

BrokerCheck Report

CAPTRUST FINANCIAL ADVISORS, LLC

CRD# 41727

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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.

**CAPTRUST FINANCIAL ADVISORS, LLC**

CRD# 41727

SEC# 8-49540

Main Office Location201 NORTH TRYON STREET
CHARLOTTE, NC 28202**Mailing Address**P.O. BOX 1019
CHARLOTTE, NC 28201-1019**Business Telephone Number**

704-379-9139

Report Summary for this Firm

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

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in North Carolina on 07/26/1996.

Its fiscal year ends in September.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

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

Disclosure Events

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

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

The number of disclosures from non-registered control affiliates is 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: 06/15/2002

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



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in North Carolina on 07/26/1996.

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.

CAPTRUST FINANCIAL ADVISORS, LLC

Doing business as CAPTRUST FINANCIAL ADVISORS, LLC

CRD# 41727

SEC# 8-49540

Main Office Location

201 NORTH TRYON STREET
CHARLOTTE, NC 28202

Mailing Address

P.O. BOX 1019
CHARLOTTE, NC 28201-1019

Business Telephone Number

704-379-9139



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):	IJL FINANCIAL, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	100% OWNER VOTING RIGHTS
Position Start Date	04/1999
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):	BOONE, JAMES CHRISTOPHER 1308382
Is this a domestic or foreign entity or an individual?	Individual
Position	CFO, COO
Position Start Date	06/1998
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):	DICKEY, FRANK GRAVES III 2441260
Is this a domestic or foreign entity or an individual?	Individual
Position	TREASURER
Position Start Date	07/1996

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
<hr/>	
Legal Name & CRD# (if any):	NIVENS, DONALD EDWARD 2786787
Is this a domestic or foreign entity or an individual?	Individual
Position	SROP/CROP
Position Start Date	06/2000
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
<hr/>	
Legal Name & CRD# (if any):	TAPP, JAMES MONROE II 2249163
Is this a domestic or foreign entity or an individual?	Individual
Position	COMPLIANCE OFFICER
Position Start Date	06/2000
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
<hr/>	
Legal Name & CRD# (if any):	WACHOVIA CORPORATION

Firm Profile



Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT COMPANY
Position Start Date	04/1999
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	CTFA HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	IJL FINANCIAL, INC.
Relationship to Direct Owner	OWNER
Relationship Established	04/1999
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

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 11/04/1996 to 06/20/2002.



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 12 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)
Mutual fund retailer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Investment advisory services
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Non-exchange member arranging for transactions in listed securities by exchange member

Other Types of Business

This firm does effect transactions in commodities, commodity futures, or commodity options.
This firm does engage in other non-securities business.

Non-Securities Business Description: 11B SALE OF INSURANCE PRODUCTS.

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: WACHOVIA SECURITIES, INC.
CRD #: 431
Business Address: 201 NORTH TRYON STREET
CHARLOTTE, NC 28202
Effective Date: 07/23/1996
Description: BOOKS & RECORDS ARE KEPT & MAINTAINED BY WSI.

This firm does not have accounts, funds, or securities maintained by a third party.

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

Name: WACHOVIA SECURITIES, INC.
CRD #: 431
Business Address: 201 NORTH TRYON STREET
CHARLOTTE, NC 28202
Effective Date: 07/23/1996
Description: ACCOUNTS, FUNDS AND SECURITIES OF CUSTOMERS OF THE
APPLICANT ARE HELD & MAINTAINED BY WSI.

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.

TATTERSALL ADVISORY GROUP, INC is under common control with the firm.

Business Address:	6802 PARAGON PLACE SUITE 200 RICHMOND, VA 23230-1720
Effective Date:	03/08/2002
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	SUBSIDIARY OF WACHOVIA CORPORATION, APPLICANT'S ULTIMATE PARENT.

MCGLINN CAPITAL MANAGEMENT, INC. is under common control with the firm.

Business Address:	8501 WYOMISSING BLVD WYOMISSING, PA 19601
Effective Date:	03/08/2002
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	SUBSIDIARY OF WACHOVIA CORPORATION, APPLICANTS ULTIMATE PARENT.

FIRST INTERNATIONAL ADVISORS is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

Business Address: CENTURION HOUSE
24 MONUMENT STREET , 4TH FLOOR
LONDON, ENGLAND EC348A2

Effective Date: 03/08/2002

Foreign Entity: Yes

Country: ENGLAND

Securities Activities: No

Investment Advisory Activities: Yes

Description: SUBSIDIARY OF WACHOVIA CORPORATION, APPLICANTS ULTIMATE PARENT.

