

## BrokerCheck Report

# TANAKA VALUE INVESTMENTS LLC

CRD# 104384

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**TANAKA VALUE INVESTMENTS LLC**

CRD# 104384

SEC# 8-52844

**Main Office Location**

2 SOUND VIEW DRIVE  
SUITE 112  
GREENWICH, CT 06830

**Mailing Address**

2 SOUND VIEW DRIVE  
SUITE 112  
GREENWICH, CT 06830

**Business Telephone Number**

203-622-1328

**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 New Jersey on 08/23/1999.

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:** 09/20/2007

**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 New Jersey on 08/23/1999.

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.

### TANAKA VALUE INVESTMENTS LLC

**Doing business as** TANAKA VALUE INVESTMENTS LLC

**CRD#** 104384

**SEC#** 8-52844

### Main Office Location

2 SOUND VIEW DRIVE  
SUITE 112  
GREENWICH, CT 06830

### Mailing Address

2 SOUND VIEW DRIVE  
SUITE 112  
GREENWICH, CT 06830

### Business Telephone Number

203-622-1328

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):	YAMASHITA, KEN
	1791594
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING MEMBER AND CEO
Position Start Date	04/2005
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

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Legal Name & CRD# (if any):	TFG HOLDINGS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	03/2007
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

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## Firm Profile

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

### Indirect Owners

<b>Legal Name &amp; CRD# (if any):</b>	TANAKA FAMILY 2005 TRUST
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	TFG HOLDINGS LLC
<b>Relationship to Direct Owner</b>	SOLE MEMBER
<b>Relationship Established</b>	01/2005
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	TANAKA YOKO
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	TFG HOLDINGS LLC
<b>Relationship to Direct Owner</b>	MANAGER
<b>Relationship Established</b>	12/2006
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	TANAKA, HIDEJI
<b>Is this a domestic or foreign entity or an individual?</b>	Individual

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established	TANAKA FAMILY 2005 TRUST
Relationship to Direct Owner	TRUSTEE
Relationship Established	01/2005
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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## 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 no longer registered.**

**The firm's registration was from 03/01/2001 to 12/03/2007.**



## 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 3 types of businesses.**

#### Types of Business

Broker or dealer selling tax shelters or limited partnerships in primary distributions

Private placements of securities

Other - THE FIRM WILL ENGAGE IN THE MARKETING OF LIMITED PARTNERSHIP INTERESTS (AND OTHER SECURITIES) OF BOTH DOMESTIC AND OFFSHORE HEDGE FUNDS AND OTHER POOLED INVESTMENT VEHICLES.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

## **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.

**TFG CORPORATION KK is under common control with the firm.**

<b>Business Address:</b>	SUITE 3210 LA TOUR CHIYODA 3-5-3 NISHI-KANDA, CHIYODA-KU TOKYO, JAPAN 101-0065
<b>Effective Date:</b>	07/31/2006
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	JAPAN
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	TFG HOLDINGS LLC, A MEMBER OF TANAKA VALUE INVESTMENTS LLC, IS THE SOLE OWNER OF TFG CORPORATION KK

**TANAKA INVESTMENT SERVICES KK is under common control with the firm.**

<b>Business Address:</b>	SUITE 3210 LA TOUR CHIYODA 3-5-3 NISHI-KANDA, CHIYODA-KU TOKYO, JAPAN 101-0065
<b>Effective Date:</b>	07/14/2005
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	JAPAN
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	TANAKA VALUE INVESTMENTS KK OWNS APPROXIMATELY 80.2% OF TANAKA INVESTMENTS SERVICES KK. TFG HOLDINGS LLC, A MEMBER OF TANAKA VALUE INVESTMENTS LLC, OWNS APPROXIMATELY 76.1% OF

## Firm Operations



### Organization Affiliates (continued)

TANAKA VALUE INVESTMENTS KK.

#### TANAKA INVESTMENT MANAGEMENT LTD. is under common control with the firm.

**Business Address:** C/O M&C CORPORATE SERVICES LIMITED  
309GT UGLAND HOUSE, SOUTH CHURCH STREET  
GEORGE TOWN, GRAND CAYMAN, CAYMAN ISLANDS

**Effective Date:** 10/31/2006

**Foreign Entity:** Yes

**Country:** CAYMAN ISLANDS

**Securities Activities:** Yes

**Investment Advisory Activities:** Yes

**Description:** TFG HOLDINGS LLC, A MEMBER OF TANAKA VALUE INVESTMENTS LLC, IS THE SOLE OWNER OF TANAKA INVESTMENT MANAGEMENT LTD.

#### TANAKA INVESTMENT MANAGEMENT LLC is under common control with the firm.

**Business Address:** 2711 CENTERVILLE ROAD  
SUITE400  
WILMINGTON, DE 19808

**Effective Date:** 07/18/2006

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** TFG HOLDINGS LLC, A MEMBER OF TANAKA VALUE INVESTMENTS LLC, IS THE SOLE OWNER OF TANAKA INVESTMENT MANAGEMENT LLC

#### TANAKA VALUE INVESTMENTS KK is under common control with the firm.

**Business Address:** 3-5-3 NISHI-KANDA, LA TOUR CHIYODA 32TH FLOOR  
CHIYODA-KU, TOKYO, JAPAN 101-0065

**Effective Date:** 05/12/2005

**Foreign Entity:** Yes

**Country:** JAPAN

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	KEN YAMASHITA, MANAGING MEMBER OF TANAKA VALUE INVESTMENTS LLC, IS A MANAGING DIRECTOR OF TANAKA VALUE INVESTMENTS KK, WHICH IS SECURITIES BROKER IN JAPAN.TFG HOLDINGS LLC, A MEMBER OF TANAKA VALUE INVESTMENTS LLC OWNS 76.1% OF TANAKA VALUE INVESTMENTS KK.

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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