

BrokerCheck Report

AMUNDI DISTRIBUTOR US, INC.

CRD# 24497

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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.

• **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.



AMUNDI DISTRIBUTOR US, INC.
CRD# 24497
SEC# 8-41256

Main Office Location
60 STATE STREET
BOSTON, MA 02109-1820

Mailing Address
60 STATE STREET
BOSTON, MA 02109-1820

Business Telephone Number
800-821-1239

Report Summary for this Firm

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

Firm Profile

This firm is classified as a corporation.
This firm was formed in Massachusetts on 03/02/1989.
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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

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: 06/27/2025

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



Firm Profile

This firm is classified as a corporation.

This firm was formed in Massachusetts on 03/02/1989.

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.

AMUNDI DISTRIBUTOR US, INC.

Doing business as AMUNDI DISTRIBUTOR US, INC.

CRD# 24497

SEC# 8-41256

Main Office Location

60 STATE STREET
BOSTON, MA 02109-1820

Mailing Address

60 STATE STREET
BOSTON, MA 02109-1820

Business Telephone Number

800-821-1239



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): AMUNDI US, INC.

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

Position OWNER

Position Start Date 01/2021

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): LICATA, DANIELE

7010418

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

Position CHIEF FINANCIAL OFFICER

Position Start Date 04/2025

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): MATHES, CHARLES B

5980160

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

Position PRESIDENT, CHIEF COMPLIANCE OFFICER

Position Start Date 04/2025

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
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Does this owner direct the management or policies of the firm?	Yes
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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):	AMUNDI HOLDINGS US, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AMUNDI US, INC.
Relationship to Direct Owner	OWNER
Relationship Established	07/2017
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
<hr/>	
Legal Name & CRD# (if any):	VICTORY CAPITAL HOLDINGS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AMUNDI HOLDINGS US, INC.
Relationship to Direct Owner	SOLE SHAREHOLDER
Relationship Established	04/2025
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

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 05/05/1989 to 08/25/2025.



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

Mutual fund underwriter or sponsor

Private placements of securities

Other - MARKETING OF FOREIGN COLLECTIVE INVESTMENT PRODUCTS THROUGH INTERMEDIARIES TO THEIR FOREIGN INVESTORS. THESE SECURITIES ARE ISSUED BY INVESTMENT COMPANIES AUTHORIZED AS UNDERTAKINGS FOR COLLECTIVE INVESTMENT IN TRANSFERABLE SECURITIES ("UCITS"), AS WELL AS OTHER NON-UCITS COLLECTIVE INVESTMENT PRODUCTS NOT REGISTERED FOR SALE IN THE U.S.

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 have books or records maintained by a third party.

Name:	VICTORY CAPITAL MANAGEMENT INC.
CRD #:	106189
Business Address:	15935 LA CANTERA PARKWAY SAN ANTONIO, TX 78256
Effective Date:	04/01/2025
Description:	VICTORY CAPITAL MANAGEMENT INC. KEEP CERTAIN BOOKS AND RECORDS OF AMUNDI DISTRIBUTOR US, INC.
Name:	BUSINESS INFORMATION GROUP
Business Address:	251 VETERANS WAY WARMINSTER, PA 18974
Effective Date:	01/03/2021
Description:	FINGERPRINTING SERVICES (CAPTURE, SUBMISSION, RECORDKEEPING)
Name:	4U PLATFORM, LLC
Business Address:	613 TALCOTT AVENUE LEMONT, IL 60439
Effective Date:	06/01/2021
Description:	SYSTEM FOR THE SUBMISSION, REVIEW AND APPROVAL OF PRODUCT AND MARKETING MATERIAL TO PROVIDE TO FINANCIAL ADVISORS.
Name:	HANZO ARCHIVES LTD.
Business Address:	77 WATER STREET NEW YORK, NY 10005
Effective Date:	07/02/2019
Description:	WEBSITE ARCHIVING SERVICES.
Name:	ORION COMPLIANCE (F/K/A BASISCODE COMPLIANCE)
Business Address:	3330 CUMBERLAND BOULEVARD, SUITE 500 ATLANTA, GA 30339
Effective Date:	09/30/2018
Description:	COMPLIANCE SOLUTIONS PLATFORM (GIFT AND ENTERTAINMENT

Firm Operations



Industry Arrangements (continued)

TRACKING, POLITICAL CONTRIBUTIONS, WRITTEN SUPERVISORY POLICIES AND PROCEDURES)

Name: PAGEFREEZER

Business Address: 500-311 WATER STREET
VANCOUVER, CANADA BC V6B 1B8

Effective Date: 09/20/2018

Description: WEBSITE AND SOCIAL MEDIA ARCHIVING SERVICES.

