

BrokerCheck Report

UCAP AMERICAS

CRD# 173643

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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:
 - 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
 - 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.

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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.](http://www.finra.org)

**UCAP AMERICAS**

CRD# 173643

SEC# 8-69543

Main Office Location

1221 BRICKELL AVENUE
SUITE 2040
MIAMI, FL 33131
Regulated by FINRA Florida Office

Mailing Address

1221 BRICKELL AVENUE
SUITE 2040
MIAMI, FL 33131

Business Telephone Number

7865581207

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 Delaware on 05/22/2014.
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
- 1 Self-Regulatory Organization
- 17 U.S. states and territories

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

This firm conducts 5 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have 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? **No**



Firm Profile

This firm is classified as a limited liability company.
This firm was formed in Delaware on 05/22/2014.
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.

UCAP SECURITIES LLC
Doing business as UCAP AMERICAS
CRD# 173643
SEC# 8-69543

Main Office Location
1221 BRICKELL AVENUE
SUITE 2040
MIAMI, FL 33131

Regulated by FINRA Florida Office

Mailing Address
1221 BRICKELL AVENUE
SUITE 2040
MIAMI, FL 33131

Business Telephone Number
7865581207

Other Names of this Firm

Name	Where is it used
UCAP AMERICAS	CA, CO, CT, DE, FL, GA, IL, NC, NJ, NY, PR, TN, TX, VA, WI



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):	UNION CAPITAL GROUP USA LLC (FORMERLY UCAP HOLDINGS USA LLC)
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	09/2014
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	CAMPANO, SIXTO 1567239
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER
Position Start Date	11/2020
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):	CARATINI, DINAH 2757383
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO/AMLCO
Position Start Date	07/2021

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?	No
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	MASSENS, JUAN CARLOS 2802360
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP AND CHIEF OPERATING OFFICER
Position Start Date	07/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No
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Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	HOLDCO LDH LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	UNION CAPITAL GROUP (USA), LLC
Relationship to Direct Owner	OWNER
Relationship Established	01/2022
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):	HOWELL, LAWRENCE DAMON
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	HOLDCO LDH LLC
Relationship to Direct Owner	OWNER
Relationship Established	01/2022
Percentage of Ownership	Other General Partners
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, 1 SRO and 17 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	06/23/2015

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	06/23/2015

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	07/11/2016
Colorado	Approved	09/22/2017
Connecticut	Approved	08/15/2016
Delaware	Approved	10/07/2019
Florida	Approved	03/24/2016
Georgia	Approved	08/11/2022
Illinois	Approved	07/06/2023
New Jersey	Approved	08/08/2018
New York	Approved	07/08/2015
North Carolina	Approved	09/12/2017
Ohio	Approved	03/13/2024
Puerto Rico	Approved	05/13/2020
Tennessee	Approved	01/09/2020
Texas	Approved	06/28/2018
Virginia	Approved	01/13/2020
Wisconsin	Approved	04/06/2022
Wyoming	Approved	04/14/2023

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 5 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
Put and call broker or dealer or option writer
Private placements of securities

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 not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: STONEX FINANCIAL INC.

CRD #: 45993

Business Address: 329 N. PARK AVE., STE. 350
WINTER PARK, FL 32789

Effective Date: 07/06/2020

Description: FULLY DISCLOSED CORRESPONDENT CLEARING ARRANGEMENT.

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.**

UCAP HONG KONG ASSET MANAGEMENT is under common control with the firm.

Business Address:	3RD FLOOR, ST. JOHN'S BUILDING NO 33 GARDEN ROAD CENTRAL, HONG KONG, HONG KONG
Effective Date:	01/01/2014
Foreign Entity:	Yes
Country:	HONG KONG
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE FIRM IS UNDER COMMON CONTROL WITH UCAP HONG KONG ASSET MANAGEMENT. LAURENCE HOWELL (INDIRECT OWNER OF THE FIRM) ALSO HAS 45% INDIRECT OWNERSHIP OF HONG KONG ASSET MANAGEMENT.

UNION CAPITAL ASSET MANAGEMENT (TAIWAN) CO. LTD is under common control with the firm.

Business Address:	205 DUN HUA N. RD SUITE 606 6TH FLOOR TAIPEI, TAIWAN ROC
Effective Date:	12/23/2016
Foreign Entity:	Yes
Country:	TAIWAN ROC
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE FIRM IS UNDER COMMON CONTROL WITH UNION CAPITAL ASSET

Firm Operations



Organization Affiliates (continued)

MANAGEMENT (TAIWAN) CO. LTD. LAURENCE HOWELL (INDIRECT OWNER OF THE FIRM) ALSO HAS 50% INDIRECT OWNERSHIP OF UNION CAPITAL ASSET MANAGEMENT (TAIWAN) CO. LTD.

