BrokerCheck Report

THIRD SEVEN CAPITAL LLC

CRD# 160209

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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.

THIRD SEVEN CAPITAL LLC

CRD# 160209

SEC# 8-69032

Main Office Location

67 HOLLY HILL LANE
SUITE 300C
GREENWICH, CT 06830
Regulated by FINRA Boston Office

Mailing Address

67 HOLLY HILL LANE
SUITE 300C
GREENWICH, CT 06830

Business Telephone Number

9176026153

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 07/06/2011.

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
- 53 U.S. states and territories

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

This firm conducts 7 types of businesses.

This firm is not affiliated with any 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 07/06/2011.

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.

THIRD SEVEN CAPITAL LLC

Doing business as THIRD SEVEN CAPITAL LLC

CRD# 160209

SEC# 8-69032

Main Office Location

67 HOLLY HILL LANE
SUITE 300C
GREENWICH, CT 06830

Regulated by FINRA Boston Office

Mailing Address

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Business Telephone Number

9176026153

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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):	THIRD SEVEN GROUP LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	HOLDING COMPANY
Position Start Date	03/2018
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	DIFIORE, MONICA LISA 2966552
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	05/2018
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):	LEDGER, NICHOLAS MARK 6779287
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO/CFO
Position Start Date	10/2021

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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):	SAKOL, DANIEL SCOTT 2813237
Is this a domestic or foreign entity or an individual?	Individual
Position	FIN OP
Position Start Date	08/2019
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	

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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):	AMERICAN PHOENIX LTD
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	THIRD SEVEN GROUP LLC
Relationship to Direct Owner	OWNER
Relationship Established	04/2021
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BOWER, IAN DAVID 6145023
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	AMERICAN PHOENIX LTD
Relationship to Direct Owner	OWNER
Relationship Established	04/2021
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BURNEY BT, NIGEL DENNISTOUN 6145027

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Firm Profile

Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	AMERICAN PHOENIX LTD
Relationship to Direct Owner	OWNER
Relationship Established	04/2021
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CHAPMAN, SIMON CHARLES 6151124
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	AMERICAN PHOENIX LTD
Relationship to Direct Owner	OWNER
Relationship Established	04/2021
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	DERBYSHIRE, GARETH WYN 6145028
Is this a domestic or foreign entity or an individual?	Individual

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Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established	AMERICAN PHOENIX LTD
Relationship to Direct Owner	OWNER
Relationship Established	04/2021
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HILLSON, RICHARD LLOYD 5668079
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	AMERICAN PHOENIX LTD
Relationship to Direct Owner	OWNER
Relationship Established	04/2021
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	NORTH, RICHARD MARK 6153420
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	AMERICAN PHOENIX LTD

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Firm Profile

Indirect Owners (continued)

Relationship to Direct Owner	OWNER
Relationship Established	04/2021
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/25/2013

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	03/25/2013

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	02/07/2017
Alaska	Approved	02/06/2017
Arizona	Approved	02/08/2017
Arkansas	Approved	02/15/2017
California	Approved	06/04/2014
Colorado	Approved	02/06/2017
Connecticut	Approved	10/08/2014
Delaware	Approved	03/06/2017
District of Columbia	Approved	02/01/2017
Florida	Approved	03/10/2014
Georgia	Approved	02/22/2017
Hawaii	Approved	03/16/2017
Idaho	Approved	01/11/2017
Illinois	Approved	02/08/2017
Indiana	Approved	02/03/2017
Iowa	Approved	01/12/2017
Kansas	Approved	02/08/2017
Kentucky	Approved	01/23/2017
Louisiana	Approved	01/23/2017
Maine	Approved	03/09/2017
Maryland	Approved	10/09/2013
Massachusetts	Approved	10/16/2015
Michigan	Approved	02/02/2017
Minnesota	Approved	02/09/2017
Mississippi	Approved	01/20/2017
Missouri	Approved	02/09/2017
Montana	Approved	01/27/2017
Nebraska	Approved	05/02/2017
Nevada	Approved	02/26/2015
New Hampshire	Approved	03/28/2017
New Jersey	Approved	02/23/2015
New Mexico	Approved	02/20/2017
New York	Approved	03/27/2013
North Carolina	Approved	01/13/2017
North Dakota	Approved	03/10/2017
Ohio	Approved	01/30/2017
Oklahoma	Approved	11/05/2014
Oregon	Approved	02/28/2017
Pennsylvania	Approved	09/11/2015
Puerto Rico	Approved	02/28/2017
Rhode Island	Approved	01/11/2017
South Carolina	Approved	02/07/2017
South Dakota	Approved	01/19/2017
Tennessee	Approved	02/08/2017
Texas	Approved	03/09/2015
Utah	Approved	01/23/2017
Vermont	Approved	02/06/2017
Virgin Islands	Approved	02/23/2017
Virginia	Approved	08/31/2015
Washington	Approved	01/24/2017
West Virginia	Approved	02/09/2017
Wisconsin	Approved	02/06/2017
Wyoming	Approved	02/06/2017

