

BrokerCheck Report

MKM PARTNERS LLC

CRD# 114666

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 7
Firm History	8
Firm Operations	9 - 14
Disclosure Events	15

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:
 - o 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.



MKM PARTNERS LLC

CRD# 114666

SEC# 8-53436

Main Office Location

300 FIRST STAMFORD PLACE
4TH FLOOR EAST WING
STAMFORD, CT 06902
Regulated by FINRA Boston Office

Mailing Address

300 FIRST STAMFORD PLACE
4TH FLOOR EAST WING
STAMFORD, CT 06902

Business Telephone Number

203-861-9060

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 limited liability company.

This firm was formed in Connecticut on 11/30/2001.

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
- 7 Self-Regulatory Organizations
- 7 U.S. states and territories

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

This firm conducts 7 types of businesses.

This firm is affiliated with 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	Count
Regulatory Event	1



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Connecticut on 11/30/2001.

Its fiscal year ends in December.

Firm Names and Locations

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.

MKM PARTNERS LLC

Doing business as MKM PARTNERS LLC

CRD# 114666

SEC# 8-53436

Main Office Location

300 FIRST STAMFORD PLACE
4TH FLOOR EAST WING
STAMFORD, CT 06902

Regulated by FINRA Boston Office

Mailing Address

300 FIRST STAMFORD PLACE
4TH FLOOR EAST WING
STAMFORD, CT 06902

Business Telephone Number

203-861-9060



Firm Profile

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): MKM HOLDINGS, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Position 100% OWNER

Position Start Date 03/2001

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): CASAMASSIMA, MATTHEW JOSEPH
3076700

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT - EQUITIES

Position Start Date 08/2018

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

Legal Name & CRD# (if any): MASCERA, CHRISTOPHER MARK
2248658

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF OPERATING OFFICER

Position Start Date 08/2017

Firm Profile



Direct Owners and Executive Officers (continued)

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

Legal Name & CRD# (if any): MCLAUGHLIN, BRENDAN M.
2562815

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF COMPLIANCE OFFICER

Position Start Date 09/2014

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

Legal Name & CRD# (if any): MESSINA, STEVEN LOUIS
1632057

Is this a domestic or foreign entity or an individual? Individual

Position CEO, CO-FOUNDER

Position Start Date 04/2017

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

Legal Name & CRD# (if any): MESSINA, THOMAS GERALD

Firm Profile



Direct Owners and Executive Officers (continued)

	1402311
Is this a domestic or foreign entity or an individual?	Individual
Position	CHAIRMAN, CEO, CO-FOUNDER
Position Start Date	05/2010
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

Legal Name & CRD# (if any): SHETH, SAGAR ARVIND
5209865

Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	08/2018
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

Legal Name & CRD# (if any): SLATTERY, SHEILA PATRICIA
1938820

Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF FINANCIAL OFFICER
Position Start Date	06/2011
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

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

Yes

Is this a public reporting
company?

No



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	MESSINA, STEVEN LOUIS 1632057
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	MKM HOLDINGS, LLC
Relationship to Direct Owner	MANAGING MEMBER
Relationship Established	03/2001
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MESSINA, THOMAS GERALD 1402311
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	MKM HOLDINGS, LLC
Relationship to Direct Owner	MANAGING MEMBER
Relationship Established	03/2001
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

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

No information reported.





Firm Operations

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, 7 SROs and 7 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/04/2002

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	03/04/2002
Cboe BZX Exchange, Inc.	Approved	08/03/2009
Cboe EDGA Exchange, Inc.	Approved	05/14/2010
Cboe EDGX Exchange, Inc.	Approved	05/14/2010
Investors' Exchange LLC	Approved	08/02/2016
NYSE Arca, Inc.	Approved	03/24/2006
Nasdaq Stock Market	Approved	07/12/2006

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
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Arizona	Approved	02/03/2014
California	Approved	06/09/2009
Connecticut	Approved	03/06/2002
Massachusetts	Approved	01/10/2008
Michigan	Approved	11/21/2007
New York	Approved	05/02/2005
Ohio	Approved	06/27/2006



Firm Operations

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 7 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)
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
Other - THE FIRM PROVIDES RESEARCH AS PART OF ITS BUSINESS PLATFORM IN ADDITION TO PROVIDING IT ON A HARD DOLLAR BASIS.

