFIDENTIALITY
AUSTIN, TX 78711**

Firm CRD#: **43710**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	08/14/2015
B	FINRA	Operations Professional	Approved	10/01/2018

Branch Office Locations

NEXTREND SECURITIES, INC.



Broker Qualifications

Employment 28 of 43, continued

P O Box 12108
Austin, TX 78711

Employment 29 of 43

Firm Name: **ONPEAK CAPITAL LLC**
Main Office Address: **1221 BRICKELL AVENUE
SUITE 900
MIAMI, FL 33131**
Firm CRD#: **310173**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	11/13/2020
B	FINRA	Investment Banking Principal	Approved	11/13/2020
B	FINRA	Investment Banking Representative	Approved	11/13/2020
B	FINRA	Operations Professional	Approved	11/13/2020

Branch Office Locations

ONPEAK CAPITAL LLC
1221 BRICKELL AVENUE
SUITE 900
MIAMI, FL 33131

Employment 30 of 43

Firm Name: **PACIFIC OAK CAPITAL MARKETS, LLC**
Main Office Address: **3200 PARK CENTER DRIVE
SUITE 800
COSTA MESA, CA 92626**
Firm CRD#: **309350**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	12/10/2020



Broker Qualifications

Employment 30 of 43, continued

	SRO	Category	Status	Date
B	FINRA	Operations Professional	Approved	12/10/2020

Branch Office Locations

PACIFIC OAK CAPITAL MARKETS, LLC

3200 PARK CENTER DRIVE
SUITE 800
COSTA MESA, CA 92626

Employment 31 of 43

Firm Name: **PARITER SECURITIES, LLC**
Main Office Address: **243 CARRETERA #2**
GUAYNABO, PR 00966
Firm CRD#: **127836**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	10/31/2017
B	FINRA	Operations Professional	Approved	10/31/2017

Branch Office Locations

PARITER SECURITIES, LLC

243 CARRETERA #2
GUAYNABO, PR 00966

Employment 32 of 43

Firm Name: **PORTUM CAPITAL LLC**
Main Office Address: **40 WALL ST**
SUITE 1702
NEW YORK, NY 10005
Firm CRD#: **300440**



Broker Qualifications

Employment 32 of 43, continued

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	09/26/2019
B FINRA	Operations Professional	Approved	09/26/2019

Branch Office Locations

PORTUM CAPITAL LLC

40 WALL ST
SUITE 1702
NEW YORK, NY 10005

Employment 33 of 43

Firm Name: **PRIVATE PLACEMENT INSURANCE PRODUCTS, LLC**

Main Office Address: **2754 BRANDT DRIVE SOUTH
SUITE 200
FARGO, ND 58104**

Firm CRD#: **140139**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	05/24/2024

Branch Office Locations

PRIVATE PLACEMENT INSURANCE PRODUCTS, LLC

2754 BRANDT DRIVE SOUTH
SUITE 200
FARGO, ND 58104

Employment 34 of 43

Firm Name: **SHORELINEAMBROSE ADVISORS, LLC**

Main Office Address: **6310 GREENWICH DRIVE
SUITE 120
SAN DIEGO, CA 92122**



Broker Qualifications

Employment 34 of 43, continued

Firm CRD#: **141046**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	09/16/2019
B FINRA	Operations Professional	Approved	09/16/2019

Branch Office Locations

SHORELINEAMBROSE ADVISORS, LLC

6310 GREENWICH DRIVE
SUITE 120
SAN DIEGO, CA 92037

Employment 35 of 43

Firm Name: **SYNDICATED CAPITAL, INC.**
Main Office Address: **21671 GATEWAY CENTER DRIVE
SUITE 111
DIAMOND BAR, CA 91765**
Firm CRD#: **29037**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	08/25/2004
B FINRA	General Securities Principal	Approved	01/31/2008
B FINRA	General Securities Representative	Approved	01/31/2008
B FINRA	Securities Trader	Approved	01/04/2016
B FINRA	Securities Trader Principal	Approved	01/12/2016
B FINRA	Operations Professional	Approved	10/01/2018

Branch Office Locations



Broker Qualifications

Employment 35 of 43, continued

SYNDICATED CAPITAL, INC.

