BrokerCheck Report

PCA CAPITAL SECURITIES, LLC

CRD# 132654

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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.

PCA CAPITAL SECURITIES, LLC

CRD# 132654

SEC# 8-66614

Main Office Location

900 WALT WHITMAN RD.
SUITE 309
MELVILLE, NY 11747
Regulated by FINRA Long Island Office

Mailing Address

900 WALT WHITMAN RD.
SUITE 309
MELVILLE, NY 11747

Business Telephone Number

212-476-9300

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 06/30/2004.

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
- 1 Self-Regulatory Organization
- 2 U.S. states and territories

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

This firm conducts 1 type of business.

This firm is affiliated with 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? **No**

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 06/30/2004.

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.

PCA CAPITAL SECURITIES, LLC

Doing business as PCA CAPITAL SECURITIES, LLC

CRD# 132654

SEC# 8-66614

Main Office Location

900 WALT WHITMAN RD.
SUITE 309
MELVILLE, NY 11747

Regulated by FINRA Long Island Office

Mailing Address

900 WALT WHITMAN RD.
SUITE 309
MELVILLE, NY 11747

Business Telephone Number

212-476-9300

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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):	KESSELMAN, TODD
	2897424
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	06/2004
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):	KESSELMAN, TODD
	2897424
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING MEMBER
Position Start Date	06/2004
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):	LAVERSA, GINA MARIE
	2372647
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING MEMBER

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Direct Owners and Executive Officers (continued)

Position Start Date	06/2004
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):	THOMPSON, STEPHEN PETER 6584092
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	03/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

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Firm Profile

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

Indirect Owners

No information reported.

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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 2 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/26/2005

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	01/26/2005

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	12/16/2005
New York	Approved	01/07/2005

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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 1 type of business.

Types of Business
Private placements of securities

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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, 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.

PRECISION CAPITAL REAL ESTATE (CAYMAN), LTD is under common control with the firm.

Business Address:	27 HOSPITAL ROAD CAYMAN CORPORATE CENTRE GEORGE TOWN, CAYMAN ISLANDS KY1-9008
Effective Date:	05/30/2018
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PCA BERKSHIRE GP, L.P. is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	11/07/2024
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL REAL ESTATE, LP is under common control with the firm.

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Firm Operations

Organization Affiliates (continued)

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 05/30/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PCA GLOBAL SECONDARY FUND GP, L.P. is under common control with the firm.

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 12/13/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL 2022 GP, L.P. is under common control with the firm.

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 10/22/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT

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Firm Operations

Organization Affiliates (continued)

	LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL 2023 GP, L.P. is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	01/01/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

ANDALUSIAN MANAGEMENT, LLC is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	04/21/2020
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

ANDALUSIAN CAPITAL MGP, LLC is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	04/21/2020
Foreign Entity:	No
Country:	
Securities Activities:	No

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Firm Operations

Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL ANDALUSIAN GP, L.P. is under common control with the firm.

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 10/14/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL MGP, LLC is under common control with the firm.

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 11/01/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL 2020 GP, L.P. is under common control with the firm.

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 08/20/2019

Foreign Entity: No

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Firm Operations

Organization Affiliates (continued)

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL VII GP, L.P. is under common control with the firm.

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 11/02/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL ENERGY PARTNERS II, LP is under common control with the firm.

Business Address: 170 MASON STREET
37TH FLOOR
GREENWICH, CT 10022

Effective Date: 12/27/2017

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

HANS PLACE IV, LLC is under common control with the firm.

Business Address: 399 PARK AVENUE

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Firm Operations

Organization Affiliates (continued)

	37TH FLOOR NEW YORK, NY 10022
Effective Date:	08/02/2013
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

HANS PLACE III, LLC is under common control with the firm.

Business Address:	399 PARK AVENUE 37TH FLOOR NEW YORK, NY 10022
Effective Date:	08/03/2009
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

HANS PLACE II, LLC is under common control with the firm.

Business Address:	399 PARK AVENUE 37TH FLOOR NEW YORK, NY 10022
Effective Date:	11/24/2004
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

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Firm Operations

Organization Affiliates (continued)

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

HANS PLACE, LLC is under common control with the firm.

