

## BrokerCheck Report

**Troy Niklas**

CRD# 7359880

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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)



## Troy Niklas

CRD# 7359880

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

- B** **ROTH CAPITAL PARTNERS, LLC**  
888 SAN CLEMENTE  
SUITE 400  
NEWPORT BEACH, CA 92660  
CRD# 15407  
Registered with this firm since: 10/10/2024

## 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:

- 1 Self-Regulatory Organization
- 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):

- B** **D.A. DAVIDSON & CO.**  
CRD# 199  
NEWPORT BEACH, CA  
06/2021 - 08/2021

### 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 1

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

Main Office Address: **888 SAN CLEMENTE  
SUITE 400  
NEWPORT BEACH, CA 92660**

Firm CRD#: **15407**

SRO	Category	Status	Date
<b>B</b> FINRA	Investment Banking Representative	Approved	10/10/2024

U.S. State/ Territory	Category	Status	Date
<b>B</b> California	Agent	Approved	10/28/2024

### Branch Office Locations

**ROTH CAPITAL PARTNERS, LLC**  
888 SAN CLEMENTE  
SUITE 400  
NEWPORT BEACH, CA 92660

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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>B</b> Investment Banking Registered Representative Examination	Series 79TO	10/10/2024
<b>B</b> General Securities Representative Examination	Series 7TO	06/11/2021
<b>B</b> Securities Industry Essentials Examination	SIE	05/01/2021

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/25/2024

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>B</b> 06/2021 - 08/2021	D.A. DAVIDSON & CO.	199	NEWPORT BEACH, 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
09/2024 - Present	Roth Capital Partners, LLC	Analyst, Investment Banking	Y	Newport Beach, CA, United States
07/2021 - 07/2024	Swell Ventures	Owner	N	San Clemente, CA, United States
03/2021 - 07/2021	D. A. Davidson	Financial Advisor Trainee	Y	Newport Beach, CA, United States
03/2020 - 03/2021	University of Notre Dame	Mendoza Business School	N	Notre Dame, IN, United States
03/2019 - 03/2020	Tampa Bay Buccaneers	Tight End	N	Tampa, FL, United States
03/2018 - 03/2019	New England Patriots	Tight End	N	Foxborough, MA, United States
03/2014 - 03/2018	Arizona Cardinals	Tight End	N	Tempe, AZ, 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.

If Yes, please provide the following details:

the name of the other business; Swell Ventures LLC

whether the business is investment-related; NO

the address of the other business; 6 via Cancion San Clemente, CA

the nature of the other business; Direct to Consumer, Online Sales

## Registration and Employment History



### Other Business Activities, continued

your position; CEO

title, or relationship with the other business; Manager

the start date of your relationship; 09/2020

the approximate number of hours/month you devote to the other business; 2

the number of hours you devote to the other business during securities trading hours; 0

and briefly describe your duties relating to the other business; Providing working capital and strategic positioning. Day to day operations are handled by employees/accountants.

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## End of Report



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