21671 GATEWAY CENTER DRIVE
SUITE 111
DIAMOND BAR, CA 91765

Employment 36 of 43

Firm Name: **TCFG WEALTH MANAGEMENT, LLC**
Main Office Address: **28202 CABOT ROAD, SUITE 305**
LAGUNA NIGUEL, CA 92677
Firm CRD#: **164153**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	07/20/2015
B FINRA	Operations Professional	Approved	10/01/2018

Branch Office Locations

TCFG WEALTH MANAGEMENT, LLC

28202 CABOT ROAD
SUITE 305
LAGUNA NIGUEL, CA 92677

Employment 37 of 43

Firm Name: **TFA SECURITIES, INC.**
Main Office Address: **201 CONTINENTAL BLVD., SUITE 110**
EL SEGUNDO, CA 90245
Firm CRD#: **284982**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	05/21/2025
B FINRA	Operations Professional	Approved	05/21/2025



Broker Qualifications

Employment 37 of 43, continued

Branch Office Locations

TFA SECURITIES, INC.

201 Continental Blvd., Suite 110
El Segundo, CA 90245

Employment 38 of 43

Firm Name: **THE SPARTAN GROUP**
Main Office Address: **16 N. MARENGO, SUITE #307**
PASADENA, CA 91101
Firm CRD#: **124430**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	01/14/2003
B FINRA	Operations Professional	Approved	11/08/2011

Branch Office Locations

THE SPARTAN GROUP

16 N. MARENGO, SUITE #307
PASADENA, CA 91101

THE SPARTAN GROUP

16 N. Marengo, Suite #307
PASADENA, CA 91101

Employment 39 of 43

Firm Name: **TRANSITIONAL BROKER LLC**
Main Office Address: **11650 S. STATE STREET, SUITE 200**
DRAPER, UT 84020
Firm CRD#: **304313**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	05/01/2020



Broker Qualifications

Employment 39 of 43, continued

SRO	Category	Status	Date
B FINRA	Operations Professional	Approved	05/01/2020

Branch Office Locations

TRANSITIONAL BROKER LLC
 11650 S. STATE STREET, SUITE 200
 DRAPER, UT 84020

Employment 40 of 43

Firm Name: **TRINITY WEALTH SECURITIES, L.L.C.**
 Main Office Address: **401 S 12TH ST.**
UNIT 2
TAMPA, FL 33602
 Firm CRD#: **104348**

SRO	Category	Status	Date
B FINRA	Introducing BD/Finan Operation Principal	Approved	09/04/2019
B FINRA	Operations Professional	Approved	09/04/2019

Branch Office Locations

TRINITY WEALTH SECURITIES, L.L.C.
 6550 W Hillsborough Ave
 Suite 130
 Tampa, FL 33634

Employment 41 of 43

Firm Name: **VALTUS CAPITAL GROUP, LLC**
 Main Office Address: **3993 HOWARD HUGHES PKWY**
SUITE 140
LAS VEGAS, NV 89169
 Firm CRD#: **145841**



Broker Qualifications

Employment 41 of 43, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	04/30/2008
B	FINRA	General Securities Representative	Approved	04/30/2008
B	FINRA	Introducing BD/Finan Operation Principal	Approved	04/30/2008
B	FINRA	Investment Banking Representative	Approved	04/21/2010
B	FINRA	Operations Professional	Approved	11/08/2011
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018

Branch Office Locations

VALTUS CAPITAL GROUP, LLC

3452 E. Foothill Blvd.,
Suite 800
PASADENA, CA 91107

Employment 42 of 43

Firm Name: **WBB SECURITIES, LLC**

Main Office Address: **20 COMMERCE DR
STE 135
CRANFORD, NJ 07016**

Firm CRD#: **118440**

	SRO	Category	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Approved	06/01/2011
B	FINRA	Operations Professional	Approved	12/15/2011

Branch Office Locations



Broker Qualifications

Employment 42 of 43, continued

WBB SECURITIES, LLC
 20 COMMERCE DR
 STE 135
 CRANFORD, NJ 07016

Employment 43 of 43

Firm Name: **WILDRIDGE SECURITIES**
 Main Office Address: **1100 GLENDON AVE., 17TH FLOOR**
LOS ANGELES, CA 90024
 Firm CRD#: **335666**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	07/11/2025
B FINRA	General Securities Representative	Approved	07/11/2025
B FINRA	Introducing BD/Finan Operation Principal	Approved	07/11/2025
B FINRA	Investment Banking Representative	Approved	07/11/2025
B FINRA	Operations Professional	Approved	07/11/2025

