

## BrokerCheck Report

### Donavan Martin Erickson

CRD# 7803996

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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).

**Donavan M. Erickson**

CRD# 7803996

**Currently employed by and registered with the following Firm(s):****B SIMPLEX TRADING, LLC**230 S. LASALLE STREET  
SUITE 08-500  
CHICAGO, IL 60604  
CRD# 153585

Registered with this firm since: 09/20/2023

**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:**

- 19 Self-Regulatory Organizations
- 0 U.S. states and territories

**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):**

No information reported.

**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 19 SROs and is licensed in 0 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **SIMPLEX TRADING, LLC**

Main Office Address: **230 S. LASALLE STREET  
SUITE 08-500  
CHICAGO, IL 60604**

Firm CRD#: **153585**

SRO	Category	Status	Date
<span style="color: #0070C0;">B</span> BOX Exchange LLC	Approved Person (NYSE)	Approved	09/20/2023
<span style="color: #0070C0;">B</span> BOX Exchange LLC	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> Cboe BZX Exchange, Inc.	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> Cboe C2 Exchange, Inc.	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> Cboe EDGX Exchange, Inc.	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> Cboe Exchange, Inc.	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> FINRA	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> MEMX LLC	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> MIAX Emerald, LLC	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> MIAX PEARL, LLC	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> MIAX Sapphire	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> Miami International Securities Exchange, LLC	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> NYSE American LLC	Securities Trader	Approved	10/30/2024
<span style="color: #0070C0;">B</span> NYSE Arca, Inc.	Securities Trader	Approved	10/30/2024

## Broker Qualifications



### Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq BX, Inc.	Securities Trader	Approved	10/30/2024
B Nasdaq GEMX, LLC	Securities Trader	Approved	10/30/2024
B Nasdaq ISE, LLC	Securities Trader	Approved	10/30/2024
B Nasdaq MRX, LLC	Securities Trader	Approved	10/30/2024
B Nasdaq PHLX LLC	Securities Trader	Approved	10/30/2024
B Nasdaq Stock Market	Securities Trader	Approved	10/30/2024

### Branch Office Locations

**SIMPLEX TRADING, LLC**  
230 S. LASALLE STREET  
SUITE 08-500  
CHICAGO, IL 60604

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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, 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 Trader Exam	Series 57TO	10/30/2024
B Securities Industry Essentials Examination	SIE	07/05/2024

### 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/](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
No information reported.			

## 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
08/2023 - Present	Simplex Trading, LLC	FPGA Engineer	Y	Chicago, IL, United States
03/2023 - 08/2023	unemployed	unemployed	N	Seattle, WA, United States
09/2021 - 03/2023	Micron Technology, inc	FPGA Engineer	N	Seattle, WA, United States
09/2020 - 09/2021	University of Washington	Full-time Student	N	Seattle, WA, United States
06/2020 - 09/2020	Microsoft	FPGA Engineer Intern	N	Sunnyvale, CA, United States
09/2019 - 06/2020	University of Washington	Full-time Student	N	Seattle, WA, United States
06/2019 - 01/2020	F5 Networks	FPGA Engieer Intern	N	Spokane, WA, United States
09/2018 - 06/2019	University of Washington	Full-time Student	N	Seattle, WA, United States
06/2018 - 09/2018	Honeywell Aero Repair and Overhaul	Integrated Supply Chain Intern	N	Seattle, WA, United States
09/2017 - 06/2018	University of Washington	Full-time Student	N	Seattle, WA, United States
06/2017 - 09/2017	Boeing	777X Cabin Service Systems Intern	N	Seattle, WA, United States
09/2016 - 06/2017	University of Washington	Full-time Student	N	Seattle, WA, United States
06/2016 - 09/2016	Kitsap County Public Works	Solid Waste Division Intern	N	Bremerton, WA, United States
09/2015 - 06/2016	University of Washington	Full-time Student	N	Seattle, WA, United States

## Registration and Employment History



### 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.

Business is not investment related. Address: 11 S Green St Apt 1414 Chicago, IL 60607. Donavan will be helping his girlfriend (Yaejiyea) in securing and negotiating brand deals for being a content creator. Donavan will be a brand manager in his role. Start date; February 20, 2025 with 6 hours a month spent on the business with no hours devoted to the business during trading hours. Compensation will be received via a joint account.

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## End of Report



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