



BUSINESS PROFILE

General Business Information		
Firm Name: BOUSTEAD SECURITIES LLC/SUTTER SECURITIES LLC	Telephone Number: 949-502-4408	
Address: 6 VENTURE SUITE 395	Website Address: WWW.BOUSTEAD1828.COM	
IRVINE, CA 92618	FAX Number: 949-502-4408	
Contact Name: LINCOLN "JOE" SMITH		
Contact Telephone Number: 949-322-2236	Contact Email Address: LINCOLN.SMITH@BOUSTEAD1828.COM	
What is the firm's country of origin? USA	What is the firm's State of origin? CALIFORNIA	
What year did the firm originate? 2006	How is the firm organized? i.e. Inc, LLC, LP et al LLC	
How many offices does the firm have? 10	How many traders does the firm have? 2	
Regulatory Registration Information (if applicable)		
Is the firm a registered broker-dealer? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Who is the firm's DEA?	
What is the firm's CRD number? 141391	What is the firm's MPID? DIGG	
What is the firm's Net Capital? \$100,000/\$100,000	What is the firm's trading deposit? \$50,000/\$50,000	
Who is the firm's current clearing or brokerage firm? VISION CLEARING / PERSHING		
What is the expiration date of the firm's clearing contract? OPEN		
What back-office system does the firm currently use? Etna / PERSHING		
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)
KEITH MOORE / KEITH MOORE	CEO	
ROBERT BULL / ROBERT BULL	CFO	
JOANNE PARK / LINCOLN SMITH	CCO	
Business Mix		
Business	Orders per Month	Shares/Contracts per Month
NASDAQ Equities:	800+	4,000,000
NYSE Arca Equities:	200+	1,000,000
BATS Equities:		
Other Equities:		
Options:	50+	300
Other Business: PRIMARY/SEC OFFERINGS	1000+	5,000,000
Business Characteristics		
Does the firm carry positions overnight? <input checked="" 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No (if yes, please attach a detailed explanation)		
Does the firm trade in "hard to borrow" securities? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		Does the firm trade in "bulletin board" securities? <input checked="" type="checkbox"/> Yes <input 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) GENERAL SECURITIES BUSINESS, INVESTMENT BANKING INCLUDING PRIVATE, PRIMARY AND SECONDARY OFFERINGS, CORPORATE FINANCE AND 3RD PARTY RESEARCH, SALES AND TRADING, AND INVESTMENT ADVISORY THROUGH RELATED ADVISORS.
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