

BrokerCheck Report

TRADIER BROKERAGE, INC.

CRD# 104982

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our investor alert on imposters.

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
 - o 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.

www.finra.org/brokercheck
User Guidance

TRADIER BROKERAGE, INC.

CRD# 104982

SEC# 8-52972

Main Office Location

11016 RUSHMORE DR.
SUITE 350
CHARLOTTE, NC 28277
Regulated by FINRA Atlanta Office

Mailing Address

11016 RUSHMORE DR. SUITE 350 CHARLOTTE, NC 28277

Business Telephone Number

980-272-3880

Report Summary for this Firm



This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Illinois on 09/17/1993. Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 52 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 11 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm?

Yes

The following types of disclosures have been reported:

Type CountRegulatory Event 1

This firm is classified as a corporation.

This firm was formed in Illinois on 09/17/1993.

Its fiscal year ends in December.



This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

TRADIER BROKERAGE, INC.

Doing business as TRADIER BROKERAGE, INC.

CRD# 104982

SEC# 8-52972

Main Office Location

11016 RUSHMORE DR. SUITE 350 CHARLOTTE, NC 28277

Regulated by FINRA Atlanta Office

Mailing Address

11016 RUSHMORE DR. SUITE 350 CHARLOTTE, NC 28277

Business Telephone Number

980-272-3880



This section provides information relating to all direct owners and executive officers of the brokerage firm.



Direct Owners and Executive Officers

Legal Name & CRD# (if any): TRADIER, INC. Is this a domestic or foreign

entity or an individual?

Domestic Entity

Position SHAREHOLDER

Position Start Date 04/2013

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting

company?

No

Legal Name & CRD# (if any): BENDER, STEVEN CHRISTOPHER

2650187

Is this a domestic or foreign entity or an individual?

Individual

FINOP Position

Position Start Date 03/2020

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm?

No

Is this a public reporting

company?

No

Legal Name & CRD# (if any): LAPTEWICZ, PETER ANDREW

5257627

Is this a domestic or foreign entity or an individual?

Individual

Position PRESIDENT

Position Start Date 04/2013

User Guidance

Direct Owners and Executive Officers (continued)

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

Yes

the firm?

Is this a public reporting

company?

No

Legal Name & CRD# (if any):

LEE, PAUL HYUN SEUNG

2476746

Is this a domestic or foreign entity or an individual?

Individual

Position

CCO

Position Start Date

12/2015

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

Yes

Is this a public reporting

company?

the firm?

No

Legal Name & CRD# (if any):

LEE, PAUL HYUN SEUNG

2476746

Is this a domestic or foreign entity or an individual?

Individual

Position

COO

Position Start Date

01/2014

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

Yes

the firm?

Is this a public reporting

company?

No

Legal Name & CRD# (if any):

LEPORE, CHRISTOPHER JAMES

User Guidance

Direct Owners and Executive Officers (continued)

4787660

Is this a domestic or foreign entity or an individual?

Individual

Position ROSFP

Position Start Date 12/2015

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No





This section provides information relating to any indirect owners of the brokerage firm.

FINCA

Indirect Owners

Legal Name & CRD# (if any): RAJU, DANDU

5825116

Is this a domestic or foreign entity or an individual?

Individual

Company through which indirect ownership is established

TRADIER, INC.

Relationship to Direct Owner

SHAREHOLDER

Relationship Established

01/2012

Percentage of Ownership

25% but less than 50%

Does this owner direct the management or policies of the firm?

No

Is this a public reporting

No

company?

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

FINCA

No information reported.

FIDCA

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 52 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/21/2001

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	05/21/2001





U.S. States & Territories	Status	Date Effective
Alabama	Approved	06/14/2013
Alaska	Approved	05/13/2013
Arizona	Approved	05/14/2013
Arkansas	Approved	05/14/2013
California	Approved	06/07/2001
Colorado	Approved	08/02/2013
Connecticut	Approved	05/29/2013
Delaware	Approved	05/20/2013
District of Columbia	Approved	05/21/2013
Florida	Approved	06/11/2013
Georgia	Approved	12/07/2001
Hawaii	Approved	05/30/2013
Idaho	Approved	04/30/2013
Illinois	Approved	05/22/2001
Indiana	Approved	12/14/2010
lowa	Approved	04/25/2013
Kansas	Approved	05/09/2013
Kentucky	Approved	04/24/2013
Louisiana	Approved	05/28/2013
Maine	Approved	06/07/2013
Maryland	Approved	05/14/2013
Massachusetts	Approved	04/26/2013
Michigan	Approved	05/17/2013
Minnesota	Approved	05/10/2013
Mississippi	Approved	04/30/2013
Missouri	Approved	06/17/2002
Montana	Approved	05/14/2013
Nebraska	Approved	06/04/2013
Nevada	Approved	06/04/2013
New Hampshire	Approved	06/19/2013
New Jersey	Approved	06/07/2013
New Mexico	Approved	06/04/2013
New York	Approved	05/10/2013

