



BROKERAGE ADVISORS, LLC

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MEMBER: FINRA/SIPC

BROKER-DEALER SERVICES

SDDCO Brokerage Advisors, LLC (“SDDCO-BA”) MEMBER: [FINRA/SIPC](#) was created as the solution to a growing need in the financial services industry for an independent broker-dealer with broad institutional regulatory compliance and accounting experience.

Securities Business Hosting

SDDCO-BA can register your investment professionals and provide supervisory oversight of their securities activities. Your office will be designated an SDDCO-BA branch office, and SDDCO-BA will be the broker of record on securities transactions. At the same time, you can build your business and operate under your own brand in a compliant regulated business environment.

Access a secure regulatory structure to conduct your securities business while developing the capital and business plan necessary to form your own FINRA member firm. Additionally, our firm affiliate, [SDDCO Regulatory Services, LLC](#), can handle your FINRA new membership application (“NMA”) process.

SDDCO-BA can:

- Assist you to conduct business while forming your own financial services firm
- Provide a stable environment in which you can develop your business model
- Enable you to prosper in a FINRA and SEC compliant regulatory environment

Branch Office Supervision

Through ongoing electronic and in-person dialog with each branch office, SDDCO-BA works to create a culture of compliance that nurtures representatives and their business success. Your team can operate as a cohesive unit at its own location with its own senior personnel providing branch office supervision under the guidance and overall supervision of senior SDDCO-BA management.

SDDCO-BA provides supervision, expertise, and guidance to business plans, including:

- Brokerage operations
- Investment advisory services
- Alternative investments
- Private equity
- Investment banking

SDDCO-BA reviews the ongoing operations of each office, including:

- Branch office inspections
- Personal brokerage accounts
- Sales practice procedures
- Representative registrations
- Written & e-communications
- Investor due diligence

Business Lines Served

SDDCO-BA is an introducing broker operating pursuant to a fully disclosed clearing arrangement with Pershing LLC, a BNY Mellon company, Member: [FINRA/NYSE/SIPC](#). SDDCO-BA is able to provide, directly, or in conjunction with its clearing agent, the following regulated business services:

Traditional or Online Securities Brokerage

Whether your business plan involves trading on an agency basis, Corporate Equity and Debt, Mutual Funds, and/or U.S. Government Securities on behalf of your clients, SDDCO-BA can provide the clearing relationship and supervisory knowledge and oversight to get your team up and running. SDDCO-BA offers the operational expertise and management supervision necessary for an effective and compliant online solution, whether transactional or simply viewable, with mobile access capabilities.

In this new world of Crowd Funding and General Solicitation as it relates to the sale of private placements, SDDCO-BA can be your guide and broker-dealer of record with the supervision you need to accomplish the successful general solicitation of private placements.

Private Placements

Securities offerings in non-public offerings—exempt from registration under federal securities laws—are an important source of capital. SDDCO-BA can assist your registered representatives to conduct due diligence, solicit suitable investors, and effect investments or “placements” into pooled investment vehicles or directly into companies. SDDCO-BA will review/approve communications with investors, retail or institutional, and help your marketing team meet its obligations in the private capital markets.

Investment Banking and Corporate Advisory

Investment banking involves a number of corporate advisory services, including advising companies on corporate structure, management, governance, and business practices. Corporate finance services involve capital structure, corporate sale, mergers & acquisitions advice. SDDCO-BA professionals can work with your team, which can be registered with SDDCO-BA, to operate your banking business or take the lead and assist your company in any number of banking assignments.

Distribution of Third-Party Research

If your equity, debt, and/or government securities sales team distributes independent or affiliated research—foreign or domestic—as part of its sales process, SDDCO-BA expert supervision can help your team ensure that such distribution is conducted in compliance with SEC and FINRA rules and guidelines.

Investment Advisory Services

For business plans that involve conducting an Investment Advisory business, SDDCO-BA can provide introducing broker, custody, reporting, and performance analysis and reporting solutions.

Contact Us

Contact CEO Bryon Lyons for an introductory consultation: blyons@sddco-ba.com or 212-751-4424.