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:

Firm Operations



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:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
CRD #:	7691
Business Address:	222 BROADWAY 6TH FLOOR NEW YORK, NY 10038
Effective Date:	03/12/2010
Description:	APPLICANT WILL INTRODUCE INSTITUTIONAL ACCOUNTS TO MERRILL LYHNCH, PIERCE, FENNER & SMITH.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

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.



Firm Operations

Organization Affiliates

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

This firm is, 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.

MKM HOLDINGS LLC controls the firm.

Business Address: 300 FIRST STAMFORD PLACE
4TH FLOOR EAST WING
STAMFORD, CT 06902

Effective Date: 06/28/2010

Foreign Entity: No

Country:

Securities Activities: No

**Investment Advisory
Activities:** No

Description: MKM PARTNERS LLC IS OWNED BY MKM HOLDINGS LLC

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:

1. **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:**
 - o 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:**
 - o 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



Appealed To and Date Appeal Filed:	ON SEPTEMBER 10, 2015, THE FIRM APPEALED TO THE APPEALS COMMITTEE OF THE BOARD OF DIRECTORS OF BATS EXCHANGE, INC.
	ON MAY 24, 2016, MKM PARTNERS LLC SUBMITTED ITS APPLICATION FOR REVIEW TO THE SEC FOR THE BATS EXCHANGE, INC. APPEALS COMMITTEE DECISION.
Allegations:	THE FIRM FAILED TO SUBMIT A COPY OF ITS ANNUAL AUDIT FOR THE 2013 FISCAL YEAR TO BATS EXCHANGE, INC. (BZX) WITHIN 60 DAYS OF ITS FISCAL YEAR END, BY MARCH 1, 2014. THE FIRM WAS CONTACTED, VIA LETTER DATED JUNE 16, 2014, REGARDING THIS DEFICIENCY AND A REQUEST FOR ITS ANNUAL AUDIT WAS ISSUED PURSUANT TO A BZX INVESTIGATION CONDUCTED BY FINRA. ONLY AFTER THIS COMMUNICATION DID THE FIRM SUBMIT ITS 2013 ANNUAL AUDIT ON JUNE 20, 2014. CONSEQUENTLY, THE FIRM VIOLATED SEC RULE 17A-5(D)(6). THE FIRM WAS ON NOTICE OF THE REQUIREMENT TO SUBMIT ITS ANNUAL AUDIT TO BZX, SINCE IT HAD PREVIOUSLY FAILED TO TIMELY FILE ITS 2011 ANNUAL AUDIT WITH THE EXCHANGE.
Initiated By:	BATS Z-EXCHANGE, INC.
Date Initiated:	03/09/2015
Docket/Case Number:	2014041284201
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	02/27/2017
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine \$2,500.00
Other Sanctions Ordered:	

**Sanction Details:**

THE FIRM WAS CENSURED AND FINED \$2,500.

Regulator Statement

HEARING PANEL DECISION RENDERED SEPTEMBER 1, 2015. THE SANCTIONS WERE BASED ON FINDINGS THAT THE FIRM, MORE THAN ONCE, FAILED TO TIMELY PROVIDE BATS EXCHANGE, INC. WITH COPIES OF THE ANNUAL REPORTS THAT IT FILED WITH THE SEC AND FINRA, AS REQUIRED BY SEC RULE 17A-5(D).

ON SEPTEMBER 10, 2015, THE FIRM APPEALED THE CASE TO THE APPEALS COMMITTEE OF THE BOARD OF DIRECTORS OF BATS EXCHANGE, INC. THE PARTIES TO THIS MATTER ARE THE BATS EXCHANGE, INC. DEPARTMENT OF ENFORCEMENT, REPRESENTED BY FINRA'S DEPARTMENT OF ENFORCEMENT PURSUANT TO FINRA'S REGULATORY SERVICES AGREEMENT WITH THE BATS EXCHANGE, AND MKM PARTNERS. ON APRIL 25, 2016, THE APPEALS COMMITTEE AFFIRMED THE HEARING PANEL DECISION.

