

BrokerCheck Report

Mina Tadrus

CRD# 6942063

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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.](http://www.finra.org)

Mina Tadrus

CRD# 6942063

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

B **T3 TRADING GROUP, LLC**
 CRD# 154431
 NEW YORK, NY
 07/2018 - 04/2019

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Civil Event	1

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 broker is not currently registered.



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, 2 general industry/product exams, and 0 state securities law exams.

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 Securities Trader Exam	Series 57	07/16/2018

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 07/2018 - 04/2019	T3 TRADING GROUP, LLC	154431	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
04/2018 - Present	T3 Trading Group, LLC	Prop Trader	Y	New York, NY, United States
02/2014 - 04/2018	Sacret Heart	Compliance Manager	N	Oviedo, FL, United States
04/2012 - 04/2018	Self Employed	Retail Trader/Investor	Y	New York, NY, United States
08/2016 - 08/2017	JPMorgan Chase - Veterans Sourcing Group Consultant	Derivatives Consultant	Y	New York, NY, United States
04/2015 - 05/2016	Themis	Head Campus Representative	N	Dayton, OH, United States
05/2014 - 05/2016	University of Dayton School of Law	Full-time education	N	Dayton, OH, 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.



Disclosure Events

What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Civil Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/12/2025
Docket/Case Number:	3-22570
Employing firm when activity occurred which led to the regulatory action:	Tadrus Capital LLC
Product Type:	No Product
Allegations:	The Securities and Exchange Commission ("Commission") deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted against Mina N. Tadrus ("Tadrus" or "Respondent"). Respondent has submitted an Offer of Settlement (the "Offer") which the Commission has determined to accept. The Commission finds that on August 12, 2025, a judgment was entered by consent against Tadrus, permanently enjoining him from future violations of Section 17(a) of the Securities Act of 1933; Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder; and Sections 206(1), (2), and (4) of the Investment Advisers Act of 1940 and Rule 206(4)-8 thereunder, in the civil action entitled Securities and Exchange Commission v. Tadrus, 23-cv-5708 (FB) in the United States District Court for the Eastern District of New York.



The Commission's complaint, filed on July 28, 2023, alleged that Tadrus and his investment firm Tadrus Capital LLC ("Tadrus Capital") engaged in a multimillion-dollar Ponzi scheme targeting members of the Egyptian Coptic Christian community. The complaint further alleged that Tadrus used investor funds to pay for his own personal expenses and to make payments to other earlier investors. On February 13, 2025, Tadrus pled guilty to one violation of Sections 206 and 217 of the Investment Advisers Act of 1940 [15 U.S.C. §§ 80b-6 and 80b-17] before the United States District Court for the Eastern District of New York, in United States v. Tadrus, 23 cr. 393 (E.D.N.Y.). He was sentenced to 30 months' imprisonment and ordered to pay \$4,244,850 in restitution. The count of the criminal indictment to which Tadrus pled guilty alleged, among other things, that Tadrus engaged in a scheme to defraud investors and potential investors by misusing investor funds.

Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/12/2025
Sanctions Ordered:	Bar (Permanent)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:

Bar (Permanent)

Capacities Affected:

Association with a broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or NRSRO

Duration:

Indefinite

Start Date:

12/12/2025

End Date:

Regulator Statement

Accordingly, it is hereby ordered that Respondent Tadrus be, and hereby is barred from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization (NRSRO).



