BrokerCheck Report

CAPSTONE GLOBAL MARKETS, LLC

CRD# 143612

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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.

CAPSTONE GLOBAL MARKETS, LLC

CRD# 143612

SEC# 8-67583

Main Office Location

7 WORLD TRADE CENTER
250 GREENWICH STREET, 30TH FLOOR
NEW YORK, NY 10007

Mailing Address

7 WORLD TRADE CENTER
250 GREENWICH STREET, 30TH FLOOR
NEW YORK, NY 10007

Business Telephone Number

212 232-1420

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 New York on 10/10/2006.

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?	**Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

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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.

Date firm ceased business:	06/30/2011
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	No

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in New York on 10/10/2006.

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.

CAPSTONE GLOBAL MARKETS, LLC

Doing business as CAPSTONE GLOBAL MARKETS, LLC

CRD# 143612

SEC# 8-67583

Main Office Location

7 WORLD TRADE CENTER
250 GREENWICH STREET, 30TH FLOOR
NEW YORK, NY 10007

Mailing Address

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250 GREENWICH STREET, 30TH FLOOR
NEW YORK, NY 10007

Business Telephone Number

212 232-1420

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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):	CAPSTONE HOLDINGS GROUP II, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER
Position Start Date	06/2007
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):	BRITTON, PAUL MATTHEW 4473988
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER
Position Start Date	01/2007
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

Legal Name & CRD# (if any):	MCGANN, ROBERT VINCENT 4814733
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	05/2008

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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):	RAMIREZ, VERNA 4096175
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	06/2010
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

Legal Name & CRD# (if any):	BRITTON, PAUL MATTHEW 4473988
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CAPSTONE HOLDINGS GROUP II, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	06/2007
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

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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 no longer registered.

The firm's registration was from 06/05/2007 to 03/09/2012.

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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 5 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Put and call broker or dealer or option writer
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account

Other Types of Business

This firm does 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 refer or introduce customers to other brokers and dealers.

Name:	ABN AMRO CLEARING CHICAGO LLC
CRD #:	14020
Business Address:	175 WEST JACKSON SUITE 400 CHICAGO, IL 60604
Effective Date:	06/07/2007
Description:	THE FIRM CLEARS ITS CUSTOMERS' FUTURES AND FUTURES OPTIONS CONTRACTS THROUGH ABN AMRO (F/K/A FORTIS) ON A FULLY-DISCLOSED BASIS.

Name:	GOLDMAN SACHS EXECUTION & CLEARING, L.P.
CRD #:	3466
Business Address:	120 BROADWAY NEW YORK, NY 10571
Effective Date:	01/22/2007
Description:	THE FIRM IS PARTY TO A CLEARING AGREEMENT WITH GOLDMAN SACHS IN ORDER TO INTRODUCE AND REFER CLIENTS FOR EXECUTION SERVICES.

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Firm Operations

Industry Arrangements

This firm does not have books or records maintained by a third party.

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

Name:	GOLDMAN SACHS EXECUTION & CLEARING, L.P.
CRD #:	3466
Business Address:	120 BROADWAY NEW YORK, NY 10571
Effective Date:	01/22/2007
Description:	THE FIRM MAINTAINS ACCOUNTS AT GOLDMAN SACHS EXECUTION AND CLEARING.

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

Name:	ABN AMRO CLEARING CHICAGO LLC
CRD #:	14020
Business Address:	175 WEST JACKSON SUITE 400 CHICAGO, IL 60604
Effective Date:	06/07/2007
Description:	THE FIRM IS PARTY TO A CLEARING AGREEMENT WITH ABN AMRO CLEARING CHICAGO LLC (F/K/A FORTIS CLEARING AMERICAS LLC), WHICH MAY HOLD SOME OF THE FIRM'S CUSTOMER FUNDS, SECURITIES OR ACCOUNTS ON A FULLY-DISCLOSED BASIS.

Name:	GOLDMAN SACHS EXECUTION & CLEARING, L.P.
CRD #:	3466
Business Address:	120 BROADWAY NEW YORK, NY 10571
Effective Date:	01/22/2007
Description:	THE FIRM IS PARTY TO A CLEARING AGREEMENT WITH GOLDMAN SACHS EXECUTION AND CLEARING, WHICH MAY HOLD SOME OF THE FIRM'S CUSTOMER FUNDS, SECURITIES OR ACCOUNTS ON A FULLY-DISCLOSED BASIS.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

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Firm Operations

Industry Arrangements (continued)

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.

