BrokerCheck Report

EDGEMONT CAPITAL PARTNERS, L.P.

CRD# 122572

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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.

EDGEMONT CAPITAL PARTNERS, L.P.

CRD# 122572

SEC# 8-65521

Main Office Location

787 7TH AVENUE, 49TH FLOOR
NEW YORK, NY 10019
Regulated by FINRA New York Office

Mailing Address

787 7TH AVENUE, 49TH FLOOR
NEW YORK, NY 10019

Business Telephone Number

212-867-8935

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 partnership.

This firm was formed in Delaware on 12/20/2001.

Its fiscal year ends in June.

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
- 10 U.S. states and territories

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

This firm conducts 2 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm does not have 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	2

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Firm Profile

This firm is classified as a partnership.

This firm was formed in Delaware on 12/20/2001.

Its fiscal year ends in June.

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.

EDGEMONT CAPITAL PARTNERS, L.P.

Doing business as EDGEMONT CAPITAL PARTNERS, L.P.

CRD# 122572

SEC# 8-65521

Main Office Location

787 7TH AVENUE, 49TH FLOOR
NEW YORK, NY 10019

Regulated by FINRA New York Office

Mailing Address

787 7TH AVENUE, 49TH FLOOR
NEW YORK, NY 10019

Business Telephone Number

212-867-8935

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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):	BLUME, DAVID KEITH 1705458
Is this a domestic or foreign entity or an individual?	Individual
Position	LIMITED PARTNER / CEO
Position Start Date	12/2001
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):	SWEARINGEN, JEFFREY BROWN 4588895
Is this a domestic or foreign entity or an individual?	Individual
Position	LIMITED PARTNER, POO
Position Start Date	12/2001
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):	GOLDENBERG, YEVGENIY 5150400
Is this a domestic or foreign entity or an individual?	Individual
Position	OWNER

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Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date	05/2022
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	EDGEMONT CAPITAL HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	GEN. PARTNER
Position Start Date	12/2001
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):	IVAN, JOHN MICHAEL 1292150
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	02/2024
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):	WAY, GEORGE MICHAEL

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Firm Profile

Direct Owners and Executive Officers (continued)

	4609124
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, PFO
Position Start Date	05/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	

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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):	BLUME, DAVID KEITH 1705458
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	EDGEMONT CAPITAL HOLDINGS LLC
Relationship to Direct Owner	MEMBER
Relationship Established	12/2001
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):	SWEARINGEN, JEFFREY BROWN
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	EDGEMONT CAPITAL HOLDINGS LLC
Relationship to Direct Owner	MEMBER
Relationship Established	12/2001
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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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 10 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/13/2003

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	01/13/2003

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	03/02/2022
Connecticut	Approved	03/01/2022
Florida	Approved	08/24/2023
Louisiana	Approved	01/10/2022
New Mexico	Approved	03/04/2022
New York	Approved	10/03/2002
North Carolina	Approved	05/18/2022
Ohio	Approved	01/21/2022
Rhode Island	Approved	01/04/2022
Texas	Approved	02/11/2022

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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 2 types of businesses.

Types of Business

Private placements of securities
Other - FIRM ADVISES BUSINESSES IN THE HEALTH CARE INDUSTRY CONCERNING FINANCING OPTIONS AND OPPORTUNITIES (CORPORATE FINANCE ADVISORY SERVICES), BUSINESS VALUATION, AND CONCERNING M&A AND OTHER BUSINESS COMBINATIONS. THESE SERVICES ARE PROVIDED IN ADDITION TO, AS WELL AS IN CONJUCTION WITH, ITS PRIVATE PLACEMENT ACTIVITIES. PROFESSIONAL FEES, OTHER THAN PLACEMENT FEES/COMMISSIONS, ARE CHARGED FOR THESE SERVICES WHICH MAY OR MAY NOT LEAD TO THE BROKERING OF ANY SECURITIES TRANSACTION.

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 not refer or introduce customers to other brokers and dealers.

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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.

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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	2	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 2

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT PRESENTED AN UNREGISTERED PERSON AS AN INVESTMENT BANKING EXPERT ON ITS WEBSITE, EVEN THOUGH HE NEVER OBTAINED ANY SECURITIES LICENSE BEFORE OR DURING HIS EMPLOYMENT AT THE FIRM. THE FINDINGS STATED THAT THE FIRM PERMITTED THE UNREGISTERED PERSON TO CARRY ON AN INVESTMENT BANKING BUSINESS, INCLUDING SOLICITING PROSPECTIVE CUSTOMERS, CONDUCTING MEETINGS WITH ISSUER REPRESENTATIVES, AND DRAFTING AND CONTRIBUTING INFORMATION TO MARKETING MATERIALS. THE FIRM WAS AWARE OF THE UNREGISTERED PERSON'S ACTIVITIES, BUT FAILED TO ENSURE THAT HE OBTAINED APPROPRIATE LICENSES PRIOR TO CONDUCTING THOSE ACTIVITIES. THE FIRM ADDITIONALLY FAILED TO ENFORCE ITS WSPS, WHICH REQUIRED THE FIRM TO REGISTER ANY PERSON WHO WAS TO ENGAGE IN THE INVESTMENT BANKING OR SECURITIES BUSINESS OF THE FIRM. THE FINDINGS ALSO STATED THAT THE FIRM PERMITTED THREE MANAGING DIRECTORS TO GIVE ADVICE ON THE FIRM'S INVESTMENT BANKING TRANSACTIONS EVEN THOUGH THE MANAGING DIRECTORS WERE NOT PROPERLY REGISTERED. SPECIFICALLY, ALTHOUGH THE MANAGING DIRECTORS WERE LICENSED AS GENERAL SECURITIES REPRESENTATIVES, AMONG OTHER THINGS, NONE OF THE MANAGING DIRECTORS HELD A SERIES 79 INVESTMENT BANKING REPRESENTATIVE LICENSE.
Initiated By:	FINRA
Date Initiated:	09/13/2016
Docket/Case Number:	2015043343301
Principal Product Type:	Other
Other Product Type(s):	INVESTMENT BANKING UNSPECIFIED SECURITIES
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	09/13/2016
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

