

BrokerCheck Report

GLICKENHAUS & CO.

CRD# 2016

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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)



SEC# 8-9614

546 FIFTH AVENUE
7TH FLOOR
NEW YORK, NY 10036-5000

546 FIFTH AVENUE
7TH FLOOR
NEW YORK, NY 10036-5000

212 953-7800

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Its fiscal year ends in September.

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.

This brokerage firm is no longer registered with FINRA or a national securities exchange.

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.

The following types of disclosures have been reported:

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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: 02/04/2013

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



Firm Profile

This firm is classified as a partnership.

This firm was formed in New York on 03/14/1961.

Its fiscal year ends in September.

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.

GLICKENHAUS & CO.

Doing business as GLICKENHAUS & CO.

CRD# 2016

SEC# 8-9614

Main Office Location

546 FIFTH AVENUE
7TH FLOOR
NEW YORK, NY 10036-5000

Mailing Address

546 FIFTH AVENUE
7TH FLOOR
NEW YORK, NY 10036-5000

Business Telephone Number

212 953-7800



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):	GLICKENHAUS, JAMES MORRIS 1473860
Is this a domestic or foreign entity or an individual?	Individual
Position	TRUSTEE - SARAH GLICKENHAUS 4 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001
Position Start Date	07/1997
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GLICKENHAUS, JAMES MORRIS 1473860
Is this a domestic or foreign entity or an individual?	Individual
Position	TRUSTEE - SETH GLICKENHAUS 4 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001
Position Start Date	07/1997
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	PIER, NANCY GLICKENHAUS 1473859
Is this a domestic or foreign entity or an individual?	Individual

Firm Profile



Direct Owners and Executive Officers (continued)

Position TRUSTEE - SARAH GLICKENHAUS 5 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001

Position Start Date 04/1974

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position SARAH GLICKENHAUS 2010 GRAT

Position Start Date 04/1974

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position TRUSTEE - SARAH GLICKENHAUS 3 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001

Position Start Date 04/1974

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Firm Profile



Direct Owners and Executive Officers (continued)

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position LIMITED PARTNER

Position Start Date 04/1974

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position TRUSTEE - SARAH GLICKENHAUS 4 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001

Position Start Date 04/1974

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Firm Profile



Direct Owners and Executive Officers (continued)

Position TRUSTEE - SETH GLICKENHAUS 2010 GRAT

Position Start Date 04/1974

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position TRUSTEE - SETH GLICKENHAUS 3 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001

Position Start Date 04/1974

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position TRUSTEE - SETH GLICKENHAUS 4 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001

Position Start Date 04/1974

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No



Firm Profile

Direct Owners and Executive Officers (continued)

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position TRUSTEE - SETH GLICKENHAUS 5 YR. GRANTOR RETAINED ANNUITY TRUST

Position Start Date 04/1974

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): SARAH GLICKENHAUS 4 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001

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

Position LIMITED PARTNER

Position Start Date 03/2001

Percentage of Ownership 10% but less than 25%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): GLICKENHAUS, JAMES MORRIS
1473860

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

Position TRUSTEE - SETH GLICKENHAUS 2007 GRAT

Firm Profile



Direct Owners and Executive Officers (continued)

Position Start Date	07/1997
Percentage of Ownership	5% but less than 10%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GLICKENHAUS, JAMES MORRIS 1473860
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Is this a domestic or foreign entity or an individual?	Individual
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Position	TRUSTEE - SARAH GLICKENHAUS 2012 GRAT
Position Start Date	04/2012
Percentage of Ownership	5% but less than 10%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GLICKENHAUS, JAMES MORRIS 1473860
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Is this a domestic or foreign entity or an individual?	Individual
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Position	TRUSTEE - SARAH GLICKENHAUS 2007 GRAT
Position Start Date	07/1997
Percentage of Ownership	5% but less than 10%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm Profile



Direct Owners and Executive Officers (continued)

Legal Name & CRD# (if any): GLICKENHAUS, SARAH BRODY
1473858

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

Position LIMITED PARTNER

Position Start Date 03/2001

Percentage of Ownership 5% but less than 10%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): GLICKENHAUS, SETH MORTON
223097

