

## BrokerCheck Report

**Alexander Jeremy Hecker**

CRD# 6140462

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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).



## Alexander J. Hecker

CRD# 6140462

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

**B EAGLE POINT SECURITIES LLC**  
600 Steamboat Road  
Suite 202  
Greenwich, CT 06830  
CRD# 324528  
Registered with this firm since: 08/01/2025

**B SQUARE GLOBAL MARKETS**  
SOHO WORKS 430 WEST 14TH STREET  
3RD FLOOR  
NEW YORK, NY 10014  
CRD# 158419  
Registered with this firm since: 06/04/2025

**B ALDER SECURITIES LLC**  
GREENWICH, CT  
CRD# 326041  
Registered with this firm since: 03/06/2025

**B SB1 CAPITAL MARKETS INC**  
260 Madison Ave  
8th Floor  
New York, NY 10016  
CRD# 154132  
Registered with this firm since: 01/21/2025

## 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:

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

### Registration History

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

- IA SOFI WEALTH LLC**  
CRD# 167958  
SAN FRANCISCO, CA  
07/2019 - 11/2024
- B SOFI SECURITIES LLC**  
CRD# 151717  
Claymont, DE  
07/2019 - 11/2024
- IA COASTAL INVESTMENT ADVISORS**  
CRD# 134952  
WILMINGTON, DE  
08/2018 - 07/2019

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.**

### Employment 1 of 4

Firm Name: **ALDER SECURITIES LLC**

Main Office Address: **2 ONEIDA DRIVE  
APT #C2  
GREENWICH, CT 06830**

Firm CRD#: **326041**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	03/06/2025
B	FINRA	General Securities Principal	Approved	03/06/2025
B	FINRA	General Securities Representative	Approved	03/06/2025
B	FINRA	Operations Professional	Approved	03/06/2025
B	FINRA	Registered Options Principal	Approved	03/06/2025

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	04/09/2025
B	Connecticut	Agent	Approved	10/27/2025

### Branch Office Locations

**ALDER SECURITIES LLC**  
GREENWICH, CT

### Employment 2 of 4

Firm Name: **EAGLE POINT SECURITIES LLC**

Main Office Address: **600 STEAMBOAT ROAD**



## Broker Qualifications

### Employment 2 of 4, continued

**SUITE 202  
GREENWICH, CT 06830  
324528**

Firm CRD#:

SRO	Category	Status	Date
<b>B</b> FINRA	Compliance Officer	Approved	08/01/2025
<b>B</b> FINRA	General Securities Principal	Approved	08/01/2025
<b>B</b> FINRA	General Securities Representative	Approved	08/01/2025
<b>B</b> FINRA	Operations Professional	Approved	08/01/2025
<b>B</b> FINRA	Registered Options Principal	Approved	08/01/2025

U.S. State/ Territory	Category	Status	Date
<b>B</b> California	Agent	Approved	08/01/2025

### Branch Office Locations

#### EAGLE POINT SECURITIES LLC

600 Steamboat Road  
Suite 202  
Greenwich, CT 06830

### Employment 3 of 4

Firm Name: **SB1 CAPITAL MARKETS INC**

Main Office Address: **260 MADISON AVE  
8TH FLOOR  
NEW YORK, NY 10016**

Firm CRD#: **154132**

SRO	Category	Status	Date
<b>B</b> FINRA	Compliance Officer	Approved	01/21/2025
<b>B</b> FINRA	General Securities Principal	Approved	01/21/2025



## Broker Qualifications

### Employment 3 of 4, continued

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	01/21/2025
<b>B</b> FINRA	Operations Professional	Approved	01/21/2025
<b>B</b> FINRA	Registered Options Principal	Approved	01/21/2025

### Branch Office Locations

#### SB1 CAPITAL MARKETS INC

260 Madison Ave  
8th Floor  
New York, NY 10016

### Employment 4 of 4

Firm Name: **SQUARE GLOBAL MARKETS**  
Main Office Address: **SOHO WORKS 430 WEST 14TH STREET  
3RD FL.  
NEW YORK, NY 10014**  
Firm CRD#: **158419**

