

BrokerCheck Report

CAPITAL CATALYST, INC.

CRD# 163348

SEC#: 802-76963

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 5
Firm History	6
Firm Operations	7 - 13
Disclosure Events	14

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:
 - o 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
 - o 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)



CAPITAL CATALYST, INC

CRD# 163348

SEC# 802-76963

Main Office Location

33 CAVENDISH SQUARE
LONDON, W1G 0PW

Mailing Address

33 CAVENDISH SQUARE
LONDON, W1G 0PW

Business Telephone Number

646 979 1650

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 corporation.
This firm was formed in Illinois on 05/13/1994.
Its fiscal year ends in December.

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 detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 12 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 11 types of businesses.

This firm is not affiliated with any 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



Firm Profile

This firm is classified as a corporation.

This firm was formed in Illinois on 05/13/1994.

Its fiscal year ends in December.

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.

CAPITAL CATALYST, INC

Doing business as CAPITAL CATALYST, INC

CRD# 163348

SEC# 802-76963

Main Office Location

33 CAVENDISH SQUARE
LONDON, W1G 0PW

Regulated by FINRA Chicago Office

Mailing Address

33 CAVENDISH SQUARE
LONDON, W1G 0PW

Business Telephone Number

+1 (646) 979-1650



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 & CRD# (if any): Julian Newiss
2515094

Is this a domestic or foreign entity or an individual? Individual

Position Chairman

Position Start Date 10/1994

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): Jonathan Petit
2515092

Is this a domestic or foreign entity or an individual? Individual

Position Managing Partner

Position Start Date 10/1994

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): Fabrice de Clermont-Tonnerre
1192160

Is this a domestic or foreign entity or an individual? Individual

Position Partner

Position Start Date 10/1994

Firm Profile



Direct Owners and Executive Officers (continued)

Position Start Date	10/1994
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	Kean Hird 2515095
--	----------------------

Is this a domestic or foreign entity or an individual?	Individual
---	------------

Position	Partner
-----------------	---------

Position Start Date	10/1994
----------------------------	---------

Percentage of Ownership	25% but less than 50%
--------------------------------	-----------------------

Does this owner direct the management or policies of the firm?	No
---	----

Is this a public reporting company?	No
--	----

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

No information reported.



Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

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, 1 SRO and 12 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	10/17/1994

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	10/17/1994

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	06/23/1998
Arkansas	Limited	01/30/1996
Colorado	Approved	06/25/1997
Florida	Approved	07/25/1996
Georgia	Approved	01/04/1999
Illinois	Approved	10/18/1994
Indiana	Approved	05/03/1995
Iowa	Approved	01/02/1996
Kansas	Approved	05/14/1996
Missouri	Approved	11/04/1994
Ohio	Approved	01/18/1996
Washington	Approved	06/11/1998



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 11 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Broker or dealer selling interests in mortgages or other receivables

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	CAPITAL CATALYST LLP
CRD #:	31194
Business Address:	33 CAVENDISH SQUARE LONDON, W1G 0PW
Effective Date:	01/25/1995
Description:	THE COMPANY WILL BE A \$5000.00 BROKER/DEALER OPERATING ON A FULLY DISCLOSED BASIS. ALL COMPANY BUSINESS IN STOCKS BONDS AND MUTUAL FUNDS WILL BE INTRODUCED TO THE CLEARING FIRM.



Firm Operations

Industry Arrangements

This firm does have books or records maintained by a third party.

Name: CAPITAL CATALYST, INC
CRD #: 31194
Business Address: 33 CAVENDISH SQUARE
LONDON, W1G 0PW
Effective Date: 01/25/1995
Description: THE COMPANY WILL BE A \$5000.00 BROKER/DEALER OPERATING ON A FULLY DISCLOSED BASIS. OUR CLEARING FIRM WILL PROVIDE THE COMPANIES CLIENTS WITH STATEMENTS AND CONFIRMS.

This firm does have accounts, funds, or securities maintained by a third party.