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

Position GENERAL PARTNER

Position Start Date 02/1961

Percentage of Ownership 5% but less than 10%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position TRUSTEE - SARAH GLICKENHAUS 2012 GRAT

Position Start Date 04/2012

Percentage of Ownership 5% but less than 10%

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

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position TRUSTEE - SETH GLICKENHAUS 2007 GRAT

Position Start Date 04/1974

Percentage of Ownership 5% but less than 10%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position TRUSTEE - SARAH GLICKENHAUS 2007 GRAT

Position Start Date 04/1974

Percentage of Ownership 5% but less than 10%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): SARAH GLICKENHAUS 2007 GRAT

Firm Profile



Direct Owners and Executive Officers (continued)

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

Position LIMITED PARTNER

Position Start Date 10/2007

Percentage of Ownership 5% but less than 10%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): SARAH GLICKENHAUS 2010 GRAT

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

Position LIMITED PARTNER

Position Start Date 07/2010

Percentage of Ownership 5% but less than 10%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): SARAH GLICKENHAUS 2012 GRAT

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

Position LIMITED PARTNER

Position Start Date 04/2012

Percentage of Ownership 5% but less than 10%

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



Firm Profile

Direct Owners and Executive Officers (continued)

Is this a public reporting company? No

Legal Name & CRD# (if any): SETH GLICKENHAUS 2007 GRAT

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

Position LIMITED PARTNER

Position Start Date 10/2007

Percentage of Ownership 5% but less than 10%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): SETH GLICKENHAUS 2010 GRAT

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

Position LIMITED PARTNER

Position Start Date 07/2010

Percentage of Ownership 5% but less than 10%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): SETH GLICKENHAUS 4 YR. GRANTOR RETAINED ANNUITY TRUST, DTD 3/1/2001

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

Position LIMITED PARTNER

Position Start Date 03/2001

Percentage of Ownership 5% but less than 10%



Firm Profile

Direct Owners and Executive Officers (continued)

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

Is this a public reporting company? No

Legal Name & CRD# (if any): ANDERSON-GAUSTEN, LINDA CHRISTI
713783

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

Position CHIEF COMPLIANCE OFFICER, SROP & CROP

Position Start Date 08/1997

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): GLICKENHAUS, JAMES MORRIS
1473860

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

Position TRUSTEE - SETH GLICKENHAUS 5 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001

Position Start Date 07/1997

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): GLICKENHAUS, JAMES MORRIS

Firm Profile



Direct Owners and Executive Officers (continued)

	1473860
Is this a domestic or foreign entity or an individual?	Individual
Position	TRUSTEE - SARAH GLICKENHAUS 2010 GRAT
Position Start Date	07/1997
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
<hr/>	
Legal Name & CRD# (if any):	GLICKENHAUS, JAMES MORRIS 1473860
Is this a domestic or foreign entity or an individual?	Individual
Position	GENERAL PARTNER
Position Start Date	07/1997
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
<hr/>	
Legal Name & CRD# (if any):	GLICKENHAUS, JAMES MORRIS 1473860
Is this a domestic or foreign entity or an individual?	Individual
Position	TRUSTEE - SARAH GLICKENHAUS 3 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001
Position Start Date	07/1997
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

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

Is this a public reporting company? No

Legal Name & CRD# (if any): GLICKENHAUS, JAMES MORRIS
1473860

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

Position TRUSTEE - SARAH GLICKENHAUS 5 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001

Position Start Date 07/1997

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): GLICKENHAUS, JAMES MORRIS
1473860

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

Position TRUSTEE - SETH GLICKENHAUS 2010 GRAT

Position Start Date 07/1997

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): GLICKENHAUS, JAMES MORRIS

Firm Profile



Direct Owners and Executive Officers (continued)

	1473860
Is this a domestic or foreign entity or an individual?	Individual
Position	TRUSTEE - SETH GLICKENHAUS 3 YR. GRANTOR RETAINED ANNUITY TRUST DTD 3/1/2001
Position Start Date	07/1997
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):	GLICKENHAUS, JAMES MORRIS 1473860
Is this a domestic or foreign entity or an individual?	Individual
Position	TRUSTEE - SETH GLICKENHAUS 2012 GRAT
Position Start Date	04/2012
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):	GREEN, STEVEN BRUCE 835437
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, CFO
Position Start Date	01/1983
Percentage of Ownership	Less than 5%

