

BrokerCheck Report

STIRLINGSHIRE INVESTMENTS

CRD# 310576

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 6
Firm History	7
Firm Operations	8 - 14



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.

-

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.



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 08/14/2020.
Its fiscal year ends in June.

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
- 53 U.S. states and territories

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

This firm conducts 4 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? **No**



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 08/14/2020.

Its fiscal year ends in June.

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.

STIRLINGSHIRE BD LLC

Doing business as STIRLINGSHIRE INVESTMENTS

CRD# 310576

SEC# 8-70616

Main Office Location

15 W 38TH ST
SUITE 704
NEW YORK CITY, NY 10018

Regulated by FINRA New York Office

Mailing Address

15 W 38TH ST
SUITE 704
NEW YORK CITY, NY 10018

Official Website

<https://stirlingshireinvestments>

Business Email

Info@stirlingshireinvestments

Other Names of this Firm

Name	Where is it used
STIRLINGSHIRE INVESTMENTS	AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX,

UT, VA, VI, VT, WA,
WI, WV, WY



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): STIRLINGSHIRE INVESTMENTS, INC.

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

Position 100% OWNER

Position Start Date 08/2020

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): MARCUS, DEBORAH
5629015

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 05/2024

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

Legal Name & CRD# (if any): SAKOL, DANIEL SCOTT
2813237

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

Position FINOP

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
<hr/>	
Legal Name & CRD# (if any):	WOODS, STEVEN MACKIE 5715598
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	08/2020
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
<hr/>	

Firm Profile

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

Indirect Owners

No information reported.



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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	06/08/2022

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	06/08/2022



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	05/03/2023
Alaska	Approved	03/29/2023
Arizona	Approved	04/05/2023
Arkansas	Approved	04/24/2023
California	Approved	09/02/2022
Colorado	Approved	09/21/2022
Connecticut	Approved	09/07/2022
Delaware	Approved	04/04/2023
District of Columbia	Approved	04/05/2023
Florida	Approved	01/03/2023
Georgia	Approved	05/16/2023
Hawaii	Approved	05/09/2023
Idaho	Approved	03/31/2023
Illinois	Approved	02/16/2023
Indiana	Approved	04/14/2023
Iowa	Approved	01/19/2023
Kansas	Approved	08/31/2022
Kentucky	Approved	04/07/2023
Louisiana	Approved	03/27/2023
Maine	Approved	04/10/2023
Maryland	Approved	12/06/2022
Massachusetts	Approved	11/23/2022
Michigan	Approved	09/26/2022
Minnesota	Approved	03/14/2023
Mississippi	Approved	03/23/2023
Missouri	Approved	10/12/2022
Montana	Approved	04/10/2023
Nebraska	Approved	04/05/2023
Nevada	Approved	03/27/2023
New Hampshire	Approved	04/28/2023
New Jersey	Approved	10/28/2022
New Mexico	Approved	04/25/2023
New York	Approved	07/09/2022

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	04/28/2023
North Dakota	Approved	04/25/2023
Ohio	Approved	03/27/2023
Oklahoma	Approved	04/05/2023
Oregon	Approved	03/28/2023
Pennsylvania	Approved	04/18/2023
Puerto Rico	Approved	05/09/2023
Rhode Island	Approved	03/23/2023
South Carolina	Approved	04/04/2023
South Dakota	Approved	03/23/2023
Tennessee	Approved	03/31/2023
Texas	Approved	10/19/2022
Utah	Approved	04/03/2023
Vermont	Approved	03/27/2023
Virgin Islands	Approved	04/25/2023
Virginia	Approved	04/26/2023
Washington	Approved	03/23/2023
West Virginia	Approved	04/13/2023
Wisconsin	Approved	09/01/2022
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 4 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Mutual fund retailer
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member

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:	APEX CLEARING CORPORATION
CRD #:	13071
Business Address:	ONE DALLAS CENTER 350 N. ST. PAUL, SUITE 1300 DALLAS, TX 75201
Effective Date:	10/08/2020
Description:	UPON OBTAINING THE NECESSARY REGULATORY APPROVAL, STIRLINGSHIRE INTENDS TO ESTABLISH A CLEARING RELATIONSHIP WITH APEX. BASED ON STIRLINGSHIRE'S CURRENT UNDERSTANDING OF THE SITUATION, APEX WOULD ACT AS A CLEARING BROKER FOR COUNTERPARTY, SUBJECT TO APEX OBTAINING ANY ADDITIONAL NECESSARY INTERNAL APPROVALS AND SUBJECT TO THE PARTIES BEING ABLE TO AGREE ON CONTRACTUAL TERMS.

Firm Operations

Industry Arrangements



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

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: ONE DALLAS CENTER
350 N. ST. PAUL, SUITE 1300
DALLAS, TX 75201

Effective Date: 10/08/2020

Description: UPON OBTAINING THE NECESSARY REGULATORY APPROVAL, STIRLINGSHIRE INTENDS TO ESTABLISH A CLEARING RELATIONSHIP WITH APEX. BASED ON STIRLINGSHIRE'S CURRENT UNDERSTANDING OF THE SITUATION, APEX WOULD ACT AS A CLEARING BROKER FOR COUNTERPARTY, SUBJECT TO APEX OBTAINING ANY ADDITIONAL NECESSARY INTERNAL APPROVALS AND SUBJECT TO THE PARTIES BEING ABLE TO AGREE ON CONTRACTUAL TERMS.

This firm does have accounts, funds, or securities maintained by a third party.

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: ONE DALLAS CENTER
350 N. ST. PAUL, SUITE 1300
DALLAS, TX 75201

Effective Date: 10/08/2020

Description: UPON OBTAINING THE NECESSARY REGULATORY APPROVAL, STIRLINGSHIRE INTENDS TO ESTABLISH A CLEARING RELATIONSHIP WITH APEX. BASED ON STIRLINGSHIRE'S CURRENT UNDERSTANDING OF THE SITUATION, APEX WOULD ACT AS A CLEARING BROKER FOR COUNTERPARTY, SUBJECT TO APEX OBTAINING ANY ADDITIONAL NECESSARY INTERNAL APPROVALS AND SUBJECT TO THE PARTIES BEING ABLE TO AGREE ON CONTRACTUAL TERMS.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: APEX CLEARING CORPORATION

CRD #: 13071

Business Address: ONE DALLAS CENTER
350 N. ST. PAUL, SUITE 1300
DALLAS, TX 75201

Firm Operations



Industry Arrangements (continued)

Effective Date: 10/08/2020

Description: UPON OBTAINING THE NECESSARY REGULATORY APPROVAL, STIRLINGSHIRE INTENDS TO ESTABLISH A CLEARING RELATIONSHIP WITH APEX. BASED ON STIRLINGSHIRE'S CURRENT UNDERSTANDING OF THE SITUATION, APEX WOULD ACT AS A CLEARING BROKER FOR COUNTERPARTY, SUBJECT TO APEX OBTAINING ANY ADDITIONAL NECESSARY INTERNAL APPROVALS AND SUBJECT TO THE PARTIES BEING ABLE TO AGREE ON CONTRACTUAL TERMS.

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.

STIRLINGSHIRE INVESTMENTS is under common control with the firm.

CRD #:	327779
Business Address:	15 W 38TH ST #704 NEW YORK CITY, NY 10018
Effective Date:	09/07/2023
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	SAME OWNERSHIP, STIRLINGSHIRE INVESTMENTS INC.

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

End of Report



This page is intentionally left blank.