BrokerCheck Report

CALDWELL SUTTER CAPITAL, INC.

CRD# 10489

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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.
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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.

CALDWELL SUTTER CAPITAL, INC.

CRD# 10489

SEC# 8-27639

Main Office Location

30 LIBERTY SHIP WAY #3225
SAUSALITO, CA 94965-3324
Regulated by FINRA San Francisco Office

Mailing Address

PO BOX 190
SAUSALITO, CA 94966-0190

Business Telephone Number

415-962-2526

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

https://www.adviserinfo.sec.gov

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 California on 02/16/1982.

Its fiscal year ends in September.

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
- 46 U.S. states and territories

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

This firm conducts 13 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

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Firm Profile

This firm is classified as a corporation.

This firm was formed in California on 02/16/1982.

Its fiscal year ends in September.

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.

CALDWELL SUTTER CAPITAL, INC.

Doing business as CALDWELL SUTTER CAPITAL, INC.

CRD# 10489

SEC# 8-27639

Main Office Location

30 LIBERTY SHIP WAY #3225
SAUSALITO, CA 94965-3324

Regulated by FINRA San Francisco Office

Mailing Address

PO BOX 190
SAUSALITO, CA 94966-0190

Business Telephone Number

415-962-2526

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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):	THE HELMER FAMILY TRUST DATED 3/8/2022
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	05/2025
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

Legal Name & CRD# (if any):	JOHN AND JINX HELMER REVOCABLE TRUST DATED JANUARY 4, 2005
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	01/2005
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):	ALLEN, MARI 1705748
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING DIRECTOR
Position Start Date	07/2017
Percentage of Ownership	Less than 5%

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Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ANDERSON, CHRISTOPHER WILLIAM 5085595
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF FINANCIAL OFFICER
Position Start Date	08/2018
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):	ANDERSON, CHRISTOPHER WILLIAM 5085595
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL AND OPERATIONS PRINCIPAL
Position Start Date	06/2012
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):	ANDERSON, CHRISTOPHER WILLIAM 5085595

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Firm Profile

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	08/2006
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):	DUCOTE, JOSEPH MICHAEL 72548
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR MANAGING DIRECTOR
Position Start Date	10/2017
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):	HELMER, JOHN CALDWELL 242398
Is this a domestic or foreign entity or an individual?	Individual
Position	FOUNDER, TRUSTEE
Position Start Date	07/2017
Percentage of Ownership	Less than 5%

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Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HELMER, JOSEPH FRANCIS 1860949
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT, CO-TRUSTEE
Position Start Date	08/2008
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):	HELMER, KATHLEEN REILLY 6613066
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR, TRUSTEE
Position Start Date	05/2022
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):	METCALF, SUSAN DIANE 1547365

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Firm Profile

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING DIRECTOR
Position Start Date	07/2017
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

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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):	HELMER, JOSEPH FRANCIS 1860949
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	THE HELMER FAMILY TRUST DATED 3/8/2022
Relationship to Direct Owner	TRUSTEE
Relationship Established	05/2025
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):	HELMER, KATHLEEN REILLY 6613066
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	THE HELMER FAMILY TRUST DATED 3/8/2022
Relationship to Direct Owner	TRUSTEE
Relationship Established	05/2025
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):	HELMER, JOHN CALDWELL

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Firm Profile

Indirect Owners (continued)

	242398
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	JOHN AND JINX HELMER REVOCABLE TRUST DATED JANUARY 4, 2005
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

Legal Name & CRD# (if any):	HELMER, JOSEPH FRANCIS
	1860949
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	JOHN AND JINX HELMER REVOCABLE TRUST DATED JANUARY 4, 2005
Relationship to Direct Owner	CO-TRUSTEE
Relationship Established	03/2021
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.