LAKE GENEVA INVESTMENT PARTNERS is under common control with the firm.

Business Address: 11 COURS DE RIVE
GENEVA, SWITZERLAND 1204

Effective Date: 12/19/2007

Foreign Entity: Yes

Country: SWITZERLAND

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE FIRM IS UNDER COMMON CONTROL WITH LAKE GENEVA INVESTMENT PARTNERS. LAURENCE HOWELL (INDIRECT OWNER OF THE FIRM) ALSO HAS 24.80% INDIRECT OWNERSHIP OF LAKE GENEVA INVESTMENT PARTNERS.

UCAP ASSET MANAGEMENT (UK) LTD is under common control with the firm.

Business Address: 25 BEDFORD SQUARE
LONDON, UNITED KINGDOM WC1 83HH

Effective Date: 10/10/2018

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE FIRM IS UNDER COMMON CONTROL WITH UCAP ASSET MANAGEMENT (UK) LTD. LAURENCE HOWELL (INDIRECT OWNER OF THE FIRM) ALSO HAS 25% INDIRECT OWNERSHIP OF UCAP ASSET MANAGEMENT (UK) LTD.

UCAP AM PTE LTD.(SINGAPORE) is under common control with the firm.

Business Address: 18 ROBINSON READ 16-01
SINGAPORE, SINGAPORE 048547

Effective Date: 06/10/2011

Firm Operations



Organization Affiliates (continued)

Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE FIRM IS UNDER COMMON CONTROL WITH UCAP AM PTE LTD. (SINGAPORE). LAURENCE HOWELL (INDIRECT OWNER OF THE FIRM) ALSO HAS 35.037% INDIRECT OWNERSHIP OF UCAP AM PTE LTD.(SINGAPORE).

UCAP SECURITIES (HK) LIMITED is under common control with the firm.

Business Address:	UNIT 3808-10 38F COSCO TOWER 183 QUEEN'S ROAD CENTRAL HONG KONG, HONG KONG
Effective Date:	11/11/2019
Foreign Entity:	Yes
Country:	HONG KONG
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE FIRM IS UNDER COMMON CONTROL WITH UCAP SECURITIES (HK) LIMITED. LAURENCE HOWELL (INDIRECT OWNER OF THE FIRM) ALSO HAS 35.01449% INDIRECT OWNERSHIP OF UCAP SECURITIES (HK) LIMITED.

UCAP BAHAMAS LIMITED is under common control with the firm.

Business Address:	CUB FINANCIAL CENTRE LYFORD CAY PO BOX AP 59223 NASSAU, BAHAMAS
Effective Date:	01/01/2014
Foreign Entity:	Yes
Country:	BAHAMAS
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE FIRM IS UNDER COMMON CONTROL WITH UCAP BAHAMAS LIMITED.

Firm Operations



Organization Affiliates (continued)

LAURENCE HOWELL (INDIRECT OWNER OF THE FIRM) ALSO HAS 40% INDIRECT OWNERSHIP OF UCAP BAHAMAS.

CAPITAL UNION BANK LTD is under common control with the firm.

Business Address:	CUB FINANCIAL CENTRE LYFORD CAY PO BOX AP 59223 NASSAU, BAHAMAS
Effective Date:	01/01/2014
Foreign Entity:	Yes
Country:	BAHAMAS
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE FIRM IS UNDER COMMON CONTROL WITH CAPITAL UNION BANK LTD. LAURENCE HOWELL (INDIRECT OWNER OF THE FIRM) IS CHAIRMAN OF THE BOARD OF CAPITAL UNION BANK AND ALSO HAS 37.69% INDIRECT OWNERSHIP OF CAPITAL UNION BANK LTD.

UCAPAMERICAS is under common control with the firm.

CRD #:	170846
Business Address:	1221 BRICKELL AVENUE SUITE 2040 MIAMI, FL 33131
Effective Date:	03/31/2017
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE FIRM IS UNDER COMMON CONTROL WITH UCAP SECURITIES LLC, AS BOTH ARE WHOLLY OWNED BY UNION CAPITAL GROUP USA LLC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank

Firm Operations



Organization Affiliates (continued)

- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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