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

Legal Name & CRD# (if any): PIER, NANCY GLICKENHAUS
1473859

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

Position TRUSTEE - SETH GLICKENHAUS 2012 GRAT

Position Start Date 04/2012

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): SARAH GLICKENHAUS 3 YR. GRANTOR RETAINED ANNUITY TRUST DTD
3/1/2001

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

Position LIMITED PARTNER

Position Start Date 03/2001

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): SARAH GLICKENHAUS 5 YR. GRANTOR RETAINED ANNUITY TRUST DTD
3/1/2001



Firm Profile

Direct Owners and Executive Officers (continued)

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

Position LIMITED PARTNER

Position Start Date 03/2001

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): SETH GLICKENHAUS 2012 GRAT

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

Position LIMITED PARTNER

Position Start Date 04/2012

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): SETH GLICKENHAUS 3 YR. GRANTOR ANNUITY TRUST, DTD 3/1/2001

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

Position LIMITED PARTNER

Position Start Date 03/2001

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



Direct Owners and Executive Officers (continued)
company?

Legal Name & CRD# (if any):	SETH GLICKENHAUS 5 YR. GRANTOR RETAINED ANNUITY TRUST, DTD 3/1/2001
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	LIMITED PARTNER
Position Start Date	03/2001
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 03/07/1961 to 04/05/2013.

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 3 types of businesses.

Types of Business

U S. government securities dealer
Investment advisory services
Trading securities for own account

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:	J.P. MORGAN CLEARING CORP.
CRD #:	28432
Business Address:	THREE CHASE METROTECH CENTER BROOKLYN, NY 11245
Effective Date:	05/11/2011
Description:	REGISTRANT INTRODUCES COSTUMERS ON A FULLY DISCLOSED BASIS TO JP MORGAN.

Firm Operations

Industry Arrangements



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

Name: J.P. MORGAN CLEARING CORP.
CRD #: 28432
Business Address: THREE CHASE METROTECH CENTER
BROOKLYN, NY 11245
Effective Date: 05/11/2011
Description: REGISTRANT INTRODUCES CUSTOMERS ON A FULLY DISCLOSED BASIS TO JP MORGAN. THEY MAINTAIN RECORDS OF THE STATUS OF EACH CUSTOMER'S ACCOUNT, INCLUDING ITS STATUS OF FOR MARGIN PURPOSES.

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

Name: J.P. MORGAN CLEARING CORP.
CRD #: 28432
Business Address: THREE CHASE METROTECH CENTER
BROOKLYN, NY 11245
Effective Date: 05/11/2011
Description: JP MORGAN HOLDS AND MAINTAINS ALL CUSTOMER ACCOUNTS.

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

Name: J.P. MORGAN CLEARING CORP.
CRD #: 28432
Business Address: THREE CHASE METROTECH CENTER
BROOKLYN, NY 11245
Effective Date: 05/11/2011
Description: POSITIONS OF REGISTRANT'S CUSTOMERS ARE USUALLY HELD BY THE CLEARING BROKER, EXCEPT WHEN SECURITIES ARE TRANSFERRED FOR LOAN COLLATERAL.

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 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



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	7	0
Arbitration	N/A	1	N/A



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 7

Reporting Source: Regulator

Current Status: Final



Allegations: NASD RULES 2110, 3010, 6955(A) - RESPONDENT MEMBER FAILED TO TIMELY REPORT TO OATS REPORTABLE ORDER EVENTS; FIRM' SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH RESPECT TO THE APPLICABLE SECURITIES LAWS AND REGULATIONS, AND THE RULES OF NAS CONCERNING OATS.