CAPSTONE GLOBAL MARKETS (UK) LLP is under common control with the firm.

Business Address:	21 GREAT WINCHESTER STREET LONDON, ENGLAND EC2N 2JA
Effective Date:	02/01/2009
Foreign Entity:	Yes
Country:	U.K.
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	CAPSTONE GLOBAL MARKETS (UK) LLP IS UNDER COMMON CONTROL WITH THE APPLICANT VIA PAUL BRITTON, CEO, OF ITS HOLDING COMPANY.

CAPSTONE INVESTMENT ADVISORS (SINGAPORE), PTE. LTD. is under common control with the firm.

Business Address:	61 ROBINSON ROAD 07-01 ROBINSON CENTRE, SINGAPORE 068893
Effective Date:	03/01/2009
Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	CAPSTONE INVESTMENT ADVISORS (SINGAPORE), PTE. LTD. IS UNDER COMMON CONTROL WITH THE APPLICANT VIA PAUL BRITTON, CEO, OF ITS HOLDING COMPANY.

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Firm Operations

Organization Affiliates (continued)

CAPSTONE INVESTMENT ADVISORS (UK), LLP is under common control with the firm.

Business Address:	21 GREAT WINCHESTER STREET 4TH FLOOR LONDON, ENGLAND EC2N2JA
Effective Date:	07/01/2007
Foreign Entity:	Yes
Country:	U.K.
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	CAPSTONE INVESTMENT ADVISORS (UK), LLP IS UNDER COMMON CONTROL WITH THE APPLICANT VIA PAUL BRITTON, CEO, OF ITS HOLDING COMPANY.

CAPSTONE CREDIT ADVISORS, LLC is under common control with the firm.

Business Address:	7 WORLD TRADE CENTER 250 GREENWICH STREET, 30TH FLOOR NEW YORK, NY 10007
Effective Date:	06/01/2009
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	CAPSTONE CREDIT ADVISORS, LLC IS UNDER COMMON CONTROL WITH THE APPLICANT VIA PAUL BRITTON, CEO, OF ITS HOLDING COMPANY.

CAPSTONE INVESTMENT ADVISORS, LLC is under common control with the firm.

Business Address:	7 WORLD TRADE CENTER 250 GREENWICH STREET, 30TH FLOOR NEW YORK, NY 10007
Effective Date:	03/01/2007
Foreign Entity:	No
Country:	

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Firm Operations

Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	CAPSTONE INVESTMENT ADVISORS, LLC IS UNDER COMMON CONTROL WITH THE APPLICANT VIA PAUL BRITTON, CEO, OF ITS HOLDING COMPANY.

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	1	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 1

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	FINRA RULE 6380A(B) - CAPSTONE GLOBAL MARKETS, LLC REPORTED LAST SALE REPORTS OF TRANSACTIONS IN DESIGNATED SECURITIES TO THE FINRA/NASDAQ TRADE REPORTING FACILITY IT WAS NOT REQUIRED TO REPORT.
Initiated By:	FINRA
Date Initiated:	06/10/2011
Docket/Case Number:	2009020099101
Principal Product Type:	Other
Other Product Type(s):	DESIGNATED SECURITIES
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	06/10/2011
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 $10,000.00
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, THE FIRM IS CENSURED AND FINED $10,000.

Reporting Source:	Firm
Current Status:	Final
Allegations:	FINRA RULE 6380A(B) - THE FIRM REPORTED TO THE FINRA/NASDAQ TRADE REPORTING FACILITY LAST SALE REPORTS OF TRANSACTIONS IT WAS NOT REQUIRED TO REPORT.
Initiated By:	FINRA
Date Initiated:	06/10/2011

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Docket/Case Number:	20090200991-01
Principal Product Type:	Other
Other Product Type(s):	DESIGNATED SECURITIES
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	MONETARY/FINE $10,000.00
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	06/10/2011
Sanctions Ordered:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OT DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED $10,000.
Firm Statement	WITHOUT ADMITTING OT DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED $10,000.

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End of Report

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