Name: GLOBAL RELAY

Business Address: 220 CAMBIE STREET, 2ND FLOOR
VANCOUVER, CANADA V6B 2M9

Effective Date: 01/01/2018

Description: E-MAIL CORRESPONDENCE

Name: SMARSH

Business Address: 921 SW WASHINGTON STREET
PORTLAND, OR 97205

Effective Date: 12/29/2011

Description: TEXT MESSAGE CORRESPONDENCE.

Name: IRON MOUNTAIN INCORPORATED

Business Address: 745 ATLANTIC AVENUE
BOSTON, MA 02111

Effective Date: 06/06/2005

Description: MAINTENANCE AND STORAGE OF HARD COPY RECORDS.

Name: ALLEGO

Business Address: 35 HIGHLAND CIRCLE
SUITE #305
NEEDHAM, MA 02494

Effective Date: 10/01/2013

Description: VIDEO COACHING AND TRAINING TOOL.

Name: RED OAK COMPLIANCE SOLUTIONS LLC

Business Address: 1101 ARROW POINT DRIVE
STE. # 301
CEDAR PARK, TX 78613

Firm Operations



Industry Arrangements (continued)

Effective Date:	04/02/2015
Description:	ELECTRONIC ADVERTISING AND MARKETING MATERIAL RECORD KEEPING SYSTEM
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Name:	AMUNDI US, INC
Business Address:	60 STATE STREET BOSTON, MA 02109
Effective Date:	02/15/1962
Description:	AMUNDI US, INC. ("AMUNDI-US") PROVIDES ACCOUNTING AND RECORDKEEPING SERVICES FOR AMUNDI DISTRIBUTOR US, INC. (NET CAPITAL AND COMMISSION CALCULATIONS).

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.**

WESTEND ADVISORS, LLC is under common control with the firm.

CRD #:	133279
Business Address:	1001 MOREHEAD SQUARE DRIVE CHARLOTTE, NC 28203
Effective Date:	04/01/2025
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	WESTEND ADVISORS, LLC IS A WHOLLY-OWNED SUBSIDIARY OF APPLICANT'S ULTIMATE PARENT COMPANY, VICTORY CAPITAL HOLDINGS, INC.

NEC PIPELINE, LLC is under common control with the firm.

Business Address:	53 SOUTH MAIN STREET 3RD FLOOR HANOVER, NH 03755
Effective Date:	04/01/2025
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	NEC PIPELINE, LLC IS A WHOLLY-OWNED SUBSIDIARY OF VICTORY CAPITAL MANAGEMENT, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF

Firm Operations



Organization Affiliates (continued)

APPLICANT'S ULTIMATE PARENT COMPANY, VICTORY CAPITAL HOLDINGS, INC.

RS INVESTMENTS (UK) LIMITED is under common control with the firm.

Business Address: NEW BROAD STREET HOUSE, 35 NEW BROAD STREET
LONDON, UK EC2M1NH

Effective Date: 04/01/2025

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: No

Investment Advisory Activities: Yes

Description: RS INVESTMENTS (UK) LIMITED IS A WHOLLY-OWNED SUBSIDIARY OF VICTORY CAPITAL MANAGEMENT INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF APPLICANT'S ULTIMATE PARENT COMPANY, VICTORY CAPITAL HOLDINGS, INC.

VICTORY CAPITAL SERVICES, INC. is under common control with the firm.

CRD #: 37059

Business Address: 4900 TIEDEMAN ROAD
4TH FLOOR
BROOKLYN, OH 44144

Effective Date: 04/01/2025

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: VICTORY CAPITAL SERVICES, INC. IS A WHOLLY-OWNED SUBSIDIARY OF APPLICANT'S ULTIMATE PARENT COMPANY, VICTORY CAPITAL HOLDINGS, INC.

RS INVESTMENT MANAGEMENT (SINGAPORE) PTE. LTD. is under common control with the firm.

