

## BrokerCheck Report

**DAX PAN RODRIGUEZ**

CRD# 5700954

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6



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).

**DAX P. RODRIGUEZ**

CRD# 5700954

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

- B DNA SECURITIES LLC**  
 141 W. Jackson, Suite 1710A  
 Chicago, IL 60604  
 CRD# 312799  
 Registered with this firm since: 03/01/2022

**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
- 3 U.S. states and territories

**This broker has passed:**

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

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

- IA MERRIWETHER INVESTMENTS, INC.**  
 CRD# 310908  
 LAGUNA BEACH, CA  
 09/2022 - 11/2025
- B SUMO CAPITAL, LLC**  
 CRD# 146310  
 CHICAGO, IL  
 09/2014 - 09/2016
- B CUTLER GROUP, LP**  
 CRD# 31730  
 SAN FRANCISCO, CA  
 03/2013 - 07/2014

**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 3 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **DNA SECURITIES LLC**

Main Office Address: **141 W. JACKSON  
SUITE 1710A  
CHICAGO, IL 60604**

Firm CRD#: **312799**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	03/01/2022
B	FINRA	General Securities Representative	Approved	03/01/2022

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	02/02/2023
B	Illinois	Agent	Approved	06/03/2022
B	Texas	Agent	Approved	02/02/2023

### Branch Office Locations

#### DNA SECURITIES LLC

141 W. JACKSON  
SUITE 1710A  
CHICAGO, IL 60604

#### DNA SECURITIES LLC

141 W. Jackson, Suite 1710A  
Chicago, IL 60604



## 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 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	01/27/2022

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> National Commodity Futures Examination	Series 3	08/30/2024
<b>B</b> General Securities Representative Examination	Series 7TO	09/22/2021
<b>B</b> General Securities Representative Examination	Series 7	10/14/2009

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	09/23/2022
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/12/2022

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>IA</b> 09/2022 - 11/2025	MERRIWETHER INVESTMENTS, INC.	310908	Chicago, IL
<b>B</b> 09/2014 - 09/2016	SUMO CAPITAL, LLC	146310	CHICAGO, IL
<b>B</b> 03/2013 - 07/2014	CUTLER GROUP, LP	31730	SAN FRANCISCO, CA
<b>B</b> 07/2010 - 01/2013	LIVEVOL SECURITIES, INC.	23670	CHICAGO, IL
<b>B</b> 10/2009 - 09/2010	BALLISTA SECURITIES, LLC	146496	NEW YORK, NY

### Employment History

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

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

Employment	Employer Name	Position	Investment Related	Employer Location
10/2021 - Present	Sarna Finance LLC	Chief Commercial Officer	Y	Chicago, IL, United States
09/2016 - 10/2021	The HDF Group	Director of Commercial Services & Solutions	N	Champaign, IL, United States
09/2014 - 09/2016	SUMO CAPITAL, LLC	REGISTERED ASSOCIATE	Y	CHICAGO, IL, 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.

Sarna Technologies is a non broker-dealer affiliate of Sarna Finance LLC through the common parent company Sarna Holdings. Mr. Rodriguez devotes approximately 1 hour per month consulting for Sarna Technologies.

Co-Founder, registered Investment Advisor of Merriwether Investments, Inc., a Laguna Beach based, fee-only registered investment advisor that offers wealth management, wealth transfer, financial, retirement, and estate planning to individual investors and institutions (5 hours a month, not during market hours). This RIA role does not involve making any trading or investment decisions.

## Registration and Employment History



### Other Business Activities, continued

New Leaf Capital - Chicago, IL - Advisory Board Member - provide advice on potential technology and fintech investments. .5 hours per month.

Strands Technology LLC - technology provider, serve as an Advisor on various topics presented by Strands non are investment related. 100 hours per month when needed.

Mithril Capital LLC - San Francisco, CA. Partner since May 2024. 4 hours per month.

DNA Brokerage LLC - Chicago, IL. Futures Firm - Chief Commercial Officer. 40 hours per month.

---



## End of Report



**This page is intentionally left blank.**