

## BrokerCheck Report

# CROCKER SECURITIES LLC

CRD# 119523

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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).

**CROCKER SECURITIES LLC**

CRD# 119523

SEC# 8-65204

**Main Office Location**

2999 OAK ROAD  
SUITE 1010  
WALNUT CREEK, CA 94597

**Mailing Address**

2999 OAK ROAD  
SUITE 1010  
WALNUT CREEK, CA 94597

**Business Telephone Number**

925-941-1541

**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 California on 01/04/2002.

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.

<b>Date firm ceased business:</b>	06/30/2008
<b>Does this brokerage firm owe any money or securities to any customer or brokerage firm?</b>	Yes
<b>Number of customers owed funds or securities:</b>	1
<b>Amount of money owed to customer:</b>	\$0.00
<b>Amount of money owed to brokerage firm:</b>	\$9,933,531.75
<b>Market value of securities owed to customer:</b>	\$0.00
<b>Market value of securities owed to brokerage firm:</b>	\$30,370,425.00
<b>Payment arrangement:</b>	NONE



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in California on 01/04/2002.

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.

### **CROCKER SECURITIES LLC**

**Doing business as CROCKER SECURITIES LLC**

**CRD#** 119523

**SEC#** 8-65204

### **Main Office Location**

2999 OAK ROAD  
SUITE 1010  
WALNUT CREEK, CA 94597

### **Mailing Address**

2999 OAK ROAD  
SUITE 1010  
WALNUT CREEK, CA 94597

### **Business Telephone Number**

925-941-1541



## 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):** PINYON CORPORATION

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

**Position** MANAGING MEMBER

**Position Start Date** 02/2002

**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):** MELLO, LISA RENEE  
1465948

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

**Position** FINANCIAL OPERATIONS PRINCIPAL, CHIEF COMPLIANCE OFFICER

**Position Start Date** 03/2002

**Percentage of Ownership** 10% but less than 25%

**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):** DOUGLAS C. GREEN, LLC

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

**Position** MEMBER

**Position Start Date** 03/2006

**Percentage of Ownership** Less than 5%

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): MARTIN, KEVIN BRADLEY  
1704674

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

Position MEMBER

Position Start Date 01/2002

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

<b>Legal Name &amp; CRD# (if any):</b>	GREEN, DOUGLAS CHRISTOPHER 1713027
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	DOUGLAS C. GREEN, LLC
<b>Relationship to Direct Owner</b>	PRESIDENT
<b>Relationship Established</b>	03/2006
<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>	MARTIN, KEVIN BRADLEY 1704674
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	PINYON CORPORATION
<b>Relationship to Direct Owner</b>	MANAGING MEMBER
<b>Relationship Established</b>	02/2002
<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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## 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 07/26/2002 to 09/05/2008.**



**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 11 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
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
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 refer or introduce customers to other brokers and dealers.

<b>Name:</b>	PERSHING LLC
<b>CRD #:</b>	7560
<b>Business Address:</b>	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
<b>Effective Date:</b>	07/09/2003
<b>Description:</b>	PERSHING LLC WILL CONDUCT BUSINESS ON A FULLY DISCLOSED BASIS WITH: CROCKER SECURITIES LLC, 2999 OAK ROAD, STE. 230, WALNUT CREEK, CA 94597 UNDER THE FULLY-DISCLOSED CLEARING AGREEMENT, PERSHING LLC WILL ASSUME RESPONSIBILITY FOR MAINTAINING CERTAIN BOOKS OR RECORDS OF CROCKER SECURITIES, LLC.

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## Firm Operations

### Industry Arrangements



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

**Name:** PERSHING LLC

**CRD #:** 7560

**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399

**Effective Date:** 07/09/2003

**Description:** PERSHING LLC WILL CONDUCT BUSINESS ON A FULLY DISCLOSED BASIS WITH: CROCKER SECURITIES LLC, 2999 OAK ROAD, STE. 230 WALNUT CREEK, CA 94597 UNDER THE FULLY-DISCLOSED CLEARING AGREEMENT. PERSHING LLC, WILL ASSUME RESPONSIBILITIES FOR MAINTAINING CERTAIN BOOKS OR RECORDS OF CROCKER SECURITIES LLC.

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

**Name:** PERSHING LLC

**CRD #:** 7560

**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399

**Effective Date:** 07/09/2003

**Description:** PERSHING LLC WILL CONDUCT BUSINESS ON A FULLY DISCLOSED BASIS WITH: CROCKER SECURITIES LLC, 2999 OAK ROAD, STE 230, WALNUT CREEK, CA 94597 UNDER THE FULLY-DISCLOSED CLEARING AGREEMENT. PERSHING LLC WILL ASSUME RESPONSIBILITY FOR MAINTAINING CERTAIN BOOKS OR RECORDS OF CROCKER SECURITIES LLC.

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

**Name:** PERSHING LLC

**CRD #:** 7560

**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399

**Effective Date:** 07/09/2003

**Description:** PERSHING LLC WILL CONDUCT BUSINESS ON A FULLY DISCLOSED BASIS WITH: CROCKER SECURITIES LLC, 2999 OAK ROAD, STE. 230, WALNUT CREEK, CA 94597 UNDER THE FULLY DISCLOSED CLEARING

## Firm Operations



### Industry Arrangements (continued)

AGREEMENT. PERSHING LLC WILL ASSUME RESPONSIBILITY FOR  
MAINTAINING CERTAIN BOOKS OR RECORDS OF CROCKER  
SECURITIES LLC.

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### 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 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

**End of Report**



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