

BrokerCheck Report

D/B/A CLARKSONS PLATOU SECURITIES

CRD# 113325

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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



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.

**D/B/A CLARKSONS PLATOU
SECURITIES**

CRD# 113325

SEC# 8-53308

Main Office Location

410 PARK AVE
SUITE 710
NEW YORK, NY 10022

Mailing Address

410 PARK AVE
SUITE 710
NEW YORK, NY 10022

Business Telephone Number

212-314-0900

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 02/01/2001.

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: 10/01/2015

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 02/01/2001.

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.

CLARKSON CAPITAL MARKETS LLC

Doing business as D/B/A CLARKSONS PLATOU SECURITIES

CRD# 113325

SEC# 8-53308

Main Office Location

410 PARK AVE
SUITE 710
NEW YORK, NY 10022

Mailing Address

410 PARK AVE
SUITE 710
NEW YORK, NY 10022

Business Telephone Number

212-314-0900



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): CLARKSON USA INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Position SOLE OWNER

Position Start Date 12/2010

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): GLYNN, MICHAEL GERARD

3219445

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

Position FINOP/CFO

Position Start Date 10/2011

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): GRECA, PETER JOSEPH

4547499

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

Position CCO, CEO, COO

Position Start Date 02/2013

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): NOKTA, OMAR MOSTAFA
4852579

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

Position DIRECTOR OF RESEARCH

Position Start Date 04/2015

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): SOUHRADA, STEVEN AMBROSE
2305922

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

Position MANAGING DIRECTOR

Position Start Date 02/2013

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): STILLMAN, NICHOLAS DORSEY

Firm Profile



Direct Owners and Executive Officers (continued)

	4916235
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING DIRECTOR
Position Start Date	05/2013
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



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	CLARKSON OVERSEAS SHIPBROKING LIMITED
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	CLARKSON USA INC.
Relationship to Direct Owner	SOLE OWNER
Relationship Established	07/2010
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):	CLARKSON PLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	CLARKSON SHIPBROKING GROUP LIMITED
Relationship to Direct Owner	SOLE OWNER
Relationship Established	06/1974
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):	CLARKSON SHIPBROKING GROUP LIMITED
Is this a domestic or foreign entity or an individual?	Foreign Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established	CLARKSON OVERSEAS SHIPBROKING LIMITED
Relationship to Direct Owner	SOLE OWNER
Relationship Established	12/1965
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

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 11/20/2001 to 12/01/2015.



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 8 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Broker or dealer selling oil and gas interests
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Other - REFERRAL FEES FOR INTRODUCING PUBLIC EQUITY OFFERING AND HEDGE FUND BUSINESS FROM ONE BROKER-DEALER TO ANOTHER. PROVIDE ADVICE FOR MERGERS AND ACQUISITIONS AND OTHER BUSINESS ADVISORY SERVICES. PROVIDE EQUITY RESEARCH TO INSTITUTIONAL INVESTORS AND CUSTOMERS. MARKET MAKING ON THE OTCQX

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 refer or introduce customers to other brokers and dealers.

Name:	CONVERGEX EXECUTION SOLUTIONS LLC
CRD #:	35693
Business Address:	1633 BROADWAY NEW YORK, NY 10019
Effective Date:	05/23/2012
Description:	THE APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH CONVERGEX EXECUTION SOLUTIONS LLC "CONVERGEX". THE APPLICANT WILL INTRODUCE TRANSACTIONS, ACTING AS AN AGENT TO CONVERGEX.

Firm Operations

Industry Arrangements



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

Name: CONVERGEX EXECUTION SOLUTIONS LLC

CRD #: 35693

Business Address: 1633 BROADWAY
NEW YORK, NY 10019

Effective Date: 05/23/2012

Description: THE APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH CONVERGEX EXECUTION SOLUTIONS LLC("CONVERGEX "), WHERE CONVERGEX WILL MAINTAIN CERTAIN BOOKS AND RECORDS OF THE APPLICANT.

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

Name: CONVERGEX EXECUTION SOLUTIONS LLC

CRD #: 35693

Business Address: 1633 BROADWAY
NEW YORK, NY 10019

Effective Date: 05/23/2012

Description: THE FIRM HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH CONVERGEX EXECUTION SOLUTIONS LLC ("CONVERGEX") WHERE ACCOUNTS, FUNDS OR SECURITIES OF THE APPLICANT ARE HELD OR MAINTAINED BY CONVERGEX.

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

Name: CONVERGEX EXECUTION SOLUTIONS LLC

CRD #: 35693

Business Address: 1633 BROADWAY
NEW YORK, NY 10019

Effective Date: 05/23/2012

Description: THE FIRM HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH CONVERGEX EXECUTION SOLUTIONS LLC ("CONVERGEX") WHERE ACCOUNTS, FUNDS OR SECURITIES OF CUSTOMERS OF THE APPLICANT ARE HELD OR MAINTAINED BY CONVERGEX.

Control Persons/Financing

Firm Operations



Industry Arrangements (continued)

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.

CLARKSONS PLATOU SECURITIES AS is under common control with the firm.

Business Address:	P.O. BOX 1474 VIKÅ OSLO, NORWAY N-0119
Effective Date:	02/02/2015
Foreign Entity:	Yes
Country:	NORWAY
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	CLARKSONS PLATOU SECURITIES AS AND THE APPLICANT ARE UNDER COMMON CONTROL WITH THE ULTIMATE PARENT, CLARKSON PLC.

RS PLATOU ASSET MANAGEMENT LLP is under common control with the firm.

Business Address:	1 KNIGHTSBRIDGE GREEN LONDON, UNITED KINGDOM
Effective Date:	02/02/2015
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	RS PLATOU ASSET MANAGEMENT LLP AND THE APPLICANT ARE UNDER COMMON CONTROL WITH THE ULTIMATE PARENT, CLARKSON PLC.

CLARKSONS PLATOU SECURITIES, INC. is under common control with the firm.

CRD #: 30882

Firm Operations



Organization Affiliates (continued)

Business Address:	410 PARK AVENUE SUITE 710 NEW YORK, NY 10022
Effective Date:	02/02/2015
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	CLARKSONS PLATOU SECURITIES, INC. AND THE APPLICANT ARE UNDER COMMON CONTROL WITH THE ULTIMATE PARENT, CLARKSON PLC.

CLARKSON INVESTMENT SERVICES LTD is under common control with the firm.

Business Address:	ST. MAGNUS HOUSE 3 LOWER THAMES STREET LONDON, UK EC3R 6HE
Effective Date:	01/24/2011
Foreign Entity:	Yes
Country:	UK
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	CLARKSON INVESTMENT SERVICES LTD AND THE APPLICANT ARE UNDER COMMON CONTROL WITH THE ULTIMATE PARENT, CLARKSON PLC.

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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