Branch Office Locations

WILDRIDGE SECURITIES
 1100 GLENDON AVE., 17TH FLOOR
 LOS ANGELES, CA 90024



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 3 principal/supervisory exams, 6 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B General Securities Principal Examination	Series 24	09/06/2003
B Introducing Broker/Dealer Financial Operations Principal Examination	Series 28	06/25/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Trader Exam	Series 57TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Corporate Securities Limited Representative Examination	Series 62	01/02/2023
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	06/28/1999

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 09/2019 - 01/2025	COINSHARES CAPITAL LLC	170506	NEW YORK, NY
B 07/2023 - 01/2025	AIA SECURITIES LLC	323693	IRVINE, CA
B 07/2014 - 08/2024	COLLINS/BAY ISLAND SECURITIES, LLC	106560	Pasadena, CA
B 07/2022 - 07/2024	KARBONE CAPITAL MARKETS, LLC	150704	NEW YORK, NY
B 01/2019 - 06/2024	PLUM CAPITAL, LLC	289343	W. BLOOMFIELD, MI
B 05/2023 - 02/2024	DOMINARI SECURITIES LLC	18975	Pasadena, CA
B 01/2018 - 01/2024	WINLO MANAGEMENT GROUP, LLC	288383	AUSTIN, TX
B 02/2022 - 12/2023	REVERE SECURITIES LLC	14178	NEW YORK, NY
B 06/2019 - 08/2022	STARTENGINE PRIMARY LLC	291773	BURBANK, CA
B 11/2012 - 12/2021	SHOPOFF SECURITIES, INC.	142866	IRVINE, CA
B 09/2012 - 01/2021	H2C SECURITIES INC.	7169	SAN DIEGO, CA
B 08/2020 - 01/2021	LIBERTY ASSOCIATES, INC.	15071	NEW YORK, NY
B 05/2014 - 12/2020	SHERIDAN CAPITAL SECURITIES, LLC	157439	IRVINE, CA
B 09/2020 - 09/2020	MCCAFFERTY & COMPANY, LLC	147259	LOS ANGELES, CA
B 12/2019 - 08/2020	MCCAFFERTY & COMPANY, LLC	147259	LOS ANGELES, CA
B 12/2015 - 07/2020	CAPRO CAPITAL	173686	Pasadena, CA
B 12/2018 - 08/2019	ELITE BROKERS, LLC	284050	Long Beach, CA
B 05/2019 - 07/2019	MIRAE ASSET WEALTH MANAGEMENT (USA) INC.	147991	LOS ANGELES, CA
B 06/2016 - 01/2018	FIRST WILSHIRE SECURITIES, INC.	6609	PASADENA, CA
B 03/2011 - 10/2017	AUGEO ADVISORS, LLC	154881	LOS ANGELES, CA
B 05/2008 - 10/2017	GREEN STREET TRADING, LLC	28937	NEWPORT BEACH, CA



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2005 - 10/2016	FINTECH CLEARING, LLC	134742	IRVINE, CA
B 03/2016 - 04/2016	FORTUNE SECURITIES, INC.	40821	ALHAMBRA, CA
B 12/2014 - 07/2015	BAY MUTUAL FINANCIAL, LLC	130535	SANTA MONICA, CA
B 02/2013 - 05/2015	ELMCORE SECURITIES LLC	158922	PASADENA, CA
B 09/2007 - 01/2015	BCC ADVISORY SERVICES, LLC	143642	NEWPORT BEACH, CA
B 11/2006 - 12/2014	COOPERATIVE OF AMERICAN PHYSICIANS INSURANCE SERVICES, INC.	140592	LOS ANGELES, CA
B 01/2014 - 10/2014	BARDI CO. LLC	166134	LOS ANGELES, CA
B 01/2010 - 04/2013	HUB INTERNATIONAL INVESTMENT SERVICES INC.	150252	KANSAS CITY, MO
B 11/2009 - 12/2012	DIMIRAK SECURITIES CORPORATION	150181	VISTA, CA
B 06/2012 - 07/2012	WILLIAM AND HENRY ASSOCIATES	154566	LOS ANGELES, CA
B 06/2009 - 01/2012	CM SECURITIES, LLC	127136	LAS VEGAS, NV
B 03/2010 - 11/2011	MDB CAPITAL GROUP LLC	42677	ADDISON, TX
B 11/2005 - 01/2011	ADVISORS EDGE SECURITIES, LLC	133840	WOODLAND HILLS, CA
B 01/2007 - 12/2010	ANTAEUS CAPITAL, INC.	627	LOS ANGELES, CA
B 03/2006 - 09/2010	SOUTH LAKE AVENUE SECURITIES CORPORATION	137387	PASADENA, CA
B 06/2010 - 06/2010	GOVDESK, LLC	44323	NEWARK, NJ
B 05/2009 - 05/2010	BLACK ROSE EQUITY MANAGEMENT LLC	147299	PORTLAND, OR
B 06/2009 - 05/2010	SEIDMAN PRIVATE SECURITIES LLC	125051	NEW YORK, NY
B 12/2009 - 03/2010	BANC OF MANHATTAN CAPITAL	149880	WOODLAND HILLS, CA
B 02/2009 - 01/2010	CHANNEL POINT PARTNERS	120283	NEWPORT BEACH, CA
B 05/2007 - 11/2009	BMA SECURITIES	108219	EL SEGUNDO, CA