SRO	Category	Status	Date
<b>B</b> FINRA	Compliance Officer	Approved	06/04/2025
<b>B</b> FINRA	General Securities Principal	Approved	06/04/2025
<b>B</b> FINRA	General Securities Representative	Approved	06/04/2025
<b>B</b> FINRA	Operations Professional	Approved	06/04/2025
<b>B</b> FINRA	Registered Options Principal	Approved	06/04/2025

U.S. State/ Territory	Category	Status	Date
<b>B</b> New York	Agent	Approved	06/04/2025

## Broker Qualifications



### Employment 4 of 4, continued

#### Branch Office Locations

##### **SQUARE GLOBAL MARKETS**

SOHO WORKS 430 WEST 14TH STREET  
3RD FLOOR  
NEW YORK, NY 10014

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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 3 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Compliance Officer Examination	Series 14	01/21/2025
<b>B</b> Registered Options Principal Examination	Series 4	11/06/2020
<b>B</b> General Securities Principal Examination	Series 24	06/11/2019

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/21/2025
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	06/01/2013

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	07/28/2013

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> 07/2019 - 11/2024	SOFI WEALTH LLC	167958	Claymont, DE
<b>B</b> 07/2019 - 11/2024	SOFI SECURITIES LLC	151717	Claymont, DE
<b>IA</b> 08/2018 - 07/2019	COASTAL INVESTMENT ADVISORS	134952	WILMINGTON, DE
<b>B</b> 08/2018 - 07/2019	COASTAL EQUITIES, INC.	23769	WILMINGTON, DE
<b>IA</b> 11/2016 - 08/2018	CAPITAL ONE ADVISORS, LLC	136865	Wilmington, DE
<b>B</b> 11/2016 - 08/2018	CAPITAL ONE INVESTING, LLC	45744	WILMINGTON, DE
<b>B</b> 02/2015 - 08/2016	J.P. MORGAN SECURITIES LLC	79	NEWARK, DE
<b>IA</b> 10/2013 - 11/2014	SHAREBUILDER 401K	136865	MCLEAN, VA
<b>B</b> 06/2013 - 11/2014	CAPITAL ONE SHAREBUILDER, INC.	45744	WILMINGTON, DE

### 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
08/2025 - Present	EAGLE POINT SECURITIES LLC	PRINCIPAL	Y	GREENWICH, CT, United States
06/2025 - Present	SQUARE GLOBAL MARKETS	CCO	Y	New York, NY, United States
03/2025 - Present	ALDER SECURITIES LLC	CCO	Y	GREENWICH, CT, United States
01/2025 - Present	SPAREBANK 1 CAPITAL MARKETS INC.	CHIEF COMPLIANCE OFFICER	Y	NEW YORK, NY, United States
11/2024 - Present	DFP REGULATORY SERVICES LLC	ASSOCIATE DIRECTOR	N	NEW YORK, NY, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2019 - 11/2024	SOCIAL FINANCE INC.	COMPLIANCE SPECIALIST	Y	CLAYMONT, DE, United States
07/2019 - 11/2024	SOFI SECURITIES LLC	COMPLIANCE SPECIALIST	Y	CLAYMONT, DE, United States
07/2019 - 11/2024	SOFI WEALTH LLC	COMPLIANCE SPECIALIST	Y	CLAYMONT, DE, United States
08/2018 - 07/2019	COASTAL EQUITIES, INC.	OPERATIONS SPECIALIST	Y	WILMINGTON, DE, United States
08/2018 - 07/2019	COASTAL INVESTMENT ADVISORS, INC.	OPERATIONS SPECIALIST	Y	WILMINGTON, DE, United States
10/2016 - 08/2018	Capital One Investing, LLC	Principal Customer Service Coordinator	Y	301 W. 11st Street, DE, United States
01/2015 - 10/2016	J.P. MORGAN SECURITIES LLC	CSA	Y	NEWARK, DE, 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.

No information reported.

## End of Report



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