BrokerCheck Report

Optima Asset .LLC

CRD# 299826

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Date	Description of Changes
05/10/2019	Updated sections 3.1 and 4.5 for compliance.

About FirmCheck ®

Firm Check provides comprehensive information on all current, as well as many former, registered securities firms.

What is included in a FirmCheck report?
FirmCheck reports for financial firms include detailed information such as:

- The firm's profile, operational history, and business activities.
- Disciplinary actions, regulatory sanctions, or investigations involving the firm.
- Civil judgments, arbitration awards, or criminal convictions related to the firm.
- Registration and licensing status with relevant regulatory authorities.

Please note that the information contained in a FirmCheck report may include pending actions or allegations that are contested, unresolved, or unproven. Such matters may ultimately be resolved in favor of the firm or concluded through a negotiated settlement without any admission or finding of wrongdoing.

Where does this information come from?
The information provided in FirmCheck is sourced from FINRA's Central Registration Depository (CRD®) and comprises:

Data submitted by financial firms as part of the registration and licensing process with FINRA and/or the Securities and Exchange Commission (SEC).

Information reported by regulators regarding disciplinary actions or allegations against firms.

How current is this information?
Active financial firms are generally required to update their professional and disciplinary information in the CRD system within six months. In most cases, information reported by firms and regulators is available in FirmCheck by the next business day.

Optima Asset LLC

CRD# 299826

SEC# 801-115262

Main Office Location:

10 EAST 53RD STREET, NEW YORK, NY 10022

Mailing Address:

10 EAST 53RD STREET, NEW YORK, NY 10022

Business e-mail:

support@optima-asset.us
support@optima-asset.io

Services:

- Stock Trading Services.
- Indices Trading Services
- Commodities Trading Services
- Cryptocurrency Trading Services.
- Forex Trading Services.
- Bonds Trading Services
- General Financial Services.
- Leveraging services.
- Educational Resources and Training.
- Market Research And Analysis.
- Financlal Advisory

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 New York on 5/10/2019.

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

Firm Operations

This firm is registered with:

- the SEC
- 6 Self-Regulatory Organizations
- 50 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? No

This firm conducts 9 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**

The following types of disclosures have been reported:

Cases	**0**

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 5/10/2019.

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.

OPTIMA ASSET LLC

Doing business as OPTIMA ASSET .LLC

CRD# 299826

SEC# 801-115262

Main Office Location

10 EAST 53RD STREET, NEW YORK, NY 10022

Regulated by FINRA New York Office

Mailing Address

10 EAST 53RD STREET, NEW YORK, NY 10022

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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:	Keith M. Bloomfield (US).
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position:	FOUNDER/ MANAGING
Position Start Date:	MEMBER 5/10/2019
Percentage of Ownership:	66% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Legal Name:	Geoffrey M. Lewis (US).
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position:	CHIEF FINANCIAL OFFICER
Position Start Date:	MEMBER 5/10/2019
Percentage of Ownership:	33% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

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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, 6 SROs and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/09/2019

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	05/10/2019
Cboe EDGX Exchange, Inc.	Approved	06/10/2019
NYSE American LLC	Approved	11/10/2019
NYSE Arca, Inc.	Approved	09/10/2019
Nasdaq Stock Market	Approved	10/10/2019
New York Stock Exchange	Approved	06/10/2019

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Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	02/10/2019
Alaska	Approved	01/102019
Arizona	Approved	01/10/2019
Arkansas	Approved	02/10/2019
California	Approved	01/10/2019
Colorado	Approved	02/10/2019
Connecticut	Approved	01/10/2019
Delaware	Approved	02/10/2019
District of Columbia	Approved	02/10/2019
Florida	Approved	04/10/2019
Georgia	Approved	01/10/2019
Hawaii	Approved	01/10/2019
Idaho	Approved	01/10/2019
Illinois	Approved	02/10/2019
Indiana	Approved	02/10/2019
Iowa	Approved	01/10/2019
Kansas	Approved	02/10/2019
Kentucky	Approved	01/10/2019
Louisiana	Approved	01/10/2019
Maine	Approved	02/10/2019
Maryland	Approved	01/10/2019
Massachusetts	Approved	01/10/2019
Michigan	Approved	02/10/2019
Minnesota	Approved	02/10/2019
Mississippi	Approved	01/10/2019
Missouri	Approved	02/10/2019
Montana	Approved	01/10/2019
Nebraska	Approved	02/10/2019
Nevada	Approved	01/10/2019
New Hampshire	Approved	02/10/2019
New Jersey	Approved	02/10/2019
New Mexico	Approved	02/10/2019
New York	Approved	01/10/2019

