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COWEN AND COMPANY [Show All 10](#)

COWEN & CO., LLC, TD COWEN PRIME EXECUTION SERVICES, TD COWEN, COWENMARKET, SOGEN SECURITIES CORPORATION, SOCIETE GENERALE SECURITIES CORPORATION...

CRD#: 7616/SEC#: 8-22522

B **Brokerage Firm**
*Regulated by **FINRA**
(New York district office)*

MAIN ADDRESS

599 LEXINGTON AVENUE
20TH FLOOR
NEW YORK, NY 10022
UNITED STATES

[Relationship Summary](#)

47
Disclosures

Approved
03/17/1978
SEC Registration Status

Limited Liability Company
Company Type

SEC
18 Self-Regulatory Orgs
53 U.S. States & Territories

Disclosures

Close

47 Total Disclosures

Regulatory Event		39
Arbitration		8

For details of these disclosures as well as disclosures involving non-registered affiliated entities refer to the [Report](#). For disclosures involving registered affiliated entities visit the BrokerCheck page for those firms.

General Information

Close



Main Office Location	599 LEXINGTON AVENUE 20TH FLOOR NEW YORK, NY 10022 UNITED STATES
Mailing Address	599 LEXINGTON AVENUE 20TH FLOOR NEW YORK, NY 10022 UNITED STATES
Phone	409-206-2986
Established in	Delaware since 01/15/2004
Type	Limited Liability Company
Fiscal Year End	December

Direct Owners and Executive Officers

COWEN HOLDINGS, INC.
DIRECT PARENT

CHARNEY, DANIEL S. (CRD#:2158255)
CO-PRESIDENT

COHEN, STEVEN ANDREW (CRD#:2218249)
CHIEF COMPLIANCE OFFICER

FAGIN, ROBERT BENJAMIN (CRD#:2793090)
DIRECTOR OF RESEARCH

HOLMES, JOHN (CRD#:1281617)
CHIEF OPERATING OFFICER AND PRINCIPAL OPERATIONS OFFICER

NIZICH, MATTHEW JOHN (CRD#:2119564)
REGISTERED OPTIONS PRINCIPAL

POTENCIANO, JOEL KASUNURAN (CRD#:5827311)
PRINCIPAL FINANCIAL OFFICER AND FINOP

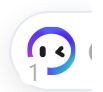
SOLOMON, JEFFREY MARC (CRD#:2133254)
CHIEF EXECUTIVE OFFICER

WIESENECK, LARRY SCOTT (CRD#:2277006)
CO-PRESIDENT

Licenses

Close

53 U.S. States and Territories



B Alabama

B Nebraska

B Alaska

B Nevada

B Arizona

B New Hampshire

B Arkansas

B New Jersey

B California

B New Mexico

B Colorado

B New York

B Connecticut

B North Carolina

B Delaware

B North Dakota

B District of Columbia

B Ohio

B Florida

B Oklahoma

B Georgia

B Oregon

B Hawaii

B Pennsylvania

B Idaho

B Puerto Rico

B Illinois

B Rhode Island

B Indiana

B South Carolina

B Iowa

B South Dakota

B Kansas

B Tennessee

B Kentucky

B Texas

B Louisiana

B Utah

B Maine

B Vermont



B Maryland

B Virgin Islands

B Massachusetts

B Virginia

B Michigan

B Washington

B Minnesota

B West Virginia

B Mississippi

B Wisconsin

B Missouri

B Wyoming

B Montana

Other Registrations

Federal

- SEC
-

Self-Regulatory Organizations

- FINRA
- And 17 others. See [Report](#).

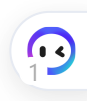
This firm conducts 15 types of business

This firm is affiliated with financial and investment institutions

This firm does have referral or financial arrangements with other brokers or dealers

Additional Information

The content of this summary, and the available detailed report, is governed by FINRA Rule 8312, and is primarily based on information filed on [uniform registration forms](#). Rule 8312, amendments to the rule and notices related to U.S. Securities and Exchange Commission approval orders, can be viewed [here](#).



State regulators are governed by their public records laws (not FINRA Rule 8312), and may provide information not in BrokerCheck, including information no longer required to be reported or updated on uniform registration forms due, for example, to its age or final disposition. You may [contact your state regulator](#) to request this additional information.

Click [here](#) for more information about how to check on an investment professional.

B Broker

A brokerage firm, also called a broker-dealer, is in the business of buying and selling securities – stocks, bonds, mutual funds, and certain other investment products – on behalf of its customer (as broker), for its own bank (dealer), or both.

Individuals who work for broker-dealers - the sales personnel are commonly referred to as brokers.

IA Investment Adviser

An investment adviser is paid for providing advice about securities to clients. In addition, some investment advisers manage investment portfolios and offer financial planning services.

It is common for a financial professional to act as both a broker and an investment adviser.

Because of this, we include investment advisers on BrokerCheck, and provide links to the [SEC's Investment Adviser Public Disclosure \(IAPD\) website](#) so you can research further.

Previously Registered

A Previously Registered broker or brokerage firm is not currently licensed to act as a broker (buying and selling securities on behalf of customers) or as an investment adviser (providing advice about securities to clients). They may still be able to offer other investment-related services if properly licensed to do so. Click [here](#) to learn more.

Disclosures

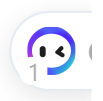
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