

## BrokerCheck Report

### RESOLUTE INVESTMENT DISTRIBUTORS, INC.

CRD# 287788

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).



## RESOLUTE INVESTMENT DISTRIBUTORS, INC.

CRD# 287788

SEC# 8-69912

### Main Office Location

220 EAST LAS COLINAS BLVD. STE. 1200  
IRVING, TX 75039  
Regulated by FINRA Dallas Office

### Mailing Address

220 EAST LAS COLINAS BLVD. STE. 1200  
IRVING, TX 75039

### Business Telephone Number

817-391-6100

## 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 Delaware on 02/02/2017.

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 3 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



## Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 02/02/2017.

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.

**RESOLUTE INVESTMENT DISTRIBUTORS, INC.**

**Doing business as RESOLUTE INVESTMENT DISTRIBUTORS, INC.**

**CRD#** 287788

**SEC#** 8-69912

### Main Office Location

220 EAST LAS COLINAS BLVD. STE. 1200  
IRVING, TX 75039

**Regulated by FINRA Dallas Office**

### Mailing Address

220 EAST LAS COLINAS BLVD. STE. 1200  
IRVING, TX 75039

### Business Telephone Number

817-391-6100



## 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):** RESOLUTE INVESTMENT MANAGERS, INC.

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

**Position** SOLE SHAREHOLDER

**Position Start Date** 02/2017

**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

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**Legal Name & CRD# (if any):** MCKINNEY, TERRI LYNN

2967330

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

**Position** DIRECTOR

**Position Start Date** 05/2024

**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

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**Legal Name & CRD# (if any):** SEARS, CHRISTINA ELAINE

2708589

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

**Position** VICE PRESIDENT

**Position Start Date** 02/2017

## 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

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**Legal Name & CRD# (if any):** STUMM, GREGORY JOHN JR.  
4730753

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

**Position** PRESIDENT, DIRECTOR, AND CEO

**Position Start Date** 04/2022

**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

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**Legal Name & CRD# (if any):** WALL, STUART WESLEY  
2554023

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

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 02/2017

**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

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## Firm Profile

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

### Indirect Owners

<b>Legal Name &amp; CRD# (if any):</b>	RESOLUTE ACQUISITION, INC.
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	RESOLUTE INVESTMENT MANAGERS, INC.
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	04/2015
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	RESOLUTE TOPCO, INC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	RESOLUTE ACQUISITION, INC.
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	04/2015
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	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.







## 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	11/17/2017

### 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	11/17/2017



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/29/2018
Alaska	Approved	01/23/2018
Arizona	Approved	01/05/2018
Arkansas	Approved	01/10/2018
California	Approved	12/12/2017
Colorado	Approved	01/23/2018
Connecticut	Approved	01/02/2018
Delaware	Approved	12/22/2017
District of Columbia	Approved	01/16/2018
Florida	Approved	01/22/2018
Georgia	Approved	01/25/2018
Hawaii	Approved	01/10/2018
Idaho	Approved	01/10/2018
Illinois	Approved	02/06/2018
Indiana	Approved	02/02/2018
Iowa	Approved	01/02/2018
Kansas	Approved	02/02/2018
Kentucky	Approved	01/08/2018
Louisiana	Approved	01/08/2018
Maine	Approved	12/12/2017
Maryland	Approved	01/02/2018
Massachusetts	Approved	12/14/2017
Michigan	Approved	01/17/2017
Minnesota	Approved	01/25/2018
Mississippi	Approved	01/02/2018
Missouri	Approved	01/08/2018
Montana	Approved	01/19/2018
Nebraska	Approved	02/01/2018
Nevada	Approved	01/17/2018
New Hampshire	Approved	01/22/2018
New Jersey	Approved	01/25/2018
New Mexico	Approved	01/08/2018
New York	Approved	01/19/2018

