

BrokerCheck Report

FORESIDE PLAZA DISTRIBUTORS, LLC

CRD# 103739

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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.

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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)

**FORESIDE PLAZA DISTRIBUTORS,
LLC**

CRD# 103739

SEC# 8-52231

Main Office LocationTHREE CANAL PLAZA
3RD FLOOR
PORTLAND, ME 04101**Mailing Address**THREE CANAL PLAZA
SUITE 100
PORTLAND, ME 04101**Business Telephone Number**

207-553-7110

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 limited liability company.

This firm was formed in Delaware on 05/15/2009.

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 brokerage firm is no longer registered with FINRA or a national securities exchange.

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? **No**

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 12/21/2009

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 05/15/2009.

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.

FORESIDE PLAZA DISTRIBUTORS, LLC

Doing business as FORESIDE PLAZA DISTRIBUTORS, LLC

CRD# 103739

SEC# 8-52231

Main Office Location

THREE CANAL PLAZA
3RD FLOOR
PORTLAND, ME 04101

Mailing Address

THREE CANAL PLAZA
SUITE 100
PORTLAND, ME 04101

Business Telephone Number

207-553-7110



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):	FORESIDE DISTRIBUTORS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	04/2009
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BERTHY, RICHARD JOHN MR. 1341368
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT/TREASURER
Position Start Date	04/2009
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CHERN, NANETTE KING 1718029
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	04/2009



Firm Profile

Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): FAIRBANKS, MARK ALAN
1847318

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

Position DEPUTY CHIEF COMPLIANCE OFFICER

Position Start Date 04/2009

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): HOOPES, JENNIFER ELLEN
5462575

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

Position SECRETARY

Position Start Date 04/2009

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): PIKE, JAMES EDWARD

Firm Profile**Direct Owners and Executive Officers (continued)**

	2826659
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	04/2009
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	REDMAN, MARK STEVEN 869992
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT/DIRECTOR
Position Start Date	04/2009
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	BERTHY, RICHARD JOHN MR. 1341368
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	RJB, LLC
Relationship to Direct Owner	OWNER
Relationship Established	05/2002
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	FORESIDE FINANCIAL GROUP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FORESIDE DISTRIBUTORS, LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	04/2009
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	RJB, LLC
Is this a domestic or foreign	Domestic Entity

Firm Profile



Indirect Owners (continued) entity or an individual?

Company through which indirect ownership is established	FORESIDE FINANCIAL GROUP, LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/2006
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No



Firm History

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

This firm was previously: AFBA FIVE STAR SECURITIES COMPANY

Date of Succession: 05/15/2009

Predecessor CRD#: 103739

Predecessor SEC#: 8-52231

Description EFFECTIVE MAY 15, 2009, THE APPLICANT CONVERTED ITS FORM OF BUSINESS ORGANIZATION FROM A VIRGINIA CORPORATION TO A DELAWARE LIMITED LIABILITY COMPANY. IN ADDITION TO A CHANGE IN OWNERSHIP AND CONTROL, THE SUCCESSOR HAS ASSUMED ALL ASSETS AND LIABILITIES OF THE PREDECESSOR, AFBA FIVE STAR SECURITIES COMPANY.

This firm was previously: AFBA FIVE STAR SECURITIES COMPANY

Date of Succession: 04/29/2009

Predecessor CRD#: 103739

Predecessor SEC#: 8-52231

Description EFFECTIVE APRIL 29, 2009, THE APPLICANT CONVERTED ITS FORM OF BUSINESS ORGANIZATION FROM A VIRGINIA CORPORATION TO A DELAWARE LIMITED LIABILITY COMPANY. IN ADDITION TO A CHANGE IN OWNERSHIP AND CONTROL, THE SUCCESSOR HAS ASSUMED ALL ASSETS AND LIABILITIES OF THE PREDECESSOR, AFBA FIVE STAR SECURITIES COMPANY.

This firm was previously: AFBA FIVE STAR SECURITIES COMPANY

Date of Succession: 04/29/2009

Predecessor CRD#: 103739

Predecessor SEC#: 8-52231

Description EFFECTIVE APRIL 29, 2009, THE APPLICANT CONVERTED ITS FORM OF BUSINESS ORGANIZATION FROM A VIRGINIA CORPORATION TO A DELAWARE LIMITED LIABILITY COMPANY. THE SUCCESSOR HAS ASSUMED ALL ASSETS AND LIABILITIES OF THE PREDECESSOR, AFBA FIVE STAR SECURITIES COMPANY.

This firm was previously: AFBA FIVE STAR SECURITIES COMPANY

Date of Succession: 04/01/2009

Predecessor CRD#: 103739

Predecessor SEC#: 8-52231

Description

EFFECTIVE APRIL 1, 2009, THE APPLICANT CONVERTED ITS FORM OF BUSINESS ORGANIZATION FROM A VIRGINIA CORPORATION TO A DELAWARE LIMITED LIABILITY COMPANY. THE SUCCESSOR HAS ASSUMED ALL ASSETS AND LIABILITIES OF THE PREDECESSOR, AFBA FIVE STAR SECURITIES COMPANY.

