BrokerCheck Report

GRIFFIN FINANCIAL GROUP, LLC

CRD# 119004

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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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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.

GRIFFIN FINANCIAL GROUP, LLC

CRD# 119004

SEC# 8-53711

Main Office Location

607 WASHINGTON STREET
READING, PA 19603
Regulated by FINRA Philadelphia Office

Mailing Address

607 WASHINGTON STREET
READING, PA 19603

Business Telephone Number

610-478-2105

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 Pennsylvania on 08/16/2001.

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 firm is registered with:

- the SEC
- 2 Self-Regulatory Organizations
- 51 U.S. states and territories

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

This firm conducts 8 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? **No**

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Pennsylvania on 08/16/2001.

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.

GRIFFIN FINANCIAL GROUP, LLC

Doing business as GRIFFIN FINANCIAL GROUP, LLC

CRD# 119004

SEC# 8-53711

Main Office Location

607 WASHINGTON STREET
READING, PA 19603

Regulated by FINRA Philadelphia Office

Mailing Address

607 WASHINGTON STREET
READING, PA 19603

Business Telephone Number

610-478-2105

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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):	GRIFFIN HOLDINGS GROUP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	09/2001
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):	CHOQUETTE, ERNEST J 4494340
Is this a domestic or foreign entity or an individual?	Individual
Position	CHAIRMAN
Position Start Date	01/2022
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):	DUROFCHALK, JOHN MICHAEL 4494297
Is this a domestic or foreign entity or an individual?	Individual
Position	CFO, FINOP
Position Start Date	11/2004

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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?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	NOAH, SCOTT IVES 2334448
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	07/2021
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):	O'LEARY, MATTHEW TODD 6077840
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO AND COO
Position Start Date	04/2019
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):	WALDRON, JEFFREY PETER

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Firm Profile

Direct Owners and Executive Officers (continued)

	4581878
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL
Position Start Date	03/2008
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

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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):	STEVENS & LEE
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	GRIFFIN HOLDINGS GROUP, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	08/2001
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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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, 2 SROs and 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	08/01/2002

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

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	08/01/2002
Nasdaq Stock Market	Approved	02/14/2013

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	03/31/2008
Alaska	Approved	01/29/2008
Arizona	Approved	02/28/2008
Arkansas	Approved	04/28/2008
California	Approved	01/02/2008
Colorado	Approved	12/21/2007
Connecticut	Approved	01/29/2008
Delaware	Approved	11/03/2006
District of Columbia	Approved	01/22/2008
Florida	Approved	02/01/2008
Georgia	Approved	01/18/2008
Hawaii	Approved	04/12/2010
Idaho	Approved	02/28/2008
Illinois	Approved	01/08/2008
Indiana	Approved	02/15/2008
Iowa	Approved	04/25/2008
Kansas	Approved	07/09/2008
Kentucky	Approved	01/28/2008
Louisiana	Approved	01/28/2008
Maine	Approved	05/13/2010
Maryland	Approved	10/09/2007
Massachusetts	Approved	01/10/2008
Michigan	Approved	01/14/2008
Minnesota	Approved	12/18/2007
Mississippi	Approved	02/27/2008
Missouri	Approved	01/09/2008
Montana	Approved	03/20/2008
Nebraska	Approved	04/14/2008
Nevada	Approved	03/31/2008
New Hampshire	Approved	04/28/2008
New Jersey	Approved	03/08/2005
New Mexico	Approved	02/06/2008
New York	Approved	03/07/2005
North Carolina	Approved	12/20/2007
North Dakota	Approved	05/08/2008
Ohio	Approved	01/14/2008
Oklahoma	Approved	01/07/2008
Oregon	Approved	01/31/2008
Pennsylvania	Approved	09/20/2002
Rhode Island	Approved	01/22/2008
South Carolina	Approved	01/24/2008
South Dakota	Approved	02/28/2008
Tennessee	Approved	09/26/2008
Texas	Approved	05/21/2008
Utah	Approved	03/03/2008
Vermont	Approved	05/07/2008
Virginia	Approved	01/02/2008
Washington	Approved	01/02/2008
West Virginia	Approved	02/28/2008
Wisconsin	Approved	01/22/2008
Wyoming	Approved	03/26/2008

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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 8 types of businesses.

