

BrokerCheck Report

SOUTH VALLEY WEALTH MANAGEMENT

CRD# 14797

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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.](http://www.finra.org)

**SOUTH VALLEY WEALTH
MANAGEMENT**

CRD# 14797

SEC# 8-31126

Main Office Location810 MAIN STREET
KLAMATH FALLS, OR 97601**Mailing Address**810 MAIN STREET
KLAMATH FALLS, OR 97601**Business Telephone Number**

541-882-5488

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 Oregon on 02/22/1984.

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.



Date firm ceased business: 07/20/2012

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a corporation.

This firm was formed in Oregon on 02/22/1984.

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.

ELLIOTT-LEDGERWOOD & COMPANY

Doing business as SOUTH VALLEY WEALTH MANAGEMENT

CRD# 14797

SEC# 8-31126

Main Office Location

810 MAIN STREET
KLAMATH FALLS, OR 97601

Mailing Address

810 MAIN STREET
KLAMATH FALLS, OR 97601

Business Telephone Number

541-882-5488



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): SOUTH VALLEY BANCORP, INC.

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

Position FINANCIAL HOLDING COMPANY

Position Start Date 05/2000

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company?

Legal Name & CRD# (if any): HULBERT, ALISON ANNA

3253965

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

Position CHIEF FINANCIAL OFFICER

Position Start Date 02/2001

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): LEDGERWOOD, MARTIN RICHARD

2696876

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

Position PRESIDENT AND CCO

Position Start Date 03/2010

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

Legal Name & CRD# (if any): LEDGERWOOD, RICHARD STEVEN
305096

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

Position VICE-PRESIDENT

Position Start Date 03/2010

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): LEDGERWOOD, RICHARD STEVEN
305096

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

Position SECRETARY/TREASURER

Position Start Date 03/2010

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): PEDERSON, CLARK DEAN

Firm Profile



Direct Owners and Executive Officers (continued)

	1035357
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE-PRESIDENT
Position Start Date	01/1998
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

No information reported.



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 03/19/1984 to 09/18/2012.



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 9 types of businesses.

Types of Business

Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member
Broker or dealer involved in a networking, kiosk or similar arrangment with a: bank, savings bank or association, or credit union

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: 11B LIFE INSURANCE- PROTECTIVE LIFE, PACIFIC LIFE, JACKSON NATIONAL, LINCOLN, PRUDENTIAL, HARTFORD LIFE, ALLIANZ

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:	RBC CAPITAL MARKETS, LLC
Business Address:	510 MARQUETTE AVE S MINNEAPOLIS, MN 55402-1106
Effective Date:	03/11/2005
Description:	APPLICANT INTRODUCES CLIENTS TO RBC CAPITAL MARKETS, LLC FOR PURPOSES OF CLEARING SECURITIES TRANSACTIONS.

Firm Operations

Industry Arrangements



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

Name: RBC CAPITAL MARKETS, LLC

Business Address: 510 MARQUETTE AVE S
MINNEAPOLIS, MN 55402-1106

Effective Date: 03/11/2005

Description: BOOKS AND RECORDS OF APPLICANT ARE KEPT OR MAINTAINED BY SUCH OTHER PERSON, FIRM OR ORGANIZATION. APPLICANT INTRODUCES CLIENTS TO ORGANIZATION LISTED FOR PURPOSES OF CLEARING SECURITIES TRANSACTIONS.

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

Name: RBC CAPITAL MARKETS, LLC

Business Address: 510 MARQUETTE AVE S
MINNEAPOLIS, MN 55402-1106

Effective Date: 03/11/2005

Description: ACCOUNTS, FUNDS, OR SECURITIES OF THE APPLICANT ARE HELD OR MAINTAINED BY SUCH OTHER PERSON, FIRM, OR ORGANIZATION. APPLICANT INTRODUCES CLIENTS TO ORGANIZATION LISTED FOR PURPOSES OF CLEARING SECURITIES TRANSACTIONS.

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

Name: RBC CAPITAL MARKETS, LLC

Business Address: 510 MARQUETTE AVE S
MINNEAPOLIS, MN 55402-1106

Effective Date: 03/11/2005

Description: ACCOUNTS, FUNDS OR SECURITIES OF CUSTOMERS OF THE APPLICANT ARE HELD OR MAINTAINED BY RBC CAPITAL MARKETS, LLC. APPLICANT INTRODUCES CLIENTS TO ORGANIZATION LISTED FOR PURPOSES OF CLEARING SECURITIES TRANSACTIONS.

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 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

SOUTH VALLEY BANCORP, INC. is a Bank Holding Company and controls the firm.

Business Address: 801 MAIN STREET
KLAMATH FALLS, OR 97601

Effective Date: 03/15/2001

Description: APPLICANT WILL BECOME A WHOLLY OWNED SUBSIDIARY OF SOUTH VALLEY BANCORP, INC. CURRENT MANAGEMENT OF APPLICANT WILL REMAIN IN PLACE. CHANGE IN OWNERSHIP ONLY.

End of Report



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