



IAPD Report

BROOKE ROBERT STODDARD

CRD# 5125873

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

BROOKE ROBERT STODDARD (CRD# 5125873)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GRAYSCALE ADVISORS	CRD# 314868	09/15/2023
B	GRAYSCALE SECURITIES, LLC	CRD# 305907	08/29/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	FORESIDE FUND SERVICES, LLC	46106	Stamford, CT	03/04/2024 - 08/29/2024
B	GRAYSCALE SECURITIES, LLC	305907	Stamford, CT	10/03/2022 - 03/01/2024
B	GENESIS GLOBAL TRADING, INC	136962	STAMFORD, CT	06/17/2019 - 10/03/2022

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **51** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **GRAYSCALE SECURITIES, LLC**
Main Address: 290 HARBOR DRIVE
4TH FLOOR
STAMFORD, CT 06902
Firm ID#: 305907

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/29/2024
B	FINRA	Securities Trader	Approved	08/29/2024
B	Alabama	Agent	Approved	08/29/2024
B	Alaska	Agent	Approved	08/29/2024
B	Arizona	Agent	Approved	08/29/2024
B	Arkansas	Agent	Approved	08/29/2024
B	California	Agent	Approved	08/29/2024
B	Colorado	Agent	Approved	08/29/2024
B	Connecticut	Agent	Approved	08/29/2024
B	Delaware	Agent	Approved	08/29/2024
B	District of Columbia	Agent	Approved	08/29/2024
B	Florida	Agent	Approved	08/29/2024
B	Georgia	Agent	Approved	08/29/2024



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	08/29/2024
B Idaho	Agent	Approved	08/29/2024
B Illinois	Agent	Approved	08/29/2024
B Indiana	Agent	Approved	08/29/2024
B Iowa	Agent	Approved	08/29/2024
B Kansas	Agent	Approved	08/29/2024
B Kentucky	Agent	Approved	08/29/2024
B Louisiana	Agent	Approved	08/29/2024
B Maine	Agent	Approved	08/29/2024
B Maryland	Agent	Approved	08/29/2024
B Massachusetts	Agent	Approved	08/29/2024
B Michigan	Agent	Approved	08/29/2024
B Minnesota	Agent	Approved	08/29/2024
B Mississippi	Agent	Approved	08/29/2024
B Missouri	Agent	Approved	08/29/2024
B Montana	Agent	Approved	08/29/2024
B Nebraska	Agent	Approved	08/29/2024
B Nevada	Agent	Approved	08/29/2024
B New Hampshire	Agent	Approved	08/29/2024



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	08/29/2024
B New Mexico	Agent	Approved	08/29/2024
B New York	Agent	Approved	08/29/2024
B North Carolina	Agent	Approved	09/03/2024
B North Dakota	Agent	Approved	08/29/2024
B Ohio	Agent	Approved	08/29/2024
B Oklahoma	Agent	Approved	08/29/2024
B Oregon	Agent	Approved	08/29/2024
B Pennsylvania	Agent	Approved	08/29/2024
B Rhode Island	Agent	Approved	08/29/2024
B South Carolina	Agent	Approved	08/29/2024
B South Dakota	Agent	Approved	08/29/2024
B Tennessee	Agent	Approved	08/29/2024
B Texas	Agent	Approved	08/29/2024
B Utah	Agent	Approved	08/29/2024
B Vermont	Agent	Approved	08/29/2024
B Virginia	Agent	Approved	08/29/2024
B Washington	Agent	Approved	08/29/2024
B West Virginia	Agent	Approved	08/29/2024



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	08/29/2024
B Wyoming	Agent	Approved	08/29/2024

Branch Office Locations

290 Harbor Drive
 4th Floor
 Stamford, CT 06902

New York, NY

Employment 2 of 2

Firm Name: **GRAYSCALE ADVISORS**
 Main Address: 290 HARBOR DRIVE
 4TH FLOOR
 STAMFORD, CT 06902
 Firm ID#: 314868

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	09/15/2023

Branch Office Locations

GRAYSCALE ADVISORS
 New York, NY



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.





Principal/Supervisory Exams

Exam	Category	Date
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No information reported.




General Industry/Product Exams

Exam	Category	Date
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 Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/10/2015
 National Commodity Futures Examination (S3)	Series 3	08/15/2015

State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	09/06/2023
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/18/2007

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/04/2024 - 08/29/2024	FORESIDE FUND SERVICES, LLC	CRD# 46106	Stamford, CT
B	10/03/2022 - 03/01/2024	GRAYSCALE SECURITIES, LLC	CRD# 305907	Stamford, CT
B	06/17/2019 - 10/03/2022	GENESIS GLOBAL TRADING, INC	CRD# 136962	STAMFORD, CT
B	10/12/2015 - 05/28/2019	GOLDMAN SACHS & CO. LLC	CRD# 361	NEW YORK, NY
B	02/28/2007 - 07/19/2012	GOLDMAN, SACHS & CO.	CRD# 361	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2025 - Present	Grayscale Operating, LLC	VP, Wealth Management Platforms & Due Diligence	Y	Stamford, CT, United States
08/2024 - Present	Grayscale Securities, LLC	Registered Representative	Y	Stamford, CT, United States
09/2023 - Present	Grayscale Advisors, LLC	Investment Advisor Representative	Y	Stamford, CT, United States
05/2019 - 12/2024	GRAYSCALE INVESTMENTS, LLC	VP, Distribution & Partnerships	Y	STAMFORD, CT, United States
03/2024 - 08/2024	Foreside Fund Services, LLC	Registered Representative	Y	Stamford, CT, United States
09/2023 - 03/2024	Grayscale Advisors, LLC	VP, Distribution & Partnerships	Y	Stamford, CT, United States
11/2021 - 03/2024	GRAYSCALE SECURITIES, LLC	Registered Representative	Y	NEW YORK, NY, United States
05/2019 - 10/2022	GENESIS GLOBAL TRADING, INC	REGISTERED REPRESENTATIVE	Y	STAMFORD, CT, United States
07/2015 - 04/2019	GOLDMAN SACHS	ASSOCIATE - INVESTMENT MANAGEMENT	Y	NEW YORK CITY, NY, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. Grayscale Operating, LLC (Parent Company to the Firm and Grayscale Advisors, LLC); Investment Related; Stamford, CT; Began 05/2019; Sales Distribution; VP, Wealth Management Platforms & Due Diligence; 160 Hours/Month.
2. Generation Lyme; non-investment related; New York, NY; Began 09/24/2017; Director, Board Member, Officer, Co-Founder; hours per month with zero hours during securities trading hours.
3. University Press Club; Non-investment Related; Princeton, NJ; Began 09/01/2015; Princeton University Student Club; Board Member; 1 hour per month with zero hour during securities trading hours.



End of Report

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