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/2005 - 11/2009	NORTH GLOBAL SECURITIES, INC.	132918	NEWPORT BEACH, CA
B 02/2007 - 09/2009	ARQUE CAPITAL, LTD.	121192	SCOTTSDALE, AZ
B 05/2008 - 08/2009	GRANT BETTINGEN, INC.	16944	NEW YORK, NY
B 06/2008 - 03/2009	CRUCIBLE CAPITAL GROUP, INC.	133542	NEW YORK, NY
B 11/2007 - 01/2009	ZEALOUS CAPITAL MARKETS, LLC.	136412	TUSTIN, CA
B 11/2007 - 01/2009	TBN SECURITIES, INC.	103773	CAMARILLO, CA
B 12/2004 - 12/2008	SILVER PACIFIC ADVISORS, LLC	125572	LAS VEGAS, NV
B 09/2005 - 08/2008	BROADWAY FINANCIAL GROUP, INC.	135113	NEW YORK, NY
B 10/2003 - 08/2008	CHANNEL POINT PARTNERS	120283	NEWPORT BEACH, CA
B 08/2007 - 10/2007	ASHRAF CAPITAL CORP.	42611	PASADENA, CA
B 03/2006 - 10/2007	BEDROCK SECURITIES, LLC	133253	NEWPORT BEACH, CA
B 07/2007 - 07/2007	DOHENY GLOBAL CAPITAL, LP	114243	IRVINE, CA
B 12/2006 - 04/2007	SPRINGBOARD SECURITIES, INC.	104458	NEWPORT BEACH, CA
B 04/2005 - 12/2006	ANTAEUS CAPITAL, INC.	627	LOS ANGELES, CA
B 12/2002 - 12/2006	G. SELECT SECURITIES, LLC	122781	BAINBRIDGE ISLAND, WA
B 09/2002 - 10/2006	SPRINGBOARD SECURITIES, INC.	104458	NEWPORT BEACH, CA
B 09/2004 - 01/2006	NEXA SECURITIES	15621	PASADENA, CA
B 02/2003 - 08/2004	IMPERIAL CAPITAL, LLC	43744	LOS ANGELES, CA
B 01/2004 - 04/2004	SYNDICATED CAPITAL, INC.	29037	DIAMOND BAR, CA
B 10/2002 - 03/2004	NEXA SECURITIES	15621	PASADENA, CA
B 09/2002 - 01/2004	HUNTINGTON SECURITIES, LLC	116558	LOS ANGELES, CA
B 05/2002 - 09/2003	WESTMOORE TRADING COMPANY	44948	ANAHIEM, CA



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/2002 - 10/2002	CURTIS SECURITIES, LLC	104153	PHILADELPHIA, PA