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	04/30/2013
North Dakota	Approved	05/17/2013
Ohio	Approved	05/14/2013
Oklahoma	Approved	05/07/2013
Oregon	Approved	05/16/2013
Pennsylvania	Approved	05/16/2013
Puerto Rico	Approved	08/24/2021
Rhode Island	Approved	04/24/2013
South Carolina	Approved	05/14/2013
South Dakota	Approved	05/02/2013
Tennessee	Approved	05/22/2013
Texas	Approved	06/04/2013
Utah	Approved	04/25/2013
Vermont	Approved	05/15/2013
Virginia	Approved	05/17/2013
Washington	Approved	04/30/2013
West Virginia	Approved	05/09/2013
Wisconsin	Approved	05/21/2013
Wyoming	Approved	05/13/2013

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 11 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities

Underwriter or selling group participant (corporate securities other than mutual funds)

Mutual fund retailer

Broker or dealer selling variable life insurance or annuities

Solicitor of time deposits in a financial institution

Put and call broker or dealer or option writer

Non-exchange member arranging for transactions in listed securities by exchange member

Trading securities for own account

Private placements of securities

Other - REFERRAL SERVICES- RECEIVE COMMISSIONS AND REFERRAL FEES FOR ACCOUNTS REFERRED TO OTHER BROKER DEALERS; BROKER CONDUCTING ONLINE TRADING ACTIVITIES AND TRADE SECURITIES FOR OWN ACCOUNT IN CONNECTION WITH A FRACTIONAL SHARE PROGRAM

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:





Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: 350 NORTH ST. PAUL STREET

SUITE 1300

DALLAS, TX 75201

Effective Date: 04/01/2015

Description: THE FIRM CLEARS ITS TRANSACTIONS ON A FULLY DISCLOSED BASIS

WITH THE ABOVE NAMED ENTITY.

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: 350 NORTH ST. PAUL STREET

SUITE 1300

DALLAS, TX 75201

Effective Date: 04/01/2015

Description: THE FIRM CLEARS ITS TRANSACTIONS ON A FULLY DISCLOSED BASIS

WITH THE ABOVE NAMED ENTITY.

This firm does have accounts, funds, or securities maintained by a third party.

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: 350 NORTH ST. PAUL STREET

SUITE 1300

DALLAS, TX 75201

Effective Date: 04/01/2015

Description: THE FIRM MAINTAINS ACCOUNTS AT THE CLEARING FIRM FOR TEST

PURPOSES.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: 350 NORTH ST. PAUL STREET

SUITE 1300

DALLAS, TX 75201

Effective Date: 04/01/2015

Description: THE FIRM CLEARS ITS TRANSACTIONS ON A FULLY DISCLOSED BASIS

WITH THE ABOVE NAMED ENTITY.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

Organization Affiliates

FINCA

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is not, directly or indirectly:

- · in control of
- · controlled by
- · or under common control with

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

This firm is not directly or indirectly, controlled by the following:

- · bank holding company
- · national bank
- · state member bank of the Federal Reserve System
- · state non-member bank
- · savings bank or association
- credit union
- or foreign bank

Disclosure Events



All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

What you should know about reported disclosure events:

- BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.
- 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 brokerage firm is required to disclose a particular criminal event.
- 3. Disclosure events in BrokerCheck reports come from different sources:
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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.
- 4. There are different statuses and dispositions for disclosure events:
 - o 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.
 - o 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 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.
- 5. You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Current Status: Final



Allegations: THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") DEEMS IT

APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC

ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE, AND

HEREBY ARE, INSTITUTED PURSUANT TO SECTIONS 15(B) AND 21C OF THE

SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AGAINST TRADIER BROKERAGE, INC. ("TRADIER" OR "RESPONDENT").