Business Address:	399 PARK AVENUE 37TH FLOOR NEW YORK, NY 10022
Effective Date:	12/15/2003
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL VI, LP is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	05/25/2017
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PICO PARTNERS II, LLC is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	02/02/2017
Foreign Entity:	No
Country:	

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Firm Operations

Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	AT LEAST ONE MANAGING MEMBER OF APPLICANT HAS AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL SECONDARY FUND GP, LP is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	11/01/2016
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL STRATEGIC ALTERNATIVES, LP is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	11/15/2016
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PICO PARTNERS, LLC is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	05/28/2015

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Firm Operations

Organization Affiliates (continued)

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: AT LEAST ONE MANAGING MEMBER OF APPLICANT HAS AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL ASIA III, LLC is under common control with the firm.

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 07/21/2015

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL GROWTH CAPITAL II, LP is under common control with the firm.

Business Address: 170 MASON STREET
37TH FLOOR
GREENWICH, CT 10022

Effective Date: 01/20/2016

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: AT LEAST ONE MANAGING MEMBER OF APPLICANT HAS AT LEAST 25% CONTROL OF THIS ENTITY.

PICO HOLDINGS MANAGEMENT, LLC is under common control with the firm.

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Firm Operations

Organization Affiliates (continued)

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 11/12/2015

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL ENERGY PARTNERS, LP is under common control with the firm.

Business Address: 170 MASON STREET
37TH FLOOR
GREENWICH, CT 10022

Effective Date: 10/23/2014

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: AT LEAST ONE MANAGING MEMBER OF APPLICANT HAS AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL EUROPE (CAYMAN), LTD is under common control with the firm.

Business Address: 27 HOSPITAL ROAD
CAYMAN CORPORATE CENTRE
GRAND CAYMAN, CAYMAN ISLANDS KY1-1104

Effective Date: 06/19/2014

Foreign Entity: Yes

Country: CAYMAN ISLANDS

Securities Activities: No

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Firm Operations

Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: AT LEAST ONE MANAGING MEMBER OF APPLICANT HAS AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL EUROPE, LP is under common control with the firm.

Business Address: 170 MASON STREET
37TH FLOOR
GREENWICH, CT 10022

Effective Date: 06/19/2014

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: AT LEAST ONE MANAGING MEMBER OF APPLICANT HAS AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL GROWTH CAPITAL, LP is under common control with the firm.

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 01/25/2013

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL V (CAYMAN) LTD is under common control with the firm.

Business Address: 27 HOSPITAL ROAD
CAYMAN CORPORATE CENTRE
GRAND CAYMAN, CAYMAN ISLANDS KY1-9008

Effective Date: 10/15/2012

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Firm Operations

Organization Affiliates (continued)

Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL V, LP is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	10/15/2012
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL ASIA, LP is under common control with the firm.

Business Address:	170 MASON STREET GREENWICH, CT 06830
Effective Date:	11/02/2011
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL IV (CAYMAN), LTD is under common control with the firm.

Firm Operations

Organization Affiliates (continued)

Business Address: 27 HOSPITAL ROAD
CAYMAN CORPORATE CENTRE
GRAND CAYMAN, CAYMAN ISLANDS KY1-9008

Effective Date: 12/17/2007

Foreign Entity: Yes

Country: CAYMAN ISLANDS

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL IV, LP is under common control with the firm.

Business Address: 399 PARK AVENUE
37TH FLOOR
NEW YORK, NY 10022

Effective Date: 12/17/2017

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, HAVE AT LEAST 25% CONTROL OF THIS ENTITY.

PRECISION CAPITAL ADVISORS LLC is under common control with the firm.

Business Address: 170 MASON STREET
GREENWICH, CT 06830

Effective Date: 06/30/2004

Foreign Entity: No

Country:

Securities Activities: No

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Firm Operations

Organization Affiliates (continued)

Investment Advisory Activities:	Yes
Description:	THE APPLICANT'S OWNERS, MR. KESSELMAN AND MS. LAVERSA, ARE 100% OWNERS OF PRECISION CAPITAL ADVISORS, LLC AND HAVE THE RIGHT TO RECEIVE 100% OF THE COMPANY'S CAPITAL UPON ITS DISSOLUTION.

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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