**BrokerCheck Report**

# ALEXANDER CHIEN

CRD# 6493437


| Section Title | Page(s) |
|---|---|
| Report Summary | 1 |
| Broker Qualifications | 2 - 3 |
| Registration and Employment History | 5 |



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.
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**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.

# ALEXANDER CHIEN

CRD# 6493437

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

**CANTOR FITZGERALD & CO.**
One Sansome St.
41st Floor
San Francisco, CA 94104
CRD# 134
Registered with this firm since: 11/04/2024

## 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
- 1 U.S. state or territory

**This broker has passed:**

- 0 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):**

**AQ TECHNOLOGY PARTNERS LLC**
CRD# 304996
REDWOOD CITY, CA
10/2023 - 10/2024

**INTREPID INVESTMENT BANKERS LLC**
CRD# 154801
LOS ANGELES, CA
08/2022 - 10/2023

**SHEA & COMPANY, LLC**
CRD# 150965
SAN FRANCISCO, CA
01/2021 - 08/2022

## 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**

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# 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 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

Firm Name: **CANTOR FITZGERALD & CO.**

Main Office Address: **110 EAST 59TH STREET, 4TH FLOOR**
**NEW YORK, NY 10022**

Firm CRD#: **134**

| | SRO | Category | Status | Date |
|---|---|---|---|---|
| B | FINRA | Corporate Securities Represent | Approved | 11/04/2024 |
| B | FINRA | Investment Banking Representative | Approved | 11/04/2024 |
| B | Nasdaq Stock Market | Corporate Securities Represent | Approved | 11/04/2024 |

| | U.S. State/ Territory | Category | Status | Date |
|---|---|---|---|---|
| B | California | Agent | Approved | 11/04/2024 |

## Branch Office Locations

**CANTOR FITZGERALD & CO.**
One Sansome St.
41st Floor
San Francisco, CA 94104

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

## Principal/Supervisory Exams

| Exam | | Category | Date |
|---|---|---|---|
| | No information reported. | | |

## General Industry/Product Exams

| Exam | | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination | SIE | 10/01/2018 |
| B | Investment Banking Registered Representative Examination | Series 79 | 12/11/2015 |
| B | Corporate Securities Limited Representative Examination | Series 62 | 08/07/2015 |

## State Securities Law Exams

| Exam | | Category | Date |
|---|---|---|---|
| B | Uniform Securities Agent State Law Examination | Series 63 | 03/19/2016 |

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/.

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# Broker Qualifications

## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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# Registration and Employment History

## Registration History

The broker previously was registered with the following firms:

| Registration Dates | Firm Name | CRD# | Branch Location |
|---|---|---|---|
| B 10/2023 - 10/2024 | AQ TECHNOLOGY PARTNERS LLC | 304996 | REDWOOD CITY, CA |
| B 08/2022 - 10/2023 | INTREPID INVESTMENT BANKERS LLC | 154801 | LOS ANGELES, CA |
| B 01/2021 - 08/2022 | SHEA & COMPANY, LLC | 150965 | SAN FRANCISCO, CA |
| B 08/2015 - 01/2021 | KPMG CORPORATE FINANCE LLC | 103973 | SANTA CLARA, CA |

## 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 |
|---|---|---|---|---|
| 11/2024 - Present | CANTOR FITZGERALD & CO. | VICE PRESIDENT | Y | San Francisco, CA, United States |
| 10/2023 - 10/2024 | AQ TECHNOLOGY PARTNERS LLC | REGISTERED REPRESENTATIVE | Y | REDWOOD CITY, CA, United States |
| 08/2022 - 10/2023 | Intrepid Investment Bankers LLC | Vice President | Y | Menlo Park, CA, United States |
| 01/2021 - 08/2022 | Shea & Company | Associate | Y | BOSTON, MA, United States |
| 01/2015 - 12/2020 | KPMG LLP | ASSOCIATE | N | SANTA CLARA, 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.

No information reported.

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# End of Report

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