THE COMMISSION FINDS THAT THIS MATTER INVOLVES TRADIER'S FAILURE TO FILE WITH THE COMMISSION AND TO DELIVER TO RETAIL INVESTORS ITS FORM CRS. TRADIER WAS REQUIRED TO FILE ITS INITIAL FORM CRS WITH THE COMMISSION AND TO BEGIN DELIVERING ITS FORM CRS TO PROSPECTIVE AND NEW RETAIL INVESTORS, AS APPLICABLE, BY JUNE 30, 2020. TRADIER WAS FURTHER REQUIRED TO DELIVER ITS FORM CRS TO EXISTING RETAIL INVESTOR CUSTOMERS BY JULY 30, 2020. THE FIRM FAILED TO FILE AND DELIVER FORM CRS BY THESE DEADLINES, NOT BECOMING COMPLIANT UNTIL MAY 5, 2021. AS A RESULT, TRADIER VIOLATED EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14

THEREUNDER.

Cease and Desist

Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Date Initiated: 07/26/2021

Docket/Case Number: 3-20433

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief

Sought:

Jougni.

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 07/26/2021

Does the order constitute a final order based on violations of any laws or regulations that prohibit

fraudulent, manipulative, or

deceptive conduct?

Sanctions Ordered: Censure

Monetary/Fine \$50,000.00 Cease and Desist/Injunction

Other Sanctions Ordered:

Yes



Sanction Details: RESPONDENT IS CENSURED; ORDERED TO CEASE AND DESIST FROM

COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14 THEREUNDER;

AND SHALL PAY A CIVIL MONEY PENALTY OF \$50,000 TO THE COMMISSION.

RESPONDENT HAS SUBMITTED AN OFFER OF SETTLEMENT, WHICH THE

COMMISSION HAS DETERMINED TO ACCEPT. RESPONDENT WILLFULLY

VIOLATED EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14 THEREUNDER, ACCORDINGLY, IT IS HEREBY ORDERED THAT THE

RESPONDENT CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14 THEREUNDER; IS CENSURED; AND SHALL PAY A

CIVIL MONEY PENALTY OF \$50,000 TO THE COMMISSION.

Reporting Source: Firm

Current Status: Final

Allegations: THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") DEEMS IT

APPROPRIATE AND IN THE PUBLICINTEREST THAT PUBLIC

ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE, AND

HEREBY ARE, INSTITUTED PURSUANT TO SECTIONS 15(B) AND 21C OF THE

SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AGAINST

TRADIER BROKERAGE, INC. ("TRADIER" OR "RESPONDENT").

THE COMMISSION FINDS THAT THIS MATTER INVOLVES TRADIER'S FAILURE TO FILE WITH THE COMMISSION AND TO DELIVER TO RETAIL INVESTORS ITS FORM CRS. TRADIER WAS REQUIRED TO FILE ITS INITIAL FORM CRS WITH THE COMMISSION AND TO BEGIN DELIVERING ITS FORM CRS TO PROSPECTIVE AND NEW RETAIL INVESTORS, AS APPLICABLE, BY JUNE 30, 2020. TRADIER WAS FURTHER REQUIRED TO DELIVER ITS FORM CRS TO EXISTING RETAIL INVESTOR CUSTOMERS BY JULY 30, 2020. THE FIRM FAILED TO FILE AND DELIVER FORM CRS BY THESE DEADLINES, NOT

BECOMING COMPLIANT UNTIL MAY 5, 2021. AS A RESULT, TRADIER VIOLATED EXCHANGE ACTSECTION 17(A)(1) AND RULE 17A-14

THEREUNDER.

Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Date Initiated: 07/26/2021

Docket/Case Number: 3-20433

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Cease and Desist

Sought:



Other Sanction(s)/Relief

Sought:

Resolution: Order

Resolution Date: 07/26/2021

Sanctions Ordered: Censure

Monetary/Fine \$50,000.00 Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: RESPONDENT IS CENSURED; ORDERED TO CEASE AND DESIST FROM

COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14 THEREUNDER; AND SHALL PAY A CIVIL MONEY PENALTY OF \$50,000 TO THE COMMISSION.

Firm Statement THE FIRM HAS SUBMITTED AN OFFER OF SETTLEMENT, WHICH THE

COMMISSION HAS DETERMINED TO ACCEPT. THE FIRM WILL CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14 THEREUNDER; IS CENSURED; AND SHALL PAY A CIVIL MONEY PENALTY

OF \$50,000 TO THE COMMISSION. THE FIRM NEITHER ADMITTED OR DENIED THE SEC'S FINDING TO THE ABOVE LISTED SANCTIONS.

End of Report



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