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 no longer registered.

The firm's registration was from 05/17/2000 to 03/11/2010.

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 2 types of businesses.

Types of Business

Mutual fund underwriter or sponsor

Private placements of securities

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 not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

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, 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.

FORESIDE FUND SERVICES, LLC is under common control with the firm.

CRD #:	46106
Business Address:	THREE CANAL PLAZA SUITE 300 PORTLAND, ME 04101
Effective Date:	04/17/2009
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	FORESIDE FINANCIAL GROUP, LLC DIRECTLY OWNS FORESIDE FUND SERVICES, LLC AND FORESIDE DISTRIBUTORS, LLC. FORESIDE DISTRIBUTORS, LLC DIRECTLY OWNS THE APPLICANT.

NORTHERN FUNDS DISTRIBUTORS, LLC is under common control with the firm.

CRD #:	45943
Business Address:	10 HIGH STREET SUITE 302 BOSTON, MA 02110
Effective Date:	04/17/2009
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No

Firm Operations



Organization Affiliates (continued)

Description: FORESIDE DISTRIBUTORS, LLC, THE APPLICANT'S PARENT, OWNS 100% OF NORTHERN FUNDS DISTRIBUTORS, LLC.

RIDGEWORTH DISTRIBUTORS LLC is under common control with the firm.

CRD #: 13494

Business Address: 10 HIGH STREET
SUITE 302
BOSTON, MA 02110

Effective Date: 04/17/2009

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: FORESIDE DISTRIBUTORS, LLC, THE APPLICANT'S PARENT, OWNS 100% OF RIDGEWORTH DISTRIBUTORS, LLC.

FORESIDE DISTRIBUTION SERVICES, L.P. is under common control with the firm.

CRD #: 15634

Business Address: 10 HIGH STREET
SUITE 302
BOSTON, MA 02110

Effective Date: 04/17/2009

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: FORESIDE DISTRIBUTORS, LLC, THE APPLICANT'S PARENT, OWNS 100% OF FORESIDE DISTRIBUTION SERVICES, L.P.

IVA FUNDS DISTRIBUTORS, LLC is under common control with the firm.

CRD #: 30188

Business Address: 10 HIGH STREET

Firm Operations**Organization Affiliates (continued)**

SUITE 302
BOSTON, MA 02110

Effective Date: 04/17/2009

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: FORESIDE DISTRIBUTORS, LLC, THE APPLICANT'S PARENT, OWNS 100% OF IVA FUNDS DISTRIBUTORS, LLC

PERFORMANCE FUNDS DISTRIBUTOR, LLC is under common control with the firm.

CRD #: 30016

Business Address: 10 HIGH STREET
SUITE 302
BOSTON, MA 02110

Effective Date: 04/17/2009

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: FORESIDE DISTRIBUTORS, LLC, THE APPLICANT'S PARENT, OWNS 100% OF PERFORMANCE FUNDS DISTRIBUTOR, LLC.

FUNDS DISTRIBUTOR, LLC is under common control with the firm.

CRD #: 7174

Business Address: 10 HIGH STREET
SUITE 302
BOSTON, MA 02110

Effective Date: 04/17/2009

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities: Yes

Investment Advisory Activities: No

Description: FORESIDE DISTRIBUTORS, LLC, THE APPLICANT'S PARENT, OWNS 100% OF FUNDS DISTRIBUTOR, LLC

PNC FUND DISTRIBUTOR, LLC is under common control with the firm.

CRD #: 130745

Business Address: 10 HIGH STREET
SUITE 302
BOSTON, MA 02110

Effective Date: 04/17/2009

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: FORESIDE DISTRIBUTORS, LLC, THE APPLICANT'S PARENT, OWNS 100% OF PNC FUND DISTRIBUTOR, LLC.

BERTHY CAPITAL MANAGEMENT, LLC is under common control with the firm.

CRD #: 136019

Business Address: 100 ELMWOOD PARK DRIVE
SUITE 100
WEST CARROLLTON, OH 45449

Effective Date: 04/17/2009

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: MR. RICHARD BERTHY, THROUGH HIS PERSONAL LIMITED LIABILITY COMPANY ("LLC"), IS AN OWNER OF FORESIDE FINANCIAL GROUP, LLC WHICH ENTITY INDIRECTLY OWNS THE APPLICANT. MR. BERTHY,

Firm Operations



Organization Affiliates (continued)

THROUGH HIS PERSONAL LLC, IS AN OWNER OF BERTHY CAPITAL MANAGEMENT, LLC ("BCM"). A REGISTERED INVESTMENT ADVISER, BCM PRIMARILY PROVIDES ADVISORY SERVICES TO HIGH NET WORTH INDIVIDUALS.

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

End of Report



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