Business Address: 50 COLLYER QUAY, #05-08, OUE
BAYFRONT, SINGAPORE 049321

Firm Operations



Organization Affiliates (continued)

Effective Date: 04/01/2025

Foreign Entity: Yes

Country: SINGAPORE

Securities Activities: No

Investment Advisory Activities: Yes

Description: RS INVESTMENT MANAGEMENT (SINGAPORE) PTE. LTD IS A WHOLLY-OWNED SUBSIDIARY OF VICTORY CAPITAL MANAGEMENT INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF APPLICANT'S ULTIMATE PARENT COMPANY, VICTORY CAPITAL HOLDINGS, INC.

VICTORY CAPITAL TRANSFER AGENCY, INC. is under common control with the firm.

Business Address: 15935 LA CANTERA PARKWAY
SAN ANTONIO, TX 78256

Effective Date: 04/01/2025

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: VICTORY CAPITAL TRANSFER AGENCY, INC. IS A WHOLLY-OWNED SUBSIDIARY OF APPLICANT'S ULTIMATE PARENT COMPANY, VICTORY CAPITAL HOLDINGS, INC.

VICTORY CAPITAL MANAGEMENT INC. is under common control with the firm.

CRD #: 106189

Business Address: 15935 LA CANTERA PARKWAY
SAN ANTONIO, TX 78256

Effective Date: 04/01/2025

Foreign Entity: No

Country:

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: VICTORY CAPITAL MANAGEMENT INC. IS A WHOLLY-OWNED SUBSIDIARY OF APPLICANT'S ULTIMATE PARENT COMPANY, VICTORY CAPITAL HOLDINGS, INC. VICTORY CAPITAL MANAGEMENT INC. IS THE INVESTMENT ADVISER TO CERTAIN FUNDS DISTRIBUTED BY APPLICANT.

AMUNDI US, INC. controls the firm.

Business Address: 60 STATE STREET
BOSTON, MA 02109

Effective Date: 10/24/2002

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: AMUNDI US, INC. OWNS 100% OF AMUNDI DISTRIBUTOR US, INC.

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	1	0

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: Firm

Current Status: Final



Allegations:	PURSUANT TO NAST LETTER OF ACCEPTANCE AND CONSENT NUMBER C11050027 DATED 6/21/2005 (THE "LETTER"), THE FIRM SUBMITTED AN ACCEPTANCE AND CONSENT, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OR FINDINGS, AND SOLELY FOR THE PURPOSES OF THAT PROCEEDING AND ANY OTHER PROCEEDING BROUGHT BY OR ON BEHALF OF NASD, OR TO WHICH NASD WAS A PARTY, PRIOR TO A HEARING AND WITHOUT AN ADJUDICATION OF ANY ISSUE OF LAW OR FACT, TO THE ENTRY OF FUNDINGS BY NASD DESCRIBED IN THE LETTER. SPECIFICALLY, AT ALL TIMES DURING THE PERIOD FROM JANUARY 30, 2004 THROUGH AUGUST 31, 2004, AS A RESULT OF THE CLASSIFICATION OF AN OVERNIGHT SWEEP ACCOUNT PRODUCT AS AN ALLOWABLE ASSET FOR PURPOSES OF CALCULATING THE NET CAPITAL REQUIREMENT, THE FIRM FAILED TO COMPLY WITH THE REQUIREMENTS OF SECTION 15C OF THE SECURITIES EXCHANGE ACT OF 1935 ("EXCHANGE ACT") AND SEC RULE 15C3-1 THEREUNDER, IN THAT IT USED THE INSTRUMENTALITIES OF INTERSTATE COMMERCE TO CONDUCT A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN MINIMUM REQUIRED NET CAPITAL IN ACCORDANCE WITH THE REQUIREMENTS OF SUCH RULES, AND VIOLATED SECTION 15 (C) OF THE EXCHANGE ACT AND RULE 15C3-1 THEREUNDER, AND NASD CONDUCT RULE 2110. THE FIRM ALSO CONSENTED TO THE IMPOSITION OF A MAXIMUM FINE IN THE AMOUNT OF \$5,000.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	09/27/2004
Docket/Case Number:	C11050027
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	ACCEPTANCE, WAIVER AND CONSENT
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	06/21/2005
Sanctions Ordered:	Monetary/Fine \$5,000.00
Other Sanctions Ordered:	N/A
Sanction Details:	THE FIRM CONSENTED TO THE IMPOSITION OF A MAXIMUM FINE IN THE AMOUNT OF \$5,000. PAYMENT SENT ON JULY 5, 2005.
Firm Statement	REFER TO PART 2, SECTION 7 ABOVE.

End of Report



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