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	TFA SECURITIES, INC	PFO and FINOP	Y	El Segundo, CA, United States
01/2025 - Present	AUGMENT CAPITAL, LLC	FINOP & PFO	Y	Austin, TX, United States
12/2024 - Present	EFCG TRANSACTION SERVICES LLC	PFO	Y	Denver, CO, United States
11/2024 - Present	ARCVIEW CAPITAL, LLC	PFO & CCO	Y	NEW YORK, NY, United States
11/2024 - Present	LESKO SECURITIES INC.	PFO	Y	Vestal, NY, United States
11/2024 - Present	MIT Associates, LLC	Principal	Y	Tiburon, CA, United States
05/2024 - Present	Private Placement Insurance Products, LLC	FINOP	Y	FARGO, ND, United States
03/2024 - Present	WILDRIDGE SECURITIES	PFO & CCO	Y	Los Angeles, CA, United States
07/2023 - Present	FMI CAPITAL ADVISORS	CCO / FINOP	Y	DENVER, CO, United States
03/2023 - Present	AIA Securities	FINOP	Y	Mission Viejo, CA, United States
03/2023 - Present	KLR CAPITAL	FINOP	Y	TORRANCE, CA, United States
11/2022 - Present	FCA Capital Markets LLC	FinOp	Y	Denver, CO, United States
07/2022 - Present	Karbone Capital Markets, LLC	CCO	Y	New York, NY, United States
02/2022 - Present	Revere Securities, LLC	Investment Banking Principal	Y	Boca Raton, FL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2020 - Present	Onpeak Capital LLC	FINOP	Y	New York, NY, United States
06/2020 - Present	Pacific Oak Capital Markets, LLC	FINOP	Y	Costa Mesa, CA, United States
03/2020 - Present	Incline Advisors	FINOP	Y	Incline Village, NV, United States
02/2020 - Present	Capitala Securities, LLC	FINOP	Y	Charlotte, NC, United States
01/2020 - Present	Analyst Hub Securities, LLC	FINOP & IB Principal	Y	New York, NY, United States
09/2019 - Present	CoinShare Group	FINOP	Y	Clarks Summit, PA, United States
09/2019 - Present	PORTUM CAPITAL LLC	FINOP	Y	San Francisco, CA, United States
09/2019 - Present	ShorelineAmbrose Advisors, LLC	FINOP	Y	San Diego, CA, United States
09/2019 - Present	Trinity Wealth Securities, L.L.C.	FINOP	Y	Tampa, FL, United States
06/2019 - Present	Transitional Advisors	FINOP	Y	Draper, UT, United States
10/2018 - Present	Plum Capital LLC	FINOP	Y	W. Bloomfield, MI, United States
02/2018 - Present	KAL Capital Markets LLC	FINOP	Y	Long Beach, CA, United States
12/2017 - Present	Winlo Management Group, LLC	FINOP	Y	Palm Beach Gardens, FL, United States
11/2017 - Present	Bren Ventures, LLC	FINOP	Y	New York, NY, United States
10/2017 - Present	Pariter Securities, LLC	FINOP	Y	Guaynabo, PR, United States
09/2017 - Present	ExchangerRight Securities, LLC	FINOP	Y	Pasadena, CA, United States
06/2016 - Present	Mainspring Capital Management, LLC	General Principal	Y	Pasadena, CA, United States
06/2016 - Present	NB Securities, LLC	FINOP	Y	San Francisco, CA, United States
12/2015 - Present	MJ Capital Partners	Principal	Y	Los Angeles, CA, United States
11/2015 - Present	APEXUS CAPITAL LLC	FINOP	Y	SANTA MONICA, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2015 - Present	NEXTREND SECURITIES, INC.	FINOP	Y	DALLAS, TX, United States
07/2015 - Present	TCFG WEALTH MANAGMENT	FINOP	Y	LAGUNA NIGUE, CA, United States
07/2014 - Present	COLLINS/BAY ISLAND SECURITIES, LLC	GENERAL PRINCIPAL	Y	NEWPORT BEACH, CA, United States
06/2014 - Present	LIGHTHOUSE CAPITAL GROUP, LLC	FINOP	Y	PASADENA, CA, United States
09/2013 - Present	AVENDUS CAPITAL, INC.	PRINCIPAL	Y	NEW YORK, NY, United States
09/2013 - Present	DIRECT REALTY SECURITIES, INC.	FINOP	Y	WESTLAKE VILLAGE, CA, United States