Initiated By: NASD

Date Initiated: 05/19/2005

Docket/Case Number: CLG050060

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: 05/19/2005

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 \$8,000.00

Other Sanctions Ordered: UNDERTAKING: TO REVISE WITHIN 30 BUSINESS DAYS OF ACCEPTANCE OF THIS AWC THE FIRM'S WRITTEN SUPERVISORY PROCEDURES WITH RESPECT TO THE APPLICABLE SECURITIES LAWS AND REGULATIONS, AND THE RULES OF NASD CONCERNING OATS.

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, GLIC CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE THE FIRM IS CENSURED AND FINED \$8,000.

Reporting Source: Firm

Current Status: Final

Allegations: 1. GLICKENHAUS & CO. FAILED TO TIMELY REPORT TO OATS 11% OF ALL



REPORTABLE ORDER EVENTS DURING THE REVIEW PERIOD OF JANUARY 1 TO MARCH 31, 2004.

2. THE FIRM DID NOT HAVE ADEQUATE WRITTEN SUPERVISORY PROCEDURES IN PLACE WHICH WERE DESIGNED TO ENSURE COMPLIANCE WITH THE NASD'S RULES REGARDING OATS REPORTING AT THE TIME OF THE REVIEW.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Date Initiated: 03/24/2005

Docket/Case Number: CLG050060

Principal Product Type: Equity - OTC

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/19/2005

Sanctions Ordered: Monetary/Fine \$8,000.00

Other Sanctions Ordered: CENSURE AND UNDERTAKING

Sanction Details: FINE: \$8000.00 AGAINST APPLICANT, PAID ON 6/6/05.

Firm Statement GLICKENHAUS & CO. HAS AN OUTSIDE VENDOR HANDLE THE OATS REPORTING OF THE FIRM'S TRADES. DURING THE REVIEW PERIOD, THE UNTIMELY REPORTING INVOLVED FOUR DAYS WHERE THE VENDOR HAD COMPUTER PROBLEMS DUE TO A CHANGE IN SOFTWARE. CORRECTIVE ACTION WAS TAKEN AND THE FIRM'S PROCEDURES WERE REVISED TO ENSURE THAT THIS DOES NOT HAPPEN AGAIN.

Disclosure 2 of 7

Reporting Source: Regulator

Current Status: Final

Allegations: 05-17-00, NASD RULES 2110 AND 6130(B) - RESPONDENT MEMBER FAILED TO ACCEPT OR DECLINE IN ACT TRANSACTIONS IN ELIGIBLE SECURITIES WITHIN 20 MINUTES AFTER EXECUTION.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.



Date Initiated: 04/18/2000
Docket/Case Number: CMS000067
Principal Product Type: Other
Other Product Type(s):
Principal Sanction(s)/Relief Sought:
Other Sanction(s)/Relief Sought:
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 04/18/2000
Sanctions Ordered: Monetary/Fine \$5,000.00
Other Sanctions Ordered:
Sanction Details: FINED \$5,000

Reporting Source: Firm
Current Status: Final
Allegations: FAILURE TO ACCEPT OR DECLINE IN ACT, 98 TRANSACTIONS THAT THE FIRM WAS REQUIRED TO ACCEPT OR DECLINE, WITHIN THE PRESCRIBED TWENTY MINUTES AFTER EXECUTION,VIOATING NASD MARKETPLACE RULE 6130(B) AND NASD CONDUCT RULE 2110.
Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS
Date Initiated: 12/03/1999
Docket/Case Number: CMS000067AWC
Principal Product Type: Equity - OTC
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 04/18/2000



Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: A MONETARY FINE OF \$5,000 WAS ORDERED.

Disclosure 3 of 7

Reporting Source: Regulator

Current Status: Final

Allegations: DEFENDANT BROKER-DEALER FAILED TO FILE ITS AUDITED FINANCIAL STATEMENTS IN ACCORDANCE WITH SECTION 13.1-518.1 OF THE VIRGINIA SECURITIES ACT FOR THE THIRD YEAR.

Initiated By: VIRGINIA - STATE CORPORATION COMMISSION
DIVISION OF SECURITIES

Date Initiated: 11/18/1994

Docket/Case Number: SEC940122

URL for Regulatory Action:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 11/18/1994

Sanctions Ordered: Monetary/Fine \$1,500.00
Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS DEFENDANT AGREED TO BE PERMANENTLY ENJOINED FROM ANY CONDUCT WHICH WOULD CONSTITUTE A VIOLATION OF SECTION 13.1-518.1 OF THE VIRGINIA SECURITIES ACT AS LONG AS IT IS REGISTERED AND TO PAY A PENALTY OF \$1,500.00.