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Sanctions Ordered:	Censure Monetary/Fine $50,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED $50,000. FINE PAID IN FULL ON SEPTEMBER 29, 2016.

Reporting Source:	Firm
Current Status:	Final
Allegations:	EDGEMONT PERMITTED AN UNREGISTERED PERSON TO CONDUCT INVESTMENT BANK ACTIVITIES; FAILED TO ENFORCE WRITTEN PROCEDURES WITH RESPECT TO REPRESENTATIVE REGISTRATION AND SUPERVISE THAT PERSON TO ENSURE REGISTRATION; AND ALLOWED ITS THREE MANAGING DIRECTORS, WHO, ALTHOUGH LICENSED AS GENERAL SECURITIES REPRESENTATIVES, DID NOT HOLD THE SPECIFIC INVESTMENT BANKING REPRESENTATIVE LICENSE.
Initiated By:	FINRA
Date Initiated:	09/13/2016
Docket/Case Number:	2015043343301
Principal Product Type:	No Product
Other Product Type(s):	INVESTMENT BANKING UNSPECIFIED SECURITIES
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	CIVIL AND ADMINISTRATIVE FINES
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	09/13/2016
Sanctions Ordered:	Censure Monetary/Fine $50,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED $50,000.
Firm Statement	THIS MATTER AROSE FROM A ROUTINE FINRA EXAM, AS OPPOSED TO A CLIENT COMPLAINT. THE MATTER WAS RESOLVED BY AN AWC AND EDGEMONT DID NOT ADMIT OR DENY ANY OF THE ALLEGATIONS. THE MANAGING DIRECTORS NOW HAVE THE SERIES 79 AND THE

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UNREGISTERED REP IN QUESTION IS NO LONGER WITH THE FIRM.

Disclosure 2 of 2

Reporting Source:	Regulator
Current Status:	Final
Allegations:	SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 (EXCHANGE ACT), EXCHANGE ACT RULE 17A-4, FINRA RULE 2010, NASD RULES 2110, 3110: THE FIRM CONTRACTED WITH A THIRD-PARTY VENDOR FOR PURPOSES OF EMAIL RETENTION FOR THE PERIOD FROM AT LEAST MAY 2008 THROUGH JANUARY 2011. THE FIRM HOWEVER, DID NOT IMPLEMENT AN AUDIT SYSTEM REGARDING SUCH EMAIL STORAGE AND WAS THEREFORE NOT AWARE THAT SUCH THIRD-PARTY VENDOR DID NOT ADEQUATELY RETAIN CERTAIN EMAILS. AS A RESULT, THE FIRM FAILED TO MAINTAIN CERTAIN EMAILS DURING THE PERIOD FROM MAY 2008 THROUGH JANUARY 2011.
Initiated By:	FINRA
Date Initiated:	10/17/2011
Docket/Case Number:	2011025721201
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/17/2011
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:	Censure Monetary/Fine $30,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED

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TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS;
THEREFORE IT IS CENSURED AND FINED $30,000.

Reporting Source:	Firm
Current Status:	Final
Allegations:	SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 (EXCHANGE ACT), EXCHANGE ACT RULE 17A-4, FINRA RULE 2010, NASD RULES 2110, 3110: THE FIRM CONTRACTED WITH A THIRD-PARTY VENDOR FOR PURPOSES OF EMAIL RETENTION FOR THE PERIOD FROM AT LEAST MAY 2008 THROUGH JANUARY 2011. THE FIRM HOWEVER, DID NOT IMPLEMENT AN AUDIT SYSTEM REGARDING SUCH EMAIL STORAGE AND WAS THEREFORE NOT AWARE THAT SUCH THIRD-PARTY VENDOR DID NOT ADEQUATELY RETAIN CERTAIN EMAILS. AS A RESULT, THE FIRM FAILED TO MAINTAIN CERTAIN EMAILS DURING THE PERIOD FROM MAY 2008 THROUGH JANUARY 2011.
Initiated By:	FINRA
Date Initiated:	10/17/2011
Docket/Case Number:	2011025721201
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/17/2011
Sanctions Ordered:	Censure Monetary/Fine $30,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE IT IS CENSURED AND FINED $30,000.

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End of Report

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