04/2012 - Present	MARKS BAUGHAN SECURITIES LLC	FINOP	Y	CONSHOHOCKEN, PA, United States
06/2011 - Present	WBB SECURITIES, INC.	FINOP	Y	SAN DIEGO, CA, United States
01/2011 - Present	CENTERBOARD SECURITIES, LLC	FINOP	Y	NEW YORK, NY, United States
06/2010 - Present	China eCapital Partners, LLC	FINOP	Y	SANTA MONICA, CA, United States
06/2009 - Present	BDO CAPITAL ADVISORS, LLC.	FINOP	Y	COSTA MEZA, CA, United States
11/2007 - Present	VALTUS CAPITAL GROUP, LLC	FINOP	Y	LAS VEGAS, NV, United States
05/2007 - Present	THORNTON & ASSOCIATES, LLC	PRESIDENT	Y	PASADENA, CA, United States
02/2007 - Present	COMPAK SECURITIES, INC.	FINOP	Y	IRVINE, CA, United States
01/2006 - Present	CENTERPOINT M&A ADVISORS	FINOP	Y	WOODLAND HILLS, CA, United States
11/2004 - Present	INNOVATION CAPITAL, LLC	FINOP	Y	EL SEGUNDO, CA, United States
03/2004 - Present	GLOBALINK SECURITIES, INC.	FINOP	Y	ARCADIA, CA, United States
01/2004 - Present	SYNDICATED CAPITAL	FINOP AND COMPLIANCE CONSULTANT	Y	SANTA MONICA, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2002 - Present	THE SPARTAN GROUP	FINOP	Y	PASADENA, CA, United States
01/2018 - 08/2022	StartEngine Primary LLC	General Principal	Y	Los Agneles, CA, United States
11/2012 - 12/2021	SHOPOFF SECURITIES, INC.	FINOP	Y	IRVINE, CA, United States
09/2012 - 01/2021	H2C SECURITIES INC	FINOP	Y	SAN DIEGO, CA, United States
08/2020 - 12/2020	Liberty Associates, Inc.	Investment Banking Principal	Y	New York, NY, United States
12/2013 - 12/2020	SHERIDAN CAPITAL SECURITIES, LLC	FINOP	Y	IRVINE, CA, United States
12/2019 - 09/2020	MCCAFFERTY & COMPANY, LLC	FINOP	Y	Los Angeles, CA, United States
10/2016 - 09/2020	Sailbridge Capital Securities, LLC	FINOP	Y	New York, NY, United States
10/2015 - 07/2020	CAPRO CAPITAL	FINOP	Y	LAS VEGAS, NV, United States
06/2019 - 08/2019	Influential Securities LLC	FINOP	Y	Las Vegas, NV, United States
01/2017 - 08/2019	Elite Brokers, LLC	FINOP	Y	Los Angeles, CA, United States
05/2019 - 07/2019	Mirae Asset Wealth Management (USA) Inc.	FINOP	Y	Los Angeles, CA, United States
06/2016 - 01/2018	First Wilshire Securities, Inc.	General Principal	Y	Pasadena, CA, United States
08/2010 - 10/2017	AUGEO ADVISORS, LLC	FINOP	Y	LOS ANGELES, CA, United States
05/2008 - 10/2017	GREEN STREET ADVISORS, INC.	PRINCIPAL	Y	NEWPORT BEACH, CA, United States
01/2017 - 07/2017	KMD Securities, Inc	FINOP	Y	Irvine, CA, United States
06/2016 - 01/2017	NB Securities, LLC	FinOp	Y	San Francsico, CA, United States
03/2016 - 10/2016	Karbone Capital, LLC	FINOP	Y	New York, NY, United States
03/2005 - 10/2016	FLASHFUNDERS SECURITIES, LLC	FINOP	Y	ENCINO, CA, United States
04/2016 - 09/2016	Swansea Capital, LLC	FinOp	Y	Pasadena, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2016 - 08/2016	KT Securities, Inc.	FinOp	Y	Seattle, WA, United States
03/2016 - 04/2016	Fortune Securities, Inc	FINOP	Y	Alhambra, CA, 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.

PRESIDENT OF THORNTON & ASSOCIATES, LLC SINCE MAY 2007. THIS BUSINESS OPERATES AS A REGULATORY COMPLIANCE CONSULTING FIRM SERVING BROKER-DEALERS ACROSS THE UNITED STATES AND IS INVESTMENT-RELATED. IN THIS ROLE, MR. THORNTON PROVIDES COMPLIANCE CONSULTING SERVICES AND HOLDS REGISTRATIONS WITH MULTIPLE FINRA MEMBER FIRMS. RESPONSIBILITIES INCLUDE THE OVERALL SUPERVISION AND MANAGEMENT OF THE FIRM. APPROXIMATELY 35-40 HOURS PER WEEK ARE DEDICATED TO THESE DUTIES.

End of Report



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