Regulator Statement CONTACT: RHEA SHELTON, CHIEF OF REGISTRATION,
804-371-9610.



Reporting Source: Firm

Current Status: Final

Allegations: FAILURE TO FILE AUDITED FINANCIAL REPORT IN ACCORDANCE WITH SECTION 13.1-518.1 OF THE VIRGINIA SECURITIES ACT.

Initiated By: VIRGINIA - STATE CORPORTION COMMISSION, DIVISION OF SECURITIES

Date Initiated: 11/18/1994

Docket/Case Number: SEC940122

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Other

Resolution Date: 11/18/1994

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered:

Sanction Details: A MONETARY FINE OF \$1,500 WAS PAID.

Disclosure 4 of 7

Reporting Source: Regulator

Current Status: Final

Allegations: IT IS ALLEGED THE BROKER-DEALER FAILED TO FILE ITS ANNUAL AUDITED FINANCIAL STATEMENT WITH THE DIVISION IN THE TIME PERIOD REQUIRED BY VA CODE SECTION 13.1-518.1 FOR THE SECOND YEAR.

Initiated By: VIRGINIA STATE CORPORATION COMMISSION
DIVISION OF S*See FAQ #1*

Date Initiated: 07/02/1993

Docket/Case Number: SEC930059

URL for Regulatory Action:



Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 07/02/1993

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: AS AN OFFER TO SETTLE THE MATTERS, THE BD AGREED TO REFRAIN FROM ANY FUTURE CONDUCT WHICH VIOLATES 13.1-518.1 AND AGREED TO PAY A PENALTY IN THE AMOUNT OF \$500.00

Regulator Statement THE BROKER-DEALER'S OFFER OF SETTLEMENT IS ACCEPTED AND THE SUM OF \$500 TENDERED WITH THE ORDER IS ACCEPTED. THE MATTER IS DISMISSED. CONTACT: SHERYL D. MANSPILE, SENIOR EXAMINER, (804) 371-9753.

Reporting Source: Firm

Current Status: Final

Allegations: FAILURE TO FILE ANNUAL AUDITED FINANCIAL REPORTS WITH THE DIVISION IN THE TIME PERIOD REQUIRED BY THE VA CODE, SECTION 13.1-518.1.

Initiated By: VIRGINIA STATE CORPORTION COMMISSION, DIVISION OF SECURITIES

Date Initiated: 07/02/1993

Docket/Case Number: SEC930059

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Settled



Resolution Date: 07/02/1993

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: A MONETARY FINE OF \$500 WAS PAID AND ACCEPTED, AND THE MATTER WAS DISMISSED.

Disclosure 5 of 7

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: ILLINOIS

Date Initiated: 06/08/1989

Docket/Case Number: H8900592

URL for Regulatory Action:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 07/05/1989

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement 6/21/89: FORM U6 (8035-16489) DISCLOSES: A NOTICE OF HEARING WAS ISSUE ALLEGING RESPONDENT GLICKENHAUS & CO. FAILED TO TIMELY FILE A REPORT OF FINANCIAL CONDITION. AUTHORITY: SECTION 8 AND 11 OF THE ILLINOIS SECURITIES LAW OF 1953, AS AMENDED AND RULE 130.824. DOCKET/CASE #H8900592, DATED JUNE 8, 1989

*** 7/24/89-AMENDED FORM U6 (8058-19589) DISCLOSES: BY MEANS OF STIPULATION, ILLINOIS HAS ENTERED A CONSENT ORDER AGAINST



RESPONDENT. FINDINGS OF FACT AND CONCLUSIONS OF LAW ARE THAT RESPONDENT FAILED TO TIMELY FILE A REQUIRED FINANCIAL DOCUMENT WITH THE SECRETARY OF STATE THEREBY VIOLATING SECTION 12.D OF THE ILLINOIS SECURITIES LAW OF 1953, AS AMENDED. AN ADMINISTRATIVE FINE OF \$500 HAS BEEN ASSESSED. DOCKET/CASE NO. H8900592, DATED JULY 5, 1989.

