

BrokerCheck Report

CRAIG WARREN MILLIKIN

CRD# 2353801

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

CRAIG W. MILLIKIN

CRD# 2353801

Currently employed by and registered with the following Firm(s):

- B EQUUS FINANCIAL CONSULTING LLC**
78 PINE ST., SUITE 101
NEW CANAAN, CT 06840
CRD# 131449
Registered with this firm since: 09/01/2021

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 1 Self-Regulatory Organization
- 6 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):**

- B GREAT POINT CAPITAL LLC**
CRD# 114203
CHICAGO, IL
01/2020 - 09/2021
- IA WAVEFRONT CAPITAL**
CRD# 168746
SAN FRANCISCO, CA
04/2014 - 10/2017
- IA CENTURY MANAGEMENT**
CRD# 112308
AUSTIN, TX
12/2010 - 07/2013

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 6 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **EQUUS FINANCIAL CONSULTING LLC**

Main Office Address: **78 PINE ST., SUITE 101
NEW CANAAN, CT 06840**

Firm CRD#: **131449**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	09/01/2021

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	09/01/2021
B Connecticut	Agent	Approved	09/01/2021
B Michigan	Agent	Approved	08/02/2022
B New York	Agent	Approved	09/01/2021
B Ohio	Agent	Approved	08/03/2022
B Texas	Agent	Approved	09/01/2021

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/21/2020
B Securities Industry Essentials Examination	SIE	01/10/2020
B General Securities Representative Examination	Series 7	07/28/1993
B Municipal Securities Representative Examination	Series 52	07/01/1993

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/10/2020

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2020 - 09/2021	GREAT POINT CAPITAL LLC	114203	CHICAGO, IL
IA 04/2014 - 10/2017	WAVEFRONT CAPITAL	168746	SAN FRANCISCO, CA
IA 12/2010 - 07/2013	CENTURY MANAGEMENT	112308	AUSTIN, TX
B 10/2001 - 05/2005	UBS SECURITIES LLC	7654	NEW YORK, NY
B 02/1996 - 08/1996	FIRSTENERGY CAPITAL (USA) CORP.	37665	CALGARY, AB, CANADA
B 01/1994 - 04/1994	TITUS AND DONNELLY, INC.	7033	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2021 - Present	Equus Financial Consulting LLC	Registered Representative	Y	New Canaan, CT, United States
01/2020 - Present	C2 Group	Co-Founder	Y	Austin, TX, United States
01/2020 - 08/2021	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
02/2016 - 12/2019	Stride Capital	Managing Director	Y	Stamford, CT, United States
05/2013 - 12/2016	WAVEFRONT CAPITAL MANAGEMENT, LLC	PRINCIPAL	Y	SAN FRANCISCO, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

Craig Millikin, 1703 Schulle Ave., Austin, TX 78703, Investor, real estate lending, 01/01/2013 (re-engaged 10/2022) 1hr/mo., 1hrs during trading

Registration and Employment History



Other Business Activities, continued

hrs., investment related, receive compensation.

End of Report



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