



## BUSINESS PROFILE

General Business Information		
Firm Name: Trade Capital Markets (TCM) North America LLC	Telephone Number: 646-290-7248	
Address: 11 BROADWAY, SUITE 615, NEW YORK, NY, 10004	Website Address:	
	FAX Number: 646-290-7248	
Contact Name: George Rodger		
Contact Telephone Number: +35799378133	Contact Email Address: george.rodger@tradecapitalmarkets.com	
What is the firm's country of origin? USA	What is the firm's State of origin? NY	
What year did the firm originate? 2021	How is the firm organized? i.e. Inc, LLC, LP et al LLC	
How many offices does the firm have? 1	How many traders does the firm have?	
Regulatory Registration Information (if applicable)		
Is the firm a registered broker-dealer? <input type="checkbox"/> Yes <input type="checkbox"/> No	Who is the firm's DEA?	
What is the firm's CRD number? 316822	What is the firm's MPID?	
What is the firm's Net Capital?	What is the firm's trading deposit?	
Who is the firm's current clearing or brokerage firm? N/A		
What is the expiration date of the firm's clearing contract? N/A		
What back-office system does the firm currently use? N/A		
Is the firm a registered investment advisor? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Executive Information		
Owners/Executives/Partners/Managing Members/Principals		
Name	Title	CRD# (If applicable)
BENDER, STEVEN CHRISTOPHER	FINOP/CFO	2650187
DONOVAN, BRIAN CHRISTOPHER	CCO	1406738
Pelecanos, Achilleas	CEO	7446803
TRADE CAPITAL HOLDING(TCH) LTD	OWNER	FOREIGN
Business Mix		
Business	Orders per Month	Shares/Contracts per Month
NASDAQ Equities:		
NYSE Arca Equities:		
BATS Equities:		
Other Equities:		
Other Equities:		
Options:		
Other Business:		
Business Characteristics		
Does the firm carry positions overnight? <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, Long Side \$	Short Side \$
Does the firm have, or has it had any regulatory problems? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	(if yes, please attach a detailed explanation)	
Does the firm trade in "hard to borrow" securities? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Does the firm trade in "bulletin board" securities? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Does the firm trade Inter-Market Sweep Orders (ISO)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
How much capital is the firm allowed to tie up intra-day or what is the firm's current leverage amount (i.e. 4 to 1)?		

References		
Name	Company	Telephone Number

**Business Description** (Please briefly describe in general the firm's business)

We will connect through a technology partner platform to US Banking Institutions in order to provide their retail clients with brokerage services on US equities and ETFs. The platform provides financial institutions with a SaaS solution, enabling them to offer their customers to create personalized investment strategies. These are a simple automated "set and go" trade strategies that are always on, accessible anywhere and anytime. Traders are asked to set trading conditions and the automated trading tool will execute them when the scenario occurs. The system allows traders to add multiple conditions into their strategies based on technical indicators, protective measures such as trailing stop losses, and P&L. This platform has been operating since 2018 and already exists as a white label solution in 5 banks.