

## **BUSINESS PROFILE**

| General Business Information  |          |       |    |    |                 |  |                      |                     |      |        |   |    |
|---|----------|-------|----|----|-----------------|--|----------------------|---------------------|------|--------|---|----|
| Firm Name: Brick Lane Holdings LLC  |          |       |    |    |                 | Telephone Number: +1-917-705-0883                      |                      |                     |      |        |   |    |
| Address: 100 Red Neck Avenue  |          |       |    |    |                 | Website Address:                                       |                      |                     |      |        |   |    |
| Moonachie NJ 07074  |          |       |    |    |                 | FAX Number:  |                      |                     |      |        |   |    |
| Contact Name: Sandra Monfared   |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Contact Telephone Number: +1-917-705-0883   |          |       |    |    |                 | Contact Email Address: Bricklane@blhold.com            |                      |                     |      |        |   |    |
| What is the firm's country of origin? United States   |          |       |    |    |                 | What is the firm's State of origin? New Jersey         |                      |                     |      |        |   |    |
| What year did the firm originate? 2009  |          |       |    |    |                 | 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? 3                 |                      |                     |      |        |   |    |
| Regulatory Registration Information (if appl  | icable)  |       |    |    |                 |  |                      |                     |      |        |   |    |
| Is the firm a registered broker–dealer?   |          |       |    | ľ  | <mark>Vo</mark> | Who is the firm's DEA?                                 |                      |                     |      |        |   |    |
| What is the firm's CRD number?  |          |       |    |    |                 | 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? BNY   |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| What is the expiration date of the firm's clearing contract?  |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| What back-office system does the firm currently   | use?     |       |    |    |                 |  |                      |                     |      |        |   |    |
| Is the firm a registered investment advisor?  |          | Yes   |    | ı  | No              |  |                      |                     |      |        |   |    |
| <b>Executive Information</b>  | •        |       |    |    |                 |  |                      |                     |      |        |   |    |
| Owners/Executives/Partners/Managing Member  | s/Princ  | ipals |    |    |                 |  |                      |                     |      |        |   |    |
| Name  |          |       |    |    | T               | itle   | CRD# (If applicable) |                     |      |        |   |    |
| Sandra Monfared   | Director |       |    |    |                 |  |                      |                     |      |        |   |    |
|   |          |       |    |    |                 |  |                      |                     |      |        |   |    |
|   |          |       |    |    |                 |  |                      |                     |      |        |   |    |
|   |          |       |    |    |                 |  |                      |                     |      |        |   |    |
|   |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Business Mix  |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Business  | •        |       |    |    | lers p          | er Month   |                      | Shares/Contracts pe | er M | 1onth  |   |    |
| NASDAQ Equities:  | 10       |       |    |    |                 |  | 250,000              |                     |      |        |   |    |
| NYSE Arca Equities:   | 10       |       |    |    |                 |  | 250,000              |                     |      |        |   |    |
| BATS Equities:  |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Other Equities:   |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Other Equities:   |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Options:  |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Other Business:   |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Business Characteristics  |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Does the firm carry positions overnight?  | x Yes    | ;     |    | No | If ye           | s, Long Side \$ yes 2-5mm                              |                      | Short Side \$ yes   | 500  | 0k-1mr | n |    |
| Does the firm have, or has it had any regulatory problems? Yes x No (if yes, please attach a detailed explanation)    |          |       |    |    |                 |  |                      |                     |      |        |   |    |
| Does the firm trade in "hard toborrow" securities? x Yes  |          |       |    |    | No              | Does the firm trade in "                               | bulletin boar        | d" securities?      | П    | Yes    | х | No |
| Does the firm trade Inter-Market Sweep Orders (   | SO)?     | Ye    | es | х  | 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 are a family office. Trade global Equity and credit mkts.                  |         |                  |  |  |  |  |  |  |  |
|   |         |                  |  |  |  |  |  |  |  |
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