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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 7 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
Broker or dealer selling variable life insurance or annuities
Private placements of securities
Other - MARKETING OF HEDGE FUNDS; MERGERS AND ACQUISITIONS AND RELATED ADVISORY SERVICES;RESEARCH

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:

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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 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 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:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT CONDUCTED SECURITIES BUSINESS ON 34 DAYS WHILE IT FAILED TO MAINTAIN THE MINIMUM REQUIRED NET CAPITAL. THE FINDINGS STATED THAT THE FIRM'S REQUIRED MINIMUM NET CAPITAL RANGED FROM $5,000 TO $13,394. THE FIRM INCURRED $16,832.71 IN LEGAL FEES, WHICH CAUSED THE FIRM'S NET CAPITAL TO FALL BELOW THE REQUIRED MINIMUM, WITH DAILY DEFICIENCIES BETWEEN $726 AND $29,665. THE FINDINGS ALSO STATED THAT THE FIRM FILED INACCURATE NOTICES OF NET CAPITAL DEFICIENCY. THE FIRM FILED A NOTIFICATION WITH THE SEC AND FINRA STATING THAT THE FIRM FAILED TO MAINTAIN NET CAPITAL. HOWEVER, IN ITS FILING, THE FIRM INACCURATELY STATED THAT ITS NET CAPITAL DEFICIENCY HAD ENDED AFTER THE FIRM RECEIVED FUNDS IN CONNECTION WITH A PRIVATE PLACEMENT. THE FIRM ERRONEOUSLY FAILED TO INCLUDE CERTAIN LEGAL FEES DESCRIBED ABOVE IN ITS NET CAPITAL CALCULATIONS AND ITS NET CAPITAL WAS STILL BELOW THE REQUIRED MINIMUM. THE FIRM FILED AN AMENDED NOTIFICATION WITH THE SEC AND FINRA STATING NET CAPITAL DEFICIENCIES HAD NOT ENDED. HOWEVER, THE FIRM INACCURATELY RECORDED CERTAIN CREDITS ATTRIBUTABLE TO RENT AND SOFTWARE INVOICES AS DEBITS. THEREFORE, THE AMENDED NOTIFICATION WAS ALSO INACCURATE, AND THE FIRM'S NET CAPITAL ACTUALLY REMAINED BELOW THE REQUIRED MINIMUM. THE FINDINGS ALSO INCLUDED THAT THIRD SEVEN CAPITAL LLC FAILED TO MAINTAIN ACCURATE BOOKS AND RECORDS CONCERNING ITS AGGREGATE INDEBTEDNESS AND NET CAPITAL. IN ADDITION, THE FIRM FILED A FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE (FOCUS) REPORT FOR THE FOURTH QUARTER OF 2019 THAT INACCURATELY STATED THE AMOUNT OF THE FIRM'S NET CAPITAL DEFICIENCY.
Initiated By:	FINRA
Date Initiated:	01/03/2022
Docket/Case Number:	2020065094701
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	01/03/2022

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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:	THE FIRM WAS CENSURED AND FINED $10,000. FINE PAID IN FULL ON JANUARY 18, 2022.

Reporting Source:	Firm
Current Status:	Final
Allegations:	BETWEEN DECEMBER 31, 2019, AND MARCH 1, 2020, TSC CONDUCTED A SECURITIES BUSINESS WHILE IT FAILED TO MAINTAIN THE REQUIRED NET CAPITAL REQUIREMENT.
Initiated By:	FINRA
Date Initiated:	01/03/2022
Docket/Case Number:	2020065094701
Principal Product Type:	Other
Other Product Type(s):	NOT PRODUCT RELATED
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	01/03/2022
Sanctions Ordered:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
Sanction Details:	FINE PAID IN THE AMOUNT OF $10000
Firm Statement	TSC DID NOT ADMIT OR DENY THE ALLEGATIONS AND IS PLEASED TO HAVE RESOLVED THESE LEGACY ISSUES THAT, AS ALLEGED, AROSE

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BETWEEN 12/31/19 AND 3/1/20.

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End of Report

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