FIRST UNION SECURITIES FINANCIAL NETWORK, INC. is under common control with the firm.

CRD #: 11025

Business Address: 980 NORTH FEDERAL HIGHWAY
SUITE 210
BOCA RATON, FL 33432

Effective Date: 09/01/2001

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: AFFILATE OWNED BY WACHOVIA CORPORATION (PARENT)THROUGH INTERMEDIATE SUBS.

FIRST UNION INTERNATIONAL CAPITAL MARKETS LIMITED is under common control with the firm.

Business Address: 3 BISHOPSGATE
LONDON, ENGLAND ECZN 3AB

Effective Date: 09/01/2001

Foreign Entity: Yes

Country: ENGLAND

Securities Activities: Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: No

Description: AFFILIATE OWNED BY WACHOVIA CORPORATION (PARENT) THROUGH INTERMEDIATE SUBS.

FIRST CLEARING CORPORATION is under common control with the firm.

CRD #: 17344

Business Address: 10700 WHEAT FIRST DRIVE
GLEN ALLEN, VA

Effective Date: 09/01/2001

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: SUBSIDIARY OF WACHOVIA CORPORATION, APPLICANT'S ULTIMATE PARENT

FIRST UNION SECURITIES, INC. is under common control with the firm.

CRD #: 19616

Business Address: 301 SOUTH COLLEGE STREET
CHARLOTTE, NC 28288

Effective Date: 09/01/2001

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: WHOLLY OWNED SUBSIDIARY OF WACHOVIA CORPORATION.
REGISTERED WITH THE NASD AS A BROKER-DEALER.

WACHOVIA BANK, NA is under common control with the firm.

Business Address: 100 NORTH MAIN STREET
WINSTON-SALEM, NC 27150

Firm Operations



Organization Affiliates (continued)

Effective Date: 04/01/1999

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: No

Description: WHOLLY OWNED SUBSIDIARY OF WACHOVIA CORPORATION.

WACHOVIA SECURITIES, INC. is under common control with the firm.

CRD #: 431

Business Address: 201 NORTH TRYON STREET
CHARLOTTE, NC 28202

Effective Date: 07/26/1999

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: WHOLLY OWNED SUBSIDIARY OF WACHOVIA CORPORATION. WSI IS REGISTERED WITH THE NASD AS BROKER-DEALER & WITH THE SEC AS AN INVESTMENT ADVISER.

This firm is directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

FIRST UNION NATIONAL BANK is a National Bank and controls the firm.

Business Address: ONE FIRST UNION CENTER
CHARLOTTE, NC 28288

Firm Operations



Organization Affiliates (continued)

Effective Date: 09/01/2001

Description: A WHOLLY OWNED SUBSIDIARY OF WACHOVIA CORPORATION, THE APPLICANTS ULTIMATE PARENT.

WACHOVIA CORPORATION is a Bank Holding Company and controls the firm.

Business Address: 100 NORTH MAIN STREET
WINSTON-SALEM, NC 27150

Effective Date: 04/01/1999

Description: WSI IS WHOLLY SUBSIDIARY OF WACHOVIA CORPORATION.

Disclosure Events for Non-Registered Control Affiliates



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

Regulatory - Final	
Disclosure 1 of 1	
Reporting Source:	Firm
Affiliate:	WACHOVIA BANK, NA
Current Status:	Final
Allegations:	ALLEGED THAT IN CONNECTION WITH ITS PARTICIPATION IN THE PRIMARY DISTRIBUTION OF CERTAIN DEBT SECURITIES ISSUED BY GOVERNMENT SPONSORED SECURITIES ("GSE"), WACHOVIA BANK DID NOT KEEP ACCURATE RECORDS REFLECTING CUSTOMER ORDERS FOR AND/OR OFFERS, PURCHASES, OR ALES BY WACHOVIA BANK OF DEBT SECURITIES ISSUED BY GSE. ORDER TO CEASE AND DESIST FROM VIOLATING SECTION 15C OF THE SECURITIES AND EXCHANGE ACT OF 1934; DEVELOP, IMPLEMENT, AND MAINTAIN POLICIES AND PROCEDURES TO ENSURE COMPLIANCE WITH SEC SECTION 15C AND PAY A FINE TOTALLING \$25,000.
Initiated By:	OFFICE OF THE COMPTROLLER OF THE CURRENCY
Date Initiated:	01/15/1992
Docket/Case Number:	OCC FILE #AA-SCP-92-04
Principal Product Type:	Other
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	01/15/1992
Sanctions Ordered:	Monetary/Fine \$25,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	FINALIZED

End of Report



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