ON MAY 24, 2016, MKM PARTNERS LLC SUBMITTED ITS APPLICATION FOR REVIEW TO THE SEC FOR THE BATS EXCHANGE, INC. APPEALS COMMITTEE DECISION.

ON DECEMBER 28, 2016, THE SEC ISSUED AN OPINION OF THE COMMISSION AND ORDER WHICH SUSTAINED THE DISCIPLINARY ACTION TAKEN BY THE BATS EXCHANGE, INC. THE DECISION BECAME FINAL ON FEBRUARY 27, 2017.

Reporting Source:

Firm

Current Status:

Final

Allegations:

MKM PARTNERS, LLC ("MKM" OR THE "FIRM") RECEIVED NOTIFICATION ON MARCH 9, 2015 THAT THE FIRM HAD BEEN NAMED A RESPONDENT BY FINRA ON BEHALF OF THE BATS EXCHANGE, INC., ALLEGING THAT MKM FAILED TO TIMELY FILE A COPY OF ITS 2013 FISCAL YEAR END ANNUAL AUDIT WITH BATS. IN REGARD TO THIS ACTION MKM FILED AN APPEAL, A HEARING PANEL DECISION WAS RENDERED ON 09/01/2015, MKM FILED AN APPEAL TO THE APPEALS COMMITTEE OF THE BATS EXCHANGE ON 09/10/2015, BATS EXCHANGE APPEALS COMMITTEE ISSUED A DECISION ON 04/25/2016, MKM FILED AN APPEAL WITH THE SEC ON 05/24/2016, AND THE SEC ISSUED AN OPINION ON 12/28/2016. NOTE TO CUSTOMERS: ALTHOUGH MKM ACKNOWLEDGES IT FAILED TO TIMELY FILE A COPY OF ITS 2013 FISCAL YEAR END ANNUAL AUDIT WITH BATS DUE TO ADMINISTRATIVE OVERSIGHT, (MKM FILED IN JUNE OF 2013 AFTER BATS ALERTED US) THE FIRM TIMELY SUBMITTED ITS 2013 ANNUAL AUDITED REPORTS TO FINRA AND THE SEC.

Initiated By:

FINRA ON BEHALF OF BATS Z-EXCHANGE, INC.(BATS)



Date Initiated: 03/09/2015

Docket/Case Number: NO. 2014041284201

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought: \$2500 FINE

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/28/2016

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: MKM RECEIVED A \$2500 FINE + CENSURE.

Firm Statement MKM PARTNERS, LLC ("MKM" OR THE "FIRM") RECEIVED NOTIFICATION ON MARCH 9, 2015 THAT THE FIRM HAD BEEN NAMED A RESPONDENT BY FINRA ON BEHALF OF THE BATS EXCHANGE, INC., ALLEGING THAT MKM FAILED TO TIMELY FILE A COPY OF ITS 2013 FISCAL YEAR END ANNUAL AUDIT WITH BATS. IN REGARD TO THIS ACTION MKM FILED AN APPEAL, A HEARING PANEL DECISION WAS RENDERED ON 09/01/2015, MKM FILED AN APPEAL TO THE APPEALS COMMITTEE OF THE BATS EXCHANGE ON 09/10/2015, BATS EXCHANGE APPEALS COMMITTEE ISSUED A DECISION ON 04/25/2016, MKM FILED AN APPEAL WITH THE SEC ON 05/24/2016, AND THE SEC ISSUED AN OPINION ON 12/28/2016. NOTE TO CUSTOMERS: ALTHOUGH MKM ACKNOWLEDGES IT FAILED TO TIMELY FILE A COPY OF ITS 2013 FISCAL YEAR END ANNUAL AUDIT WITH BATS DUE TO ADMINISTRATIVE OVERSIGHT, (MKM FILED IN JUNE OF 2013 AFTER BATS ALERTED US) THE FIRM TIMELY SUBMITTED ITS 2013 ANNUAL AUDITED REPORTS TO FINRA AND THE SEC.

End of Report



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