BrokerCheck Report

CREWE CAPITAL

CRD# 152527

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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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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.

CREWE CAPITAL

CRD# 152527

SEC# 8-68460

Main Office Location

650 S MAIN ST
SUITE 777
SALT LAKE CITY, UT 84101
Regulated by FINRA Denver Office

Mailing Address

650 S MAIN ST
SUITE 777
SALT LAKE CITY, UT 84101

Business Telephone Number

385-322-3100

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 10/24/2003.

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
- 51 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 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 New York on 10/24/2003.

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.

CREWE CAPITAL, LLC

Doing business as CREWE CAPITAL

CRD# 152527

SEC# 8-68460

Main Office Location

650 S MAIN ST
SUITE 777
SALT LAKE CITY, UT 84101

Regulated by FINRA Denver Office

Mailing Address

650 S MAIN ST
SUITE 777
SALT LAKE CITY, UT 84101

Business Telephone Number

385-322-3100

Other Names of this Firm

Name	Where is it used
CENTENNIAL PEAKS CAPITAL	CO, FL

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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):	CREWE HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	99% MEMBERSHIP OWNERSHIP IN CREWE CAPITAL, LLC
Position Start Date	07/2015
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):	BENNETT, MICHAEL PATRICK 5408084
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING PARTNER, CHIEF EXECUTIVE OFFICER, EXECUTIVE REPRESENTATIVE
Position Start Date	07/2015
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):	BENNETT, MICHAEL PATRICK 5408084
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL OPERATING OFFICER
Position Start Date	10/2018

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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?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	KING, ROBERT S 1608075
Is this a domestic or foreign entity or an individual?	Individual
Position	MEMBER, FINANCIAL OPERATIONS PRINCIPAL
Position Start Date	07/2015
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):	KING, ROBERT S 1608075
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL FINANCIAL OFFICER
Position Start Date	10/2018
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):	MELLIES, CADE STEWART

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Firm Profile

Direct Owners and Executive Officers (continued)

	6661420
Is this a domestic or foreign entity or an individual?	Individual
Position	PARTNER, CHIEF COMPLIANCE OFFICER
Position Start Date	12/2023
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):	MITCHELL, JESSE THOMAS
	7299786
Is this a domestic or foreign entity or an individual?	Individual
Position	PARTNER
Position Start Date	04/2025
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

Legal Name & CRD# (if any):	RASMUSSEN, JARED JAY
	6821885
Is this a domestic or foreign entity or an individual?	Individual
Position	PARTNER
Position Start Date	10/2021
Percentage of Ownership	Less than 5%

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Firm Profile

Direct Owners and Executive Officers (continued)

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):	BENNETT, MICHAEL PATRICK 5408084
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	PIN HIGH, LLC
Relationship to Direct Owner	PARTNER
Relationship Established	07/2015
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):	PIN HIGH, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	CREWE HOLDINGS, LLC
Relationship to Direct Owner	MANAGING MEMBER
Relationship Established	07/2015
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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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 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/20/2011

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	09/20/2011

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	12/12/2023
Alaska	Approved	11/20/2023
Arizona	Approved	06/30/2022
Arkansas	Approved	01/29/2024
California	Approved	07/27/2015
Colorado	Approved	08/20/2015
Connecticut	Approved	12/06/2023
Delaware	Approved	12/29/2023
District of Columbia	Approved	01/30/2024
Florida	Approved	02/26/2024
Georgia	Approved	12/15/2023
Hawaii	Approved	01/02/2024
Idaho	Approved	07/21/2015
Illinois	Approved	08/14/2024
Indiana	Approved	02/21/2024
Iowa	Approved	11/20/2023
Kansas	Approved	12/08/2023
Kentucky	Approved	12/01/2023
Louisiana	Approved	08/14/2023
Maine	Approved	12/15/2023
Maryland	Approved	01/24/2024
Massachusetts	Approved	01/18/2024
Michigan	Approved	12/13/2023
Minnesota	Approved	01/03/2024
Mississippi	Approved	11/22/2023
Missouri	Approved	01/18/2024
Montana	Approved	11/20/2023
Nebraska	Approved	12/01/2023
Nevada	Approved	08/19/2015
New Hampshire	Approved	01/05/2024
New Jersey	Approved	01/02/2024
New Mexico	Approved	01/09/2024
New York	Approved	09/23/2011
North Carolina	Approved	12/04/2023
North Dakota	Approved	05/17/2023
Ohio	Approved	12/05/2023
Oklahoma	Approved	01/24/2024
Oregon	Approved	07/14/2023
Pennsylvania	Approved	11/27/2023
Rhode Island	Approved	11/21/2023
South Carolina	Approved	12/14/2023
South Dakota	Approved	11/20/2023
Tennessee	Approved	12/13/2023
Texas	Approved	01/19/2023
Utah	Approved	07/29/2015
Vermont	Approved	01/09/2024
Virginia	Approved	01/02/2024
Washington	Approved	07/31/2015
West Virginia	Approved	12/11/2023
Wisconsin	Approved	12/13/2023
Wyoming	Approved	01/10/2024

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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 - M&A ADVISORY.

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: VALUATION ADVISORY.

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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 have books or records maintained by a third party.

Name: GLOBAL RELAY

Business Address: 22 CAMBIE STREET
2ND FLOOR
VANCOUVER, BC V6B 2M9

Effective Date: 01/01/2016

Description: ELECTRONIC COMMUNICATIONS ARCHIVE AND SURVEILLANCE

Name: BOX.COM

Business Address: 1234 WACKER AVENUE
7TH FLOOR
CHICAGO, IL 60606

Effective Date: 01/01/2016

Description: DOCUMENT ARCHIVE

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

Name: INTERACTIVE BROKERS

Business Address: 1 PICKWICK PLAZA
GREENWICH, CT 06830

Effective Date: 11/08/2024

Description: CREWE CAPITAL OPENED AN ACCOUNT WITH INTERACTIVE BROKERS SOLELY FOR ITS OWN TRADING. THE FUNDS IN THE ACCOUNT ARE STRICTLY THOSE OF CREWE. NO CLIENT OR OTHER FUNDS ARE MANAGED OR TRADED IN THE ACCOUNT.

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.

CREWE ADVISORS is under common control with the firm.

CRD #:	173920
Business Address:	136 EAST SOUTH TEMPLE #2400 SALT LAKE CITY, UT 84111
Effective Date:	07/10/2015
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	MICHAEL BENNET, THROUGH HIS OWNERSHIP, IS A CONTROL PERSON OF CREWE ADVISORS AS WELL AS CREWE CAPITAL. HIS OWNERSHIP ESTABLISHES THE AFFILIATION AND CONTROL RELATIONSHIP.

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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End of Report

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