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	01/17/2018
North Dakota	Approved	01/22/2018
Ohio	Approved	01/19/2018
Oklahoma	Approved	01/23/2018
Oregon	Approved	01/05/2018
Pennsylvania	Approved	01/10/2018
Puerto Rico	Approved	01/25/2018
Rhode Island	Approved	01/02/2018
South Carolina	Approved	01/23/2018
South Dakota	Approved	01/09/2018
Tennessee	Approved	01/11/2018
Texas	Approved	11/29/2017
Utah	Approved	01/03/2018
Vermont	Approved	01/10/2018
Virgin Islands	Approved	01/22/2018
Virginia	Approved	01/03/2018
Washington	Approved	12/12/2017
West Virginia	Approved	01/23/2018
Wisconsin	Approved	01/11/2018
Wyoming	Approved	01/19/2018



## 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 - EXCHANGE-TRADED PRODUCTS

#### 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.

**NATIONAL INVESTMENT SERVICES OF AMERICA, LLC is under common control with the firm.**

<b>CRD #:</b>	307169
<b>Business Address:</b>	777 E WISCONSIN AVENUE SUITE 2350 MILWAUKEE, WI 53202
<b>Effective Date:</b>	12/30/2019
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	RESOLUTE INVESTMENT DISTRIBUTORS, INC. AND NATIONAL INVESTMENT SERVICES OF AMERICA, LLC ARE UNDER THE COMMON CONTROL OF RESOLUTE INVESTMENT MANAGERS, INC.

**SSI INVESTMENT MANAGEMENT LLC is under common control with the firm.**

<b>CRD #:</b>	104889
<b>Business Address:</b>	9440 S SANTA MONICA BLVD. 8TH FLOOR SANTA MONICA, CA 90210
<b>Effective Date:</b>	05/31/2019
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes

## Firm Operations



### Organization Affiliates (continued)

**Description:** RESOLUTE INVESTMENT DISTRIBUTORS, INC. AND SSI INVESTMENT MANAGEMENT LLC ARE UNDER THE COMMON CONTROL OF RESOLUTE INVESTMENT MANAGERS, INC.

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**RSW INVESTMENTS is under common control with the firm.**

**CRD #:** 302023

**Business Address:** 47 MAPLE STREET  
SUITE 304  
SUMMIT, NJ 07901

**Effective Date:** 04/01/2019

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** RESOLUTE INVESTMENT DISTRIBUTORS, INC. AND RSW INVESTMENTS HOLDINGS, LLC ARE UNDER THE COMMON CONTROL OF RESOLUTE INVESTMENT MANAGERS, INC.

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**SHAPIRO CAPITAL MANAGEMENT LLC is under common control with the firm.**

**CRD #:** 105581

**Business Address:** 3060 PEACHTREE RD NW, SUITE 1555  
ATLANTA, GA 30305

**Effective Date:** 04/13/2017

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** RESOLUTE INVESTMENT DISTRIBUTORS, INC. AND SHAPIRO CAPITAL MANAGEMENT LLC ARE UNDER THE COMMON CONTROL OF RESOLUTE INVESTMENT MANAGERS, INC.

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**AMERICAN PRIVATE EQUITY MANAGEMENT, L.L.C. is under common control with the firm.**

## Firm Operations



### Organization Affiliates (continued)

<b>Business Address:</b>	220 E. LAS COLINAS BLVD., SUITE 1200 IRVING, TX 75039
<b>Effective Date:</b>	02/02/2017
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	RESOLUTE INVESTMENT DISTRIBUTORS, INC. AND AMERICAN PRIVATE EQUITY MANAGEMENT, L.L.C. ARE UNDER THE COMMON CONTROL OF RESOLUTE INVESTMENT MANAGERS, INC.

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**AMERICAN BEACON ADVISORS, INC. is under common control with the firm.**

<b>CRD #:</b>	105552
<b>Business Address:</b>	220 E. LAS COLINAS BLVD., SUITE 1200 IRVING, TX 75039
<b>Effective Date:</b>	02/02/2017
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	RESOLUTE INVESTMENT DISTRIBUTORS, INC. AND AMERICAN BEACON ADVISORS, INC. ARE UNDER THE COMMON CONTROL OF RESOLUTE INVESTMENT MANAGERS, INC.

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**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



**End of Report**



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