

## BrokerCheck Report

### SAMCO CAPITAL MARKETS, INC.

CRD# 136532

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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).

**SAMCO CAPITAL MARKETS, INC.**

CRD# 136532

SEC# 8-67023

**Main Office Location**

6805 CAPITAL OF TEXAS HIGHWAY  
SUITE 350  
AUSTIN, TX 78731  
Regulated by FINRA Dallas Office

**Mailing Address**

6805 CAPITAL OF TEXAS HIGHWAY  
SUITE 350  
AUSTIN, TX 78731

**Business Telephone Number**

512-794-9100

**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 corporation.

This firm was formed in Texas on 05/09/2005.

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
- 52 U.S. states and territories

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

This firm conducts 15 types of businesses.

This firm is affiliated with 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**



## Firm Profile

This firm is classified as a corporation.

This firm was formed in Texas on 05/09/2005.

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.

**SAMCO CAPITAL MARKETS, INC.**

**Doing business as SAMCO CAPITAL MARKETS, INC.**

**CRD#** 136532

**SEC#** 8-67023

### Main Office Location

6805 CAPITAL OF TEXAS HIGHWAY  
SUITE 350  
AUSTIN, TX 78731

**Regulated by FINRA Dallas Office**

### Mailing Address

6805 CAPITAL OF TEXAS HIGHWAY  
SUITE 350  
AUSTIN, TX 78731

### Business Telephone Number

512-794-9100



## 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):** SAMCO HOLDINGS, INC.

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

**Position** SHAREHOLDER

**Position Start Date** 05/2006

**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):** ENGEMOEN, ROGER JAMES JR  
1506062

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

**Position** CHAIRMAN, DIRECTOR

**Position Start Date** 05/2005

**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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**Legal Name & CRD# (if any):** MALDONADO, OLGA INEZ R  
1974097

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

**Position** CFO, CONTROLLER, FINOP

**Position Start Date** 06/2016



## 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

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**Legal Name & CRD# (if any):** MANNES, JOSEPH REID  
1946872

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

**Position** CSO, PRESIDENT, ROSFP

**Position Start Date** 09/2005

**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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**Legal Name & CRD# (if any):** MAVERICK, JOSEPH LEE JR  
2170350

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

**Position** CHIEF COMPLIANCE OFFICER, ROSFP

**Position Start Date** 10/2007

**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):	ENGEMOEN, ROGER JAMES JR 1506062
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	SAMCO HOLDINGS, INC.
Relationship to Direct Owner	SHARHOLDER
Relationship Established	01/2007
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

## 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 currently registered with the SEC, 1 SRO and 52 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	10/17/2005

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer:    Yes

A broker-dealer and government securities broker or dealer:    Yes

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	10/17/2005



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	11/03/2005
Alaska	Approved	03/12/2018
Arizona	Approved	02/16/2006
Arkansas	Approved	10/20/2005
California	Approved	10/19/2005
Colorado	Approved	10/31/2005
Connecticut	Approved	12/16/2005
Delaware	Approved	11/17/2005
District of Columbia	Approved	12/21/2005
Florida	Approved	10/25/2005
Georgia	Approved	10/26/2005
Hawaii	Approved	03/27/2018
Idaho	Approved	10/19/2005
Illinois	Approved	11/01/2005
Indiana	Approved	10/25/2005
Iowa	Approved	10/25/2005
Kansas	Approved	11/08/2005
Kentucky	Approved	10/24/2005
Louisiana	Approved	10/25/2005
Maine	Approved	11/22/2005
Maryland	Approved	10/20/2005
Massachusetts	Approved	11/15/2005
Michigan	Approved	11/03/2005
Minnesota	Approved	10/24/2005
Mississippi	Approved	10/19/2005
Missouri	Approved	10/24/2005
Montana	Approved	10/21/2005
Nebraska	Approved	12/15/2005
Nevada	Approved	11/01/2005
New Hampshire	Approved	03/14/2006
New Jersey	Approved	05/15/2006
New Mexico	Approved	10/21/2005
New York	Approved	10/24/2005

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	10/28/2005
North Dakota	Approved	11/16/2005
Ohio	Approved	10/28/2005
Oklahoma	Approved	10/24/2005
Oregon	Approved	10/28/2005
Pennsylvania	Approved	10/28/2005
Puerto Rico	Approved	10/27/2005
Rhode Island	Approved	10/24/2005
South Carolina	Approved	10/20/2005
South Dakota	Approved	10/18/2005
Tennessee	Approved	05/15/2006
Texas	Approved	10/10/2005
Utah	Approved	10/20/2005
Vermont	Approved	11/03/2005
Virginia	Approved	10/19/2005
Washington	Approved	10/18/2005
West Virginia	Approved	10/18/2005
Wisconsin	Approved	10/24/2005
Wyoming	Approved	10/21/2005



## 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 15 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)
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
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Broker or dealer selling interests in mortgages or other receivables
Other - SAMCO CAPITAL MARKETS, INC. WILL AUTHOR INDEPENDENT RESEARCH REPORTS. SAMCO IS A MUNICIPAL ADVISOR REGISTERED WITH THE SEC.

#### 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.

<b>Name:</b>	PERSHING LLC
<b>CRD #:</b>	7560
<b>Business Address:</b>	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
<b>Effective Date:</b>	07/26/2012
<b>Description:</b>	SAMCO CAPITAL MARKETS, INC INTRODUCES CUSTOMERS ON A FULLY DISCLOSED BASIS TO PERSHING LLC.

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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.**



## 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.

**SAMCO PROPRIETARY TRADING, INC. is under common control with the firm.**

<b>CRD #:</b>	329446
<b>Business Address:</b>	6805 CAPITAL OF TEXAS HIGHWAY STE. 350 AUSTIN, TX 78731
<b>Effective Date:</b>	03/19/2024
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	SAMCO PROPRIETARY TRADING, INC. IS A STATE REGISTERED INVESTMENT ADVISOR. SAMCO PROPRIETARY TRADING, INC. AND SACMO CAPITAL MARKETS, INC. ARE BOTH OWNED SUBSIDIARIES OF SAMCO HOLDINGS, INC. BOTH ENTITIES ARE AFFILIATED THROUGH THE SAME OWNERSHIP.

**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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