Name: CAPITAL CATALYST, INC
CRD #: 31194
Business Address: 33 CAVENDISH SQUARE
LONDON, W1G 0PW
Effective Date: 01/25/1995
Description: THE COMPANY WILL BE A \$5000.00 BROKER/DEALER OPERATING ON A FULLY DISCLOSED BASIS. RPRCC/DAIN RAUSCHER WILL HOLD THE COMPANIES ACCOUNTS, FUNDS, OR SECURITIES FOR THE COMPANY.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: CAPITAL CATALYST, INC
CRD #: 31194
Business Address: 33 CAVENDISH SQUARE
LONDON, W1G 0PW
Effective Date: 01/25/1995
Description: THE COMPANY WILL BE A \$5000.00 BROKER/DEALER OPERATING ON A FULLY DISCLOSED BASIS. ALL ACCOUNTS, FUNDS, AND SECURITIES WILL BE HELD FOR THE COMPANIES CLIENTS BY OUR CLEARING FIRM, RPR CORRESPONDENT CLEARING SERVICES.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations



Organization Affiliates

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

This firm is not, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

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



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - § An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - § A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Current Status: Final

Allegations: UNETHICAL PRACTICE; COMMISSION SPLITTING



Allegations: UNETHICAL PRACTICE; COMMISSION SPLITTING

Initiated By: MISSOURI SECRETARY OF STATE-SECURITIES DIVISION.

Date Initiated: 04/20/1998

Docket/Case Number: AO-98-09

URL for Regulatory Action:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Stipulation and Consent

Resolution Date: 04/20/1998

Sanctions Ordered: Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING A VIOLATION OF ANY PROVISION OF THE MISSOURI SECURITIES LAWS, CARDINAL INVESTMENTS, INC. ENTERED INTO A CONSENT ORDER WITH THE MISSOURI COMMISSIONER OF SECURITIES, AND PAID \$7,500 TO THE SECRETARY OF STATE'S INVESTOR EDUCATION FUND.

Regulator Statement A REGISTERED AGENT OF CARDINAL INVESTMENTS, INC. SOLICITED FOR SECURITIES CLIENTS BY USING ADVERTISING THAT WAS NOT PRE-APPROVED BY CARDINAL'S COMPLIANCE DEPARTMENT, AND THAT SAME AGENT LATER SHARED OR SPLIT COMMISSIONS WITH AN AGENT OF ANOTHER BROKER-DEALER.

Reporting Source: Firm

Current Status: Final

Allegations: THE FIRM FAILED TO SUPERVISE A REPRESENTATIVE WHO MAILED A DIRECT MAIL ADVERTISEMENT FOR A SEMINAR. THE ADVERTISEMENT WAS EXPRESSLY NOT APPROVED BY A PRINCIPAL, REP. AGREED NOT TO USE MATERIALS, BUT THEN DID ANYWAY. THE REPRESENTATIVE ALSO SPLIT COMMISSIONS WITH A BROKER WHO WAS REGISTERED WITH ANOTHER FIRM (WALNUT STREET SECURITIES). THE REP. REPRESENTED TO THE FIRM THAT HE HAD NEVER SPLIT COMMISSIONS WITH ANY BROKER. ALL COMMISSIONS WERE PAID TO THE OTHER FIRM AND



THE FIRM FAILED TO SUPERVISE A REPRESENTATIVE WHO MAILED A DIRECT MAIL ADVERTISEMENT FOR A SEMINAR. THE ADVERTISEMENT WAS EXPRESSLY NOT APPROVED BY A PRINCIPAL, REP. AGREED NOT TO USE MATERIALS, BUT THEN DID ANYWAY. THE REPRESENTATIVE ALSO SPLIT COMMISSIONS WITH A BROKER WHO WAS REGISTERED WITH ANOTHER FIRM (WALNUT STREET SECURITIES). THE REP. REPRESENTED TO THE FIRM IN WRITING THAT HE HAD NEVER SPLIT COMMISSIONS WITH ANY BROKER. ALL COMMISSIONS WERE PAID TO THE OTHER FIRM AND THEN TO OUR REPRESENTATIVE BY THE BROKER WITH THAT SAME FIRM. CARDINAL RECEIVED NO COMPENSATION IN ANY FORM FROM THIS BROKERS ACTIVITIES. BROKER COVERTLY HID AND DENIED HIS ACTIONS FROM CARDINAL IN WRITING ON COMPLIANCE QUESTIONAIRE. NO MONETARY DAMAGES, OR CUSTOMER COMPLAINTS INVOLVED.

Initiated By: STATE OF MISSOURI

Date Initiated: 10/02/1998

Docket/Case Number: NONE

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: CONSENT ORDER

Resolution: Consent

Resolution Date: 04/20/1998

Sanctions Ordered: Monetary/Fine \$7,500.00

Other Sanctions Ordered: NONE

Sanction Details: THE COMPANY ENTERED INTO A CONSENT ORDER WITH THE STATE OF MISSOURI, ORDER NO. AO-98-09 WHEREBY COMPANY AGREED TO CONTRIBUTE \$9000.00 TO THE MISSOURI INVESTORS EDUCATION FUND. THE STATUS OF THE EVENT IS CONCLUDED AS OF 04/20/1998.

End of Report



This page is intentionally left blank.