

# CastleOak Securities Relocates Headquarters, Adds Senior Leaders, and Launches New Website

*Boutique investment bank moves into the World Financial Center, and starts 2021 with additional talent*

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/EINPresswire.com/ -- CastleOak Securities, L.P., a leading New York-based boutique investment banking firm, announced today that they have relocated their corporate headquarters to the American Express tower at the World Financial Center in

downtown New York City. The new office space was designed and built specifically for the broker dealer. The airy, light filled office was designed to be flexible as the company continues to hire.



"Although last year presented a unique set of challenges for everyone, we spent a lot of the year planning so that we could hit the ground running in 2021 as a fully independent firm." said David R. Jones, President and CEO of CastleOak Securities. "We can't wait to welcome clients and friends into our new space to show off our team and capabilities."

Continuing the tradition of adding experienced hires with a track record of success, the firm has recently hired three senior level employees:

- James Guardino, Managing Director, Investment Banking. Mr. Guardino joined the firm as a senior banker with 20 years of debt capital markets and banking experience. James spent the majority of his career advising North American corporate clients on raising capital in the global debt markets.
- Frank Rice, Managing Director, Head of Fixed Income Sales. Mr. Rice has been brought on to significantly expand the breadth and depth of the fixed income sales platform and has already begun looking for senior level talent to bring on board. Mr. Rice was most recently head of Short Duration Sales at Deutsche Bank, where he spent the bulk of 30-year career. He has deep experience in funding and liability management, short duration sales, investor relationship management and fixed income operations.
- Nisti Shah, Managing Director, Chief of Staff to the CEO. Ms. Shah works across the management team to create and execute the firm's strategic and operational plans, in support of

the President and CEO. Ms. Shah brings over 20 years of experience in financial services across a number of producing and operational roles.

Rice and Shah are also additions to the firm's management team.

"The entrepreneurial and highly collaborative environment at CastleOak is allowing me to broaden my skill set, while contributing to the firm's business and social mission." said Guardino. Rice added "I am excited to join such a talented group of professionals who are motivated to grow and expand our footprint in all fixed income markets by fostering meaningful business relationships."

"We were fortunate to hire some exceptional talent in the midst of a global pandemic to help bolster our capabilities in different areas." Jones remarked. "James, Frank and Kisti have already had an impact by winning new business and bringing fresh, new ideas to the table. One of my goals for 2021 is to continue to add seasoned veterans who can expand our current footprint."

As part of her first 90 days, Shah has been focused on building a "CastleOak 2.0" marketing toolbox. This week's release of the firm's upgraded website is the first of a multi-faceted approach to raise the external profile of the firm. The website highlights recent deals and product areas, along with the firm's commitment to giving back and career opportunities. The more modern aesthetic ties in with the new office space and look and feel of its soon-to-be-released streamlined marketing collateral.

"Once issuers meet our team and truly understand the experience and professionalism we bring to the table, they are both surprised and impressed." noted Shah. "One of my earliest goals since joining is to make sure our public facing materials showcase the exceptional breadth and depth of our capabilities and execution prowess. It's an easy story to tell!"

CastleOak plans on continuing to grow their business and build their market share this year, and feels the firm is well positioned to expand their client base and product offering.

#### About CastleOak Securities

CastleOak Securities, L.P. is a minority-owned, boutique investment bank serving a broad array of corporate, governmental and institutional investor clients. Headquartered in New York City, with five regional offices, CastleOak specializes in financial advisory, capital markets, equities and fixed income sales and trading.

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