Types of Business

Broker or dealer making inter-dealer markets in corporation securities over-the-counter
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)
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Other - MERGERS AND ACQUISITIONS ADVISORY BUSINESS. APPLICANT ALSO WILL ASSIST BUSINESSES TO OBTAIN LOANS FROM BANKS,THRIFTS AND OTHER INSTITUTIONS,INCLUSING PROVIDERS OF ASSET BASED BOND FINANCING, ASSISTING COMPANIES IN OBTAINING MEZZANINE AND EQUITY CAPITAL FROM BANKS AND BANK AFFILIATES, SBIC, INSURANCE COMPANIES VENTURE CAPITALISTS AND PRIVATE EQUITY FUNDS, BANKS AND INSURANCE COMPANIES IN CONVERTING FROM MUTUAL TO EQUITY OWNERSHIP.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does engage in other non-securities business.

Non-Securities Business Description: APPLICANT WILL PROVIDE RESEARCH CONSULTING SERVICES INDEPENDENT AND UNRELATED TO ITS TRANSACTION-BASED BUSINESS, INCLUDING PROVIDING BUSINESS VALUATIONS AND FAIRNESS OPINIONS, REPORTS DETAILING STRATEGIC ALTERNATIVES RELATING TO HORIZONTAL EXPANSION, AND INDUSTRY LANDSCAPE ASSESSMENTS.

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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:	1000 WILSHIRE BLVD. SUITE 900 LOS ANGELES, CA 90017
Effective Date:	02/14/2013
Description:	THE FIRM INTRODUCES CUSTOMERS TO WEDBUSH SECURITIES, INC. WHOM CLEARS TRANSACTIONS FOR THE FIRM AND MAINTAINS APPLICABLE BOOKS AND RECORDS ON BEHALF OF THE FIRM.

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Firm Operations

Industry Arrangements

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

Name: WEDBUSH SECURITIES INC.

CRD #: 877

Business Address: 1000 WILSHIRE BLVD.
SUITE 900
LOS ANGELES, CA 90017

Effective Date: 02/14/2013

Description: THE APPLICANT WILL INTRODUCE CUSTOMER ACCOUNTS ON A FULLY-DISCLOSED BASIS TO WEDBUSH SECURITIES, INC., WHO SHALL MAINTAIN CERTAIN BOOKS AND RECORDS ON BEHALF OF THE APPLICANT.

Name: GRIFFFIN HOLDINGS GROUP, LLC

Business Address: 111 NORTH SIXTH STREET
READING, PA 19603

Effective Date: 09/30/2001

Description: APPLICANT HAS ENTERED INTO A MANAGEMENT AGREEMENT WITH GRIFFIN HOLDINGS, WHEREBY THIS COMPANY WILL PROVIDE PERSONNEL, ADMINISTRATIVE AND OTHER SERVICES TO APPLICANT.

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

Name: WEDBUSH SECURITIES INC.

CRD #: 877

Business Address: 1000 WILSHIRE BLVD.
SUITE 900
LOS ANGELES, CA 90017

Effective Date: 02/14/2013

Description: WEDBUSH SECURITIES, INC. HOLDS AND MAINTAINS ACCOUNTS ON BEHALF OF THE FIRM.

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

Name: WEDBUSH SECURITIES INC.

CRD #: 877

Business Address: 1000 WILSHIRE BLVD.
SUITE 900

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Firm Operations

Industry Arrangements (continued)

	LOS ANGELES, CA 90017
Effective Date:	02/14/2013
Description:	WEDBUSH SECURITIES, INC. HOLDS AND MAINTAINS ACCOUNTS ON BEHALF OF CUSTOMERS OF THE FIRM.

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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End of Report

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