

# TRACED CAPITAL

FINANCIAL SERVICES PLATFORM · REGISTERED WITH SEC & FINRA

## — CERTIFICATE OF REGISTRATION — Broker-Dealer Registration

Securities Exchange Act of 1934, Section 15 | FINRA Membership Agreement

This is to certify that **Traced Capital LLC** has duly complied with all requirements of the Securities Exchange Act of 1934, as amended, and has been admitted to FINRA membership. Traced Capital LLC is hereby authorized to engage in the purchase, sale, and solicitation of securities as a registered Broker-Dealer across all U.S. jurisdictions, subject to the conditions, rules, and regulations herein specified.

REGISTRATION NO.  
**BD-2024-47291**

ENTITY TYPE  
**Limited Liability Co.**

ISSUE DATE  
**March 3, 2024**

CRD NUMBER  
**CRD#: 298471**

JURISDICTION  
**All 50 States & Territories**

EXPIRY DATE  
**December 31, 2026**

NET CAPITAL REQ.  
**\$250,000 (Rule 15c3-1)**

CLEARING STATUS  
**Self-Clearing Approved**

ANNUAL REVIEW  
**Q1 2026**

### AUTHORIZED ACTIVITIES & REGULATORY CONDITIONS

- Execution and clearing of equity, fixed income, and derivative securities transactions
- Underwriting and distribution of public and private securities offerings via digital platform
- Maintenance of SIPC membership and compliance with customer protection rules (Rule 15c3-3)
- Submission of FOCUS reports, annual audits, and prompt notification of material changes

*Gary Gensler*

Chair, U.S. Securities & Exchange Commission

*Robert W. Cook*

President & CEO, FINRA

*Benjamin Holt*

Authorized Signatory, Traced Capital LLC