

## BrokerCheck Report

# CLARKSONS SECURITIES, INC

CRD# 30882

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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](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)

**CLARKSON'S SECURITIES, INC**

CRD# 30882

SEC# 8-45221

**Main Office Location**

104 WEST 40TH STREET - 12TH FLOOR  
NEW YORK, NY 10018  
Regulated by FINRA New York Office

**Mailing Address**

104 WEST 40TH STREET - 12TH FLOOR  
NEW YORK, NY 10018

**Business Telephone Number**

212-317-7092

**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 New York on 09/15/1992.

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
- 2 Self-Regulatory Organizations
- 17 U.S. states and territories

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

This firm conducts 7 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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 New York on 09/15/1992.

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.

**CLARKSONS SECURITIES, INC.**

**Doing business as CLARKSONS SECURITIES, INC**

**CRD#** 30882

**SEC#** 8-45221

### Main Office Location

104 WEST 40TH STREET - 12TH FLOOR  
NEW YORK, NY 10018

**Regulated by FINRA New York Office**

### Mailing Address

104 WEST 40TH STREET - 12TH FLOOR  
NEW YORK, NY 10018

### Business Telephone Number

212-317-7092



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	CLARKSONS SECURITIES AS
<b>Is this a domestic or foreign entity or an individual?</b>	Foreign Entity
<b>Position</b>	SOLE SHAREHOLDER
<b>Position Start Date</b>	08/2011
<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>	DEVRIES, TIMOTHY S 4852002
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CO-CEO
<b>Position Start Date</b>	07/2022
<b>Percentage of Ownership</b>	Less than 5%
<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>	FODSTAD, CHRISTIAN GJELSVIK 7726256
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	DIRECTOR
<b>Position Start Date</b>	08/2022

## Firm Profile



### Direct Owners and Executive Officers (continued)

**Percentage of Ownership** Less than 5%

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

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** HELBERG, IVAN ERIK  
6447460

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

**Position** DIRECTOR

**Position Start Date** 02/2015

**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):** HOY, SNORRE FAERDEN  
7726806

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

**Position** DIRECTOR

**Position Start Date** 08/2022

**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):** IANNACI, SALVATORE ANTHONY

## Firm Profile



### Direct Owners and Executive Officers (continued)

2778870

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

**Position** CO-CEO

**Position Start Date** 07/2022

**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

**Legal Name & CRD# (if any):** MCDONAGH, BRIAN JOSEPH

2749774

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

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 01/2023

**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):** MCDONAGH, BRIAN JOSEPH

2749774

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

**Position** CFO/FINOP

**Position Start Date** 01/2023

**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

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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):	CLARKSON PLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	CLARKSONS SECURITIES AS
Relationship to Direct Owner	SOLE OWNER
Relationship Established	02/2015
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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## 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, 2 SROs and 17 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	11/04/1992

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	12/22/1992
Cboe EDGA Exchange, Inc.	Approved	01/15/2015



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	02/04/1993
Colorado	Approved	03/21/2018
Connecticut	Approved	04/13/1993
Delaware	Approved	01/04/2012
Florida	Approved	01/01/1995
Illinois	Approved	08/29/2012
Maryland	Approved	01/02/1996
Massachusetts	Approved	11/28/2011
Minnesota	Approved	07/31/1996
New Jersey	Approved	03/25/1993
New York	Approved	01/01/1995
North Carolina	Approved	03/05/2018
Ohio	Approved	06/19/2014
Pennsylvania	Approved	02/04/2014
Texas	Approved	02/08/2012
Washington	Approved	01/28/2014
Wisconsin	Approved	07/24/2012



## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 7 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - CHAPERON U.S. ACTIVITIES OF FOREIGN BROKER-DEALERS THROUGH ARRANGEMENTS CONSISTENT WITH SEC RULE 15A-6, ENGAGE IN CORPORATE FINANCE ACTIVITIES, PREPARE AND DISTRIBUTE PROPRIETARY RESEARCH, DISTRIBUTE THIRD-PARTY RESEARCH.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

## 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.

<b>Name:</b>	PERSHING LLC
<b>CRD #:</b>	7560
<b>Business Address:</b>	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
<b>Effective Date:</b>	05/18/2011
<b>Description:</b>	APPLICANT HAS ENTERED INTO AN ARRANGEMENT WITH PERSHING TO INTRODUCE CUSTOMER ACCOUNTS TO PERSHING ON A FULLY-DISCLOSED BASIS.

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## Firm Operations

### Industry Arrangements



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

**Name:** PERSHING LLC  
**CRD #:** 7560  
**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399  
**Effective Date:** 05/18/2011  
**Description:** CERTAIN BOOKS AND RECORDS RELATING TO APPLICANT'S CUSTOMER ACCOUNTS WILL BE MAINTAINED BY APPLICANT'S CLEARING FIRM, PERSHING LLC.

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

**Name:** PERSHING LLC  
**CRD #:** 7560  
**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399  
**Effective Date:** 08/23/2011  
**Description:** APPLICANT HAS ENTERED INTO AN ARRANGEMENT WITH PERSHING TO INTRODUCE CUSTOMER ACCOUNTS TO PERSHING ON A FULLY-DISCLOSED BASIS. PURSUANT TO THIS ARRANGEMENT, PERSHING WILL HOLD A CLEARING DEPOSIT OF APPLICANT.

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

**Name:** PERSHING LLC  
**CRD #:** 7560  
**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399  
**Effective Date:** 08/23/2011  
**Description:** APPLICANT HAS ENTERED INTO AN ARRANGEMENT WITH PERSHING TO INTRODUCE CUSTOMER ACCOUNTS TO PERSHING ON A FULLY-DISCLOSED BASIS. PURSUANT TO THIS ARRANGEMENT, PERSHING WILL HOLD OR MAINTAIN ACCOUNTS OF CUSTOMERS OF APPLICANT.

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### Control Persons/Financing

**This firm does not have individuals who control its management or policies through agreement.**

## Firm Operations

### Industry Arrangements (continued)

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.

**CLARKSON INVESTMENT SERVICES LTD is under common control with the firm.**

<b>Business Address:</b>	ST. MAGNUS HOUSE 3 LOWER THAMES STREET LONDON, UK EC3R 6HE
<b>Effective Date:</b>	02/02/2015
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	UK
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	UNDER COMMON CONTROL WITH ULTIMATE PARENT, CLARKSON PLC.

**RS PLATOU ASSET MANAGEMENT LLP is under common control with the firm.**

<b>Business Address:</b>	1 KNIGHTSBRIDGE GREEN LONDON, UNITED KINGDOM SW1X 7NE
<b>Effective Date:</b>	02/09/2014
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	UNITED KINGDOM
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	RS PLATOU ASSET MANAGEMENT LLP IS CONTROLLED THROUGH INDIRECT OWNERSHIP BY CLARKSONS SECURITIES AS. CLARKSONS SECURITIES AS CONTROLS APPLICANT THROUGH INDIRECT OWNERSHIP AND AS SUCH APPLICANT IS UNDER COMMON CONTROL WITH RS PLATOU ASSET MANAGEMENT LLP.

## Firm Operations



### Organization Affiliates (continued)

**CLARKSONS SECURITIES AS controls the firm.**

<b>Business Address:</b>	MUNKEDAMSVEIEN 62 C OSLO, NORWAY 0270
<b>Effective Date:</b>	07/10/2011
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	NORWAY
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	CLARKSONS SECURITIES AS IS THE SOLE SHAREHOLDER OF APPLICANT.

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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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