



## **Bancroft Capital, LLC**

**Certifications:** SDVOSB (Vet Biz), NY State, Disability:IN, NaVOBA, NVBDC, VIB Network, SAM, and Elite SDVOB

### Company Overview:

Bancroft Capital, LLC a certified Service-Disabled Veteran-Owned Small Business (SDVOSB), operating an Institutional Broker-Dealer and Investment Advisor. Bancroft is founded upon a commitment to service – service to their clients, service to their country, service to the veterans and first responders who have sacrificed on our nation’s behalf. Founded 7/4/2017.

### Services:

- **Underwriting**
  - Equity IPO/SPO
  - Corporate Debt
  - Government Agency
  - Public Finance
  - Mortgages/Structured Product
- **Trading & Execution**
  - Equity Sales and Trading
    - Corporate Share Repurchase
    - Agency Trading
  - Fixed Income Sales and Trading
    - Corporate Debt
    - Agency Debt
    - Municipal Debt
    - Mortgage Debt
- **Advisory Services**
  - Cash Management
  - 401k Retirement Planning

### Company Information:

**DUNS# 081180632**

**EIN# 82-2071986**

**CAGE: 85U11**

### Key Personnel:

Cauldon Quinn, Founder & CEO  
Colleen Lindh, CCO  
Steve Ivcic, Managing Director, Fixed Income  
Bill Mingione, Managing Director, Supplier Diversity  
Ray Hally, Director, Equities  
Michael Ivcic, Director, Municipals  
Michael J. Spatacco, Director, Cash Management  
Michael S. Spatacco, SVP, Institutional Sales  
James Nolen, SVP, Institutional Sales  
Bernard Ward, SVP, Institutional Sales  
Kathleen Baltra, VP, Institutional Sales/Trading  
Susan Gress, SVP, Trading/Operations

### Company Designations:

#### NAICS Codes:

**522110** – Commercial Banking  
**523110** – Investment Banking & Securities  
**523120** – Securities Brokerage  
**523920** – Portfolio Management  
**523930** – Investment Advice  
**523999** – Miscellaneous Financial Investments  
**921130** – Public Finance Activities

#### SIC Codes:

**6200** – Security & Commodity Brokers, Dealers, Exchanges & Services  
**6211** – Security Brokers, Dealers, and Flotation Companies

#### NIGP Codes:

**94600** – Financial Services

### Public Sector Client List:

City of New York  
Connecticut Housing Finance Authority  
Freddie Mac (FHLMC)  
Metropolitan Transportation Authority  
New York City Municipal Water Authority  
Pennsylvania Housing Finance Authority  
Pennsylvania Turnpike Commission  
PA State Employee Retirement System

### Private Sector Client List:

BNY Mellon	Goldman Sachs
Boenning & Scattergood	JP Morgan Chase
Care First	Morgan Stanley
Citigroup	Neuberger Berman
Comcast	Penn Mutual
Credit Suisse	State Street
Glenmeade	T. Rowe Price