Reporting Source: Firm

Current Status: Final

Allegations: FAILURE TO FILE FINANCIAL REPORTS IN A TIMELY MANNER.

Initiated By: STATE OF ILLINOIS

Date Initiated: 06/08/1989

Docket/Case Number: H89005292

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Stipulation and Consent

Resolution Date: 07/05/1989

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: A MONETARY FINE OF \$500 WAS PAID.

Disclosure 6 of 7

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 04/23/1987

Docket/Case Number: MS-520-AWC



Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 06/16/1987

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement MARKET SURVEILLANCE COMMITTEE COMPLAINT #MS-520-AWC:

LETTER OF ACCEPTANCE WAIVER AND CONSENT (AWC) FILED APRIL 23, 1987, ALLEGING VIOLATIONS OF PART I, SECTION C.3.(c) OF SCHEDULE D IN THAT RESPONDENT FAILED TO REPORT ITS NASDAQ VOLUME. THE AWC WAS ACCEPTED BY THE MARKET SURVEILLANCE COMMITTEE ON MARCH 19, 1987 AND BY THE NATIONAL BUSINESS CONDUCT COMMITTEE ON JUNE 16, 1987.

***** NFC #245 - \$500 FINE PAID 5/6/87 *****

Reporting Source: Firm

Current Status: Final

Allegations: FAILURE TO REPORT NASDAQ VOLUME.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Date Initiated: 04/23/1987

Docket/Case Number: MS-520-AWC

Principal Product Type: Equity - OTC

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)


Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 04/23/1987

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: A MONETARY FINE OF \$500 WAS PAID

Disclosure 7 of 7

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 01/27/1986

Docket/Case Number: MS-224-AWC

Principal Product Type:
Other Product Type(s):
Principal Sanction(s)/Relief Sought:
Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 05/19/1986

Sanctions Ordered: Monetary/Fine \$250.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement 6/23/86: MARKET SURVEILLANCE COMMITTEE COMPLAINT #MS-224-AWC FILED 1/27/86: LETTER OF ACCEPTANCE, WAIVER AND CONSENT ISSUED ON JANUARY 27, 1986 ALLEGING VIOLATIONS OF PART I, SECTION C.3.(c) OF SCHEDULE D OF THE ASSOCIATION'S BY-LAWS IN THAT RESPONDENT (GLICKENHAUS & COMPANY) FAILED TO REPORT ITS NASDAQ



VOLUME ON 7/31/85, 10/2/85 AND 11/27/85. THE AWC WAS ACCEPTED BY THE MARKET SURVEILLANCE COMMITTEE ON 4/7/86 AND BY THE NATIONAL BUSINESS CONDUCT COMMITTEE ON 5/19/86. \$250 FINE RECEIVED 2/18/86 ***2/20/86, NFC# 82, PAID IN FULL.

Reporting Source:	Firm
Current Status:	Final
Allegations:	FAILURE TO REPORT NASDAQ VOLUME.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	01/27/1986
Docket/Case Number:	MS-22-AWC
Principal Product Type:	Equity - OTC
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/19/1986
Sanctions Ordered:	Monetary/Fine \$250.00
Other Sanctions Ordered:	
Sanction Details:	A MONETARY FINE OF \$250 WAS PAID.



Arbitration Award - Award / Judgment

Brokerage firms are not required to report arbitration claims filed against them by customers; however, BrokerCheck provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and registered securities firms in this section of the report.

The full text of arbitration awards issued by FINRA is available at www.finra.org/awardsonline.

Disclosure 1 of 1

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-SUITABILITY; NO OTHER CONTROVERSY INVOLVED
Arbitration Forum:	NASD
Case Initiated:	12/13/1990
Case Number:	90-03235
Disputed Product Type:	CORPORATE BONDS; NO OTHER TYPE OF SEC INVOLVE
Sum of All Relief Requested:	\$200,000.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	01/15/1992
Sum of All Relief Awarded:	\$188,858.20

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

End of Report



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