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	01/10/2019
North Dakota	Approved	02/10/2019
Ohio	Approved	01/10/2019
Oklahoma	Approved	01/10/2019
Oregon	Approved	02/10/2019
Pennsylvania	Approved	01/10/2019
Puerto Rico	Approved	02/10/2019
Rhode Island	Approved	01/10/2019
South Carolina	Approved	01/10/2019
South Dakota	Approved	01/10/2019
Tennessee	Approved	01/10/2019
Texas	Approved	02/10/2019
Utah	Approved	01/10/2019
Vermont	Approved	02/10/2019
Virgin Islands	Approved	01/10/2019
Virginia	Approved	01/10/2019
Washington	Approved	01/10/2019
West Virginia	Approved	02/102019
Wisconsin	Approved	02/10/2019
Wyoming	Approved	01/10/2019

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Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

Business Address:	10 EAST 53RD STREET, NEW YORK, NY 10022
Effective Date:	5/10/2019
Foreign Entity:	Yes
Country:	USA (Main Firm)
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	OPTIMA SECURITIES B.V.IS A WHOLLY OWNED AFFILIATE OF OPTIMA HOLDING B.V. WHICH IS A WHOLLY OWNED SUBSIDIARY OF OPTIMA CORPORATION THE ULTIMATE PARENT COMPANY OF OPTIMA ASSET LLC (USA).

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Business Address:	INAMURA BLDG. 6TH FLOOR 3-5-2 NIHONBASHI KAYABACHO CHUO-KU TOKYO, JAPAN
Effective Date:	08/10/2019
Foreign Entity:	Yes
Country:	JAPAN
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	OPTIMA SECURITIES LIMITED IS A WHOLLY-OWNED SUBSIDIARY OF OPTIMA LIMITED, A HOLDING COMPANY THAT OPERATES UNDER THE OWNERSHIP OF OPTIMA CORPORATION, THE ULTIMATE PARENT COMPANY OF OPTIMA FINANCIAL LLC (USA).

OPTIMA SECURITIES (UK) LTD is under common control with the firm.

Business Address:	253 FINCHLEY ROAD LONDON, UNITED KINGDOM NZ3 6BP
Effective Date:	02/15/2019
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	OPTIMA SECURITIES LIMITED IS A WHOLLY-OWNED SUBSIDIARY OF OPTIMA LIMITED, A HOLDING COMPANY THAT OPERATES UNDER THE OWNERSHIP OF OPTIMA CORPORATION, THE ULTIMATE PARENT COMPANY OF OPTIMA FINANCIAL LLC (USA).

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Organization Affiliates (continued)

OPTIMA SECURITIES (CANADA) LIMITED is under common control with the firm.

Business Address:	134-100 KING STREET WEST 2 FIRST CANADIAN PLACE, 3400 TORONTO, CANADA
Effective Date:	03/17/2019
Foreign Entity:	Yes
Country:	CANADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	OPTIMA SECURITIES LIMITED IS A WHOLLY-OWNED SUBSIDIARY OF OPTIMA LIMITED, A HOLDING COMPANY THAT OPERATES UNDER THE OWNERSHIP OF OPTIMA CORPORATION, THE ULTIMATE PARENT COMPANY OF OPTIMA FINANCIAL LLC (USA).

OPTIMA SECURITIES (SINGAPORE) PTE, LTD is under common control with the firm.

Business Address:	182 CECIL STREET UNIT #31-02 FRASERS TOWER SINGAPORE, SINGAPORE
Effective Date:	05/25/2019
Foreign Entity:	No
Country:	SINGAPORE
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	OPTIMA SECURITIES LIMITED IS A WHOLLY-OWNED SUBSIDIARY OF OPTIMA LIMITED, A HOLDING COMPANY THAT OPERATES UNDER THE OWNERSHIP OF OPTIMA CORPORATION, THE ULTIMATE PARENT COMPANY OF OPTIMA FINANCIAL LLC (USA).

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Organization Affiliates (continued)

Effective Date:	02/21/2019
Foreign Entity:	No
Country:	USA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	OPTIMA SECURITIES LIMITED IS A WHOLLY-OWNED SUBSIDIARY OF OPTIMA LIMITED, A HOLDING COMPANY THAT OPERATES UNDER THE OWNERSHIP OF OPTIMA CORPORATION, THE ULTIMATE PARENT COMPANY OF OPTIMA FINANCIAL LLC (USA).

OPTIMA ADVISORS LLC is under common control with the firm.

CRD #:	304881
Business Address:	58 Wall St, New York, NY 10005, USA

Effective Date:	09/27/2019
Foreign Entity: Country:	No
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	OPTIMA SECURITIES LIMITED IS A WHOLLY-OWNED SUBSIDIARY OF OPTIMA LIMITED, A HOLDING COMPANY THAT OPERATES UNDER THE OWNERSHIP OF OPTIMA CORPORATION, THE ULTIMATE PARENT COMPANY OF OPTIMA FINANCIAL LLC (USA).

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Organization Affiliates (continued)

Investment Advisory Activities:	Yes
Description:	OPTIMA SECURITIES LIMITED IS A WHOLLY-OWNED SUBSIDIARY OF OPTIMA LIMITED, A HOLDING COMPANY THAT OPERATES UNDER THE OWNERSHIP OF OPTIMA CORPORATION, THE ULTIMATE PARENT COMPANY OF OPTIMA FINANCIAL LLC (USA).

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.

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End of Report

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