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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 46 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/19/1982

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	05/19/1982

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alaska	Approved	07/10/2017
Arizona	Approved	07/06/2010
Arkansas	Approved	07/11/2017
California	Approved	06/08/1982
Colorado	Approved	06/01/2010
Connecticut	Approved	08/04/2017
Delaware	Approved	08/14/2017
District of Columbia	Approved	07/31/2017
Florida	Approved	08/17/2010
Georgia	Approved	08/09/2017
Hawaii	Approved	09/17/2012
Idaho	Approved	08/17/2012
Illinois	Approved	06/02/2010
Indiana	Approved	02/27/2013
Iowa	Approved	06/15/2017
Kansas	Approved	07/27/2010
Kentucky	Approved	07/01/2010
Louisiana	Approved	06/19/2017
Maine	Approved	07/15/2020
Maryland	Approved	09/06/2012
Massachusetts	Approved	02/28/2012
Michigan	Approved	01/02/2009
Missouri	Approved	08/23/2017
Montana	Approved	06/26/2017
Nebraska	Approved	07/31/2017
Nevada	Approved	05/28/2010
New Jersey	Approved	03/26/2012
New Mexico	Approved	09/07/2012
New York	Approved	06/28/2010
North Carolina	Approved	06/14/2010
North Dakota	Approved	07/05/2017
Ohio	Approved	02/23/2012
Oklahoma	Approved	06/22/2017
Oregon	Approved	09/09/2010
Pennsylvania	Approved	03/15/2012
Rhode Island	Approved	05/31/2022
South Carolina	Approved	11/17/2011
South Dakota	Approved	09/04/2019
Tennessee	Approved	10/31/2019
Texas	Approved	07/20/2010
Utah	Approved	06/30/2017
Vermont	Approved	04/20/2017
Virginia	Approved	09/17/2012
Washington	Approved	07/07/2010
Wisconsin	Approved	02/17/2012
Wyoming	Approved	06/23/2017

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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 13 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 dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Other - CALDWELL SUTTER CAPITAL ALSO ENGAGES IN UNDERWRITING OR ACTING AS A SELLING GROUP PARTICIPANT IN PUBLIC OFFERINGS OF MUNICIPAL LISTED SECURITIES ON EITHER A BEST EFFORTS OR FIRM COMMITMENT BASIS.

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:

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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:	WEDBUSH SECURITIES INC.
CRD #:	877
Business Address:	BOX 30014 LOS ANGELES, CA 90030-0014
Effective Date:	06/01/1982
Description:	APPLICANT HAS A CORRESPONDENT RELATIONSHIP WITH WEDBUSH SECURITIES INC. WHICH CARRIES MOST OF APPLICANT'S ACCOUNTS ON A FULLY DISCLOSED BASIS.

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Firm Operations

Industry Arrangements

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

Name: GLOBAL RELAY COMMUNICATIONS, INC.

Business Address: 220 CAMBIE STREET, 2ND FLOOR
VANCOUVER, CANADA V6B 2M9

Effective Date: 08/18/2010

Description: STORE ELECTRONIC COMMUNICATION RECORDS

Name: BOX, INC.

Business Address: 900 JEFFERSON AVENUE
REDWOOD CITY, CA 94063

Effective Date: 10/22/2018

Description: STORE CORPORATE, CLIENT, EMPLOYEE, FINANCIAL, TRADING AND CONTINUING EDUCATION RECORDS.

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.

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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**

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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

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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:**
   - 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:**
   - 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:**
   - 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.
   - 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

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Allegations:	UNLICENSED BROKER-DEALER SALES
Initiated By:	OREGON DIVISION OF FINANCE & CORPERATE SECURITIES
Date Initiated:	09/08/2010
Docket/Case Number:	S-10-0029
URL for Regulatory Action:	
Principal Product Type:	Other
Other Product Type(s):	EQUITY SECURITIES
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	CIVIL AND ADMINISTRATIVE PENALTY
Resolution:	Consent
Resolution Date:	09/08/2010
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Monetary/Fine $1,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	ENTIRE $1,000.00 CIVIL PENALTY PAID ON 9/01/2010. ASSESSED AGAINST THE FIRM ONLY.

Reporting Source:	Firm
Current Status:	Final
Allegations:	UNLICENSED BROKER-DEALER SALES
Initiated By:	OREGON DIVISION OF FINANCE & CORPORATE SECURITIES
Date Initiated:	09/08/2010
Docket/Case Number:	S-10-0029
Principal Product Type:	Other

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Other Product Type(s):	EQUITY SECURITIES
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	CIVIL AND ADMINISTRATIVE PENALTY
Resolution:	Consent
Resolution Date:	09/08/2010
Sanctions Ordered:	Monetary/Fine $1,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	ENTIRE $1,000 CIVIL PENALTY PAID ON 09/01/2010. ASSESSED AGAINST THE FIRM ONLY.

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End of Report

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