Civil - Final

This type of disclosure event involves (1) an injunction issued by a court in connection with investment-related activity, (2) a finding by a court of a violation of any investment-related statute or regulation, or (3) an action brought by a state or foreign financial regulatory authority that is dismissed by a court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Regulator
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Injunction Monetary Penalty other than Fines Other: Officer/director prohibition, Asset freeze, accounting of assets
Date Court Action Filed:	07/28/2023
Product Type:	Other: Unspecified Securities
Type of Court:	Federal Court
Name of Court:	United States District Court for the Eastern District of New York
Location of Court:	Brooklyn, NY
Docket/Case #:	1:23-cv-05708
Employing firm when activity occurred which led to the action:	Tadrus Capital LLC
Allegations:	The Securities and Exchange Commission (the Commission), for its Complaint against Mina Tadrus (Tadrus) and Tadrus Capital LLC (Tadrus Capital) (collectively, Defendants), alleges that Tadrus and Tadrus Capital-respectively, the founder and chief executive officer of an eponymous investment advisory firm and the firm itself-engaged in a multimillion-dollar Ponzi scheme. Tadrus has solicited and sold investments in Tadrus Capital Fund LP - a purported pooled investment vehicle - targeting members of the Egyptian Coptic Christian community. Defendants raised over \$5 million from at least 31 investors. Tadrus falsely told investors that their funds would be pooled and invested in the world's first private high-yielding and fixed-income quantitative hedge fund using artificial intelligence-based high-frequency trading models that would yield investors 1.5 or 2.5 percent, paid on the first of each month, for an annual return on investment of 18 or 30 percent a year. In reality, Defendants did not invest the vast majority of investors' funds, if any. Instead, Defendants used a significant portion of the investor funds for Tadrus' own personal benefit - diverting funds directly to Tadrus and to pay his personal credit card bills, and, made Ponzi payments - which they told investors were guaranteed



monthly return on investment payments. In total, during the relevant period, Defendants used approximately \$1,431,900 of investors' money to pay investors the guaranteed monthly return on investment payments, including over \$275,000 in June 2023 alone, and further misappropriated at least \$383,267.93 of investors' money for Tadrus' own benefit. As a result of his conduct, Tadrus directly or indirectly, singly or in concert, violated and, unless enjoined, will again violate Securities Act Section 17(a) and Exchange Act Section 10(b) and Rule 10b-5 thereunder, and violated, and unless restrained and enjoined, will continue to violate Sections 206(1), 206(2), and 206(4) of the Advisers Act, and Rule 206(4)-8 thereunder.

Current Status: Final

Resolution: Judgment Rendered

Resolution Date: 12/12/2025

Sanctions Ordered or Relief Granted: Disgorgement
Injunction
Monetary Penalty other than Fines
Other: Officer/Director Prohibition; Undertakings

Capacities 1 of 1

Capacities Affected: N/A

Duration: Permanent

Start Date: 12/12/2025

End Date:

Monetary Sanction 1 of 2

Monetary Sanction: prejudgment interest

Total Amount: \$72,100.00

Portion against individual: 72100

Date Paid:

Portion Waived: No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Sanction: Disgorgement

Total Amount: \$4,070,350.00

Portion against individual: 4070350



Date Paid:

Portion Waived:

No

Amount Waived:

Regulator Statement

On December 12, 2025, a final judgment was entered, by consent, against Tadrus wherein he was permanently restrained and enjoined from violating, directly or indirectly, Section 10(b) of the Securities Exchange Act of 1934 (the "Exchange Act") and Rule 10b-5 promulgated thereunder. Tadrus permanently restrained and enjoined from violating Section 17(a) of the Securities Act of 1933 (the "Securities Act"), Sections 206(1), (2) and Section 206(4) of the Investment Advisers Act of 1940 (the "Advisers Act") and Rule 206(4)-8 promulgated thereunder and was permanently restrained and enjoined from directly or indirectly, including, but not limited to, through any entity owned or controlled by Defendant, participating in the issuance, purchase, offer, or sale of any security, provided however, that such injunction shall not prevent Defendant from purchasing or selling securities for his own personal account. Tadrus was prohibited from acting as an officer or director of any issuer, liable for disgorgement of \$4,070,350, representing his ill-gotten gains as a result of the conduct alleged in the Complaint, and prejudgment interest thereon of \$72,100, which shall be deemed satisfied by the order of restitution entered against him in United States v. Tadrus, 23 Cr. 393 (E.D.N.Y) (Dkt. No. 65), as well as the transfer of frozen assets ordered to take place to be used toward the restitution obligation in the criminal action. Tadrus shall comply with all of the undertakings and agreements set forth therein.

End of Report



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