

BrokerCheck Report

LAMPE CAPITAL NORTH AMERICA LLC

CRD# 160477

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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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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)

**LAMPE CAPITAL NORTH AMERICA
LLC**

CRD# 160477

SEC# 8-69034

Main Office Location712 FIFTH AVENUE
28TH FLOOR
NEW YORK, NY 10019**Mailing Address**712 FIFTH AVENUE
28TH FLOOR
NEW YORK, NY 10019**Business Telephone Number**

(212) 218-7400

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 02/10/2011.

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 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: 01/24/2020

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



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in New York on 02/10/2011.

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.

LAMPE CAPITAL NORTH AMERICA LLC

Doing business as LAMPE CAPITAL NORTH AMERICA LLC

CRD# 160477

SEC# 8-69034

Main Office Location

712 FIFTH AVENUE
28TH FLOOR
NEW YORK, NY 10019

Mailing Address

712 FIFTH AVENUE
28TH FLOOR
NEW YORK, NY 10019

Business Telephone Number

(212) 218-7400



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): LAMPE VERWALTUNGS-GMBH

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

Position OWNER

Position Start Date 05/2016

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): HALLGREN, PER ANDERS CHRISTER

5229632

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

Position CEO

Position Start Date 10/2018

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): IGNALL, EVAN TODD

2039007

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

Position CCO

Position Start Date 02/2013

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): MATTERA, RICHARD JOSEPH
2246513

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

Position FINOP

Position Start Date 07/2014

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

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any):	BANKHAUS LAMPE KG
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	LAMPE VERWALTUNGS-GMBH
Relationship to Direct Owner	OWNER
Relationship Established	05/2016
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

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 12/10/2012 to 03/24/2020.



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 4 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Non-exchange member arranging for transactions in listed securities by exchange member

Private placements of securities

Other - THE FIRM WILL ENGAGE IN ACTIVITIES PURSUANT TO SEC RULE 15A-6, INCLUDING CHAPERONING OF FOREIGN INDIVIDUALS; AND THE DISTRIBUTION OF RESEARCH. THE FIRM WILL ALSO ENGAGE IN MERGERS AND ACQUISITIONS, RELATED ADVISORY SERVICES AND WILL CONDUCT FOREIGN PRIVATE PLACEMENTS INVOLVING FOREIGN FINANCIAL INTERMEDIARIES.

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 not refer or introduce customers to other brokers and dealers.

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.

LAMPE ASSET MANAGEMENT GMBH is under common control with the firm.

Business Address:	JAGERHOFSTR 10 40479 DUSSELDORF, GERMANY
Effective Date:	05/01/2016
Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	LAMPE ASSET MANAGEMENT GMBH AND LAMPE CAPITAL NORTH AMERICA LLC ARE UNDER THE COMMON OWNERSHIP AND CONTROL OF THE SAME ULTIMATE PARENT COMPANY BANKHAUS LAMPE KG (GERMANY).

LAMPE PRIVATINVEST MANAGEMENT GMBH is under common control with the firm.

Business Address:	SPEERSORT 10 20095 HAMBURG, GERMANY
Effective Date:	05/01/2016
Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	LAMPE PRIVATINVEST MANAGEMENT GMBH AND LAMPE CAPITAL NORTH AMERICA LLC ARE UNDER THE COMMON OWNERSHIP AND CONTROL OF THE SAME ULTIMATE PARENT COMPANY BANKHAUS LAMPE KG (GERMANY).

Firm Operations



Organization Affiliates (continued)

LAMPE INVESTMENT MANAGEMENT GMBH is under common control with the firm.

Business Address:	SPEERSORT 10 20095 HAMBURG, GERMANY
Effective Date:	05/01/2016
Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	LAMPE INVESTMENT MANAGEMENT GMBH AND LAMPE CAPITAL NORTH AMERICA LLC ARE UNDER THE COMMON OWNERSHIP AND CONTROL OF THE SAME ULTIMATE PARENT COMPANY BANKHAUS LAMPE KG (GERMANY).

UNIVERSAL-INVESTMENT-GESELLSCHAFT MBH is under common control with the firm.

Business Address:	THEODOR-HEUSS-ALLE 70 60486 FRANKFURT, GERMANY
Effective Date:	05/01/2016
Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNIVERSAL-INVESTMENT-GESELLSCHAFT MBH AND LAMPE CAPITAL NORTH AMERICA LLC ARE UNDER THE COMMON OWNERSHIP AND CONTROL OF THE SAME ULTIMATE PARENT COMPANY BANKHAUS LAMPE KG (GERMANY).

DALE INVESTMENT ADVISORS GMBH is under common control with the firm.

Business Address:	WOLLZEILE 16 1010 WIEN VIENNA, AUSTRIA
Effective Date:	05/01/2016
Foreign Entity:	Yes

Firm Operations



Organization Affiliates (continued)

Country:	AUSTRIA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	DALE INVESTMENT ADVISORS GMBH AND LAMPE CAPITAL NORTH AMERICA LLC ARE UNDER THE COMMON OWNERSHIP AND CONTROL OF THE SAME ULTIMATE PARENT COMPANY BANKHAUS LAMPE KG (GERMANY).

LAMPE CAPITAL UK (SERVICES) LIMITED is under common control with the firm.

Business Address:	2 SAVILE ROW LONDON, ENGLAND
Effective Date:	05/01/2016
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	LAMPE CAPITAL UK (SERVICES) LIMITED AND LAMPE CAPITAL NORTH AMERICA LLC ARE UNDER THE COMMON OWNERSHIP AND CONTROL OF THE SAME DIRECT PARENT COMPANY LAMPE VERWALTUNGS GMBH, AND OF THE SAME ULTIMATE PARENT COMPANY BANKHAUS LAMPE KG (GERMANY).

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

BANKHAUS LAMPE KG is a Foreign Bank and controls the firm.

Business Address:	ALTER MARKT 3 BIELEFELD, NORDRHEIN-WESTFAHLEN, GERMANY 33602
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Firm Operations



Organization Affiliates (continued)

Effective Date: 07/01/1949

Description: BANKHAUS LAMPE KG IS THE 100% INDIRECT OWNER OF THE FIRM.
BANKHAUS LAMPE KG OWNS 100% OF THE FIRMS DIRECT OWNER LAMPE
VERWALTUNGS-GMBH

End of Report



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