

I have spent 23 years in the financial industry, with the last 18 years at the U.S. Securities and Exchange Commission, Division of Examinations conducting hundreds of examinations of broker-dealers, transfer agents, and investment advisers. I joined the Division of Examinations Office of Risk and Strategy in early 2018 to study digital assets/crypto and its impact on broker-dealers, transfer agents, and investment advisers. To assess the impact of digital assets/crypto on SEC regulated firms, I conducted or participated in 30 examinations of broker-dealers, transfer agents, and investment advisers. During my time at the SEC, I became well-versed in not only broker-dealer custody requirements but also decentralized finance.

I left the SEC to start TP4 Digital Assets to disrupt the legacy capital market using blockchain technology. To achieve my goal I would like to license Uniswap V3 to use in my start-up to disrupt the legacy settlement network and legacy securities exchanges.

This will be the first post in a string of post to discuss how to obtain a Uniswap V3 business license.

Any guidance along the way will be very helpful.