

BrokerCheck Report

TITUS ROCKEFELLER, LLC

CRD# 43608

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 4
Firm History	5
Firm Operations	6 - 10
Disclosure Events	11



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.



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 Connecticut on 07/01/1997.
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	4
Arbitration	1

TITUS ROCKEFELLER, LLC

CRD# 43608

SEC# 8-50333

Main Office Location

12 MAPLEWOOD AVENUE
WESTPORT, CT 06880-2020

Mailing Address

12 MAPLEWOOD AVENUE
WESTPORT, CT 06880-2020

Business Telephone Number

203-341-9444



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Connecticut on 07/01/1997.

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.

TR CAPITAL GROUP, LLC

Doing business as TITUS ROCKEFELLER, LLC

CRD# 43608

SEC# 8-50333

Main Office Location

12 MAPLEWOOD AVENUE
WESTPORT, CT 06880-2020

Mailing Address

12 MAPLEWOOD AVENUE
WESTPORT, CT 06880-2020

Business Telephone Number

203-341-9444



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):	STOYECK, RICHARD CHRISTOPHER 842122
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO, AMLCO, MANAGING DIRECTOR, GSP, MEMBER, MSRB PRINCIPAL, FINOP (07/2011)
Position Start Date	07/1997
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):	STOYECK, KATHRYN EMILY 7058090
Is this a domestic or foreign entity or an individual?	Individual
Position	SHAREHOLDER
Position Start Date	12/2018
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

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 07/27/1999 to 07/06/2020.



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 11 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 broker
Put and call broker or dealer or option writer
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Broker or dealer selling tax shelters or limited partnerships in the secondary market
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities

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:	INTL FCSTONE FINANCIAL INC.
CRD #:	45993
Business Address:	329 PARK AVE N WINTER PARK, FL 32789
Effective Date:	10/01/2012
Description:	THE FIRM HAS ENTERED INTO A CLEARING AGREEMENT WITH INTL FCSTONE FINANCIAL INC.

Firm Operations

Industry Arrangements



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

Name:	INTL FCSTONE FINANCIAL INC.
CRD #:	45993
Business Address:	329 PARK AVE N SUITE 350 WINTER PARK, FL 32789
Effective Date:	06/28/2017
Description:	WE HAVE ENTERED INTO A CLEARING ARRANGEMENT WITH INTL FCSTONE FINANCIAL

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 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	4	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 4

Reporting Source: Regulator

Current Status: Final



Allegations:	RESPONDENT TITUS ROCKEFELLER, LLC FAILED TO FILE ITS DECEMBER 2019 ANNUAL AUDIT REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION DATED APRIL 2, 2020.
Initiated By:	FINRA
Date Initiated:	04/02/2020
Docket/Case Number:	N/A
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Other
Resolution Date:	07/06/2020
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:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	PURSUANT TO FINRA RULE 9552(H) AND IN ACCORDANCE WITH FINRA'S NOTICE OF SUSPENSION AND SUSPENSION FROM ASSOCIATION LETTERS DATED APRIL 2, 2020, AND APRIL 27, 2020, RESPECTIVELY, ON JULY 6, 2020, THE FIRM IS EXPELLED FROM FINRA MEMBERSHIP. THE FIRM FAILED TO REQUEST TERMINATION OF ITS SUSPENSION WITHIN THREE MONTHS OF THE DATE OF THE NOTICE OF SUSPENSION; THEREFORE, IT IS AUTOMATICALLY EXPELLED FROM FINRA MEMBERSHIP.

Disclosure 2 of 4

Reporting Source:	Regulator
Current Status:	Final
Allegations:	RESPONDENT TITUS ROCKEFELLER, LLC FAILED TO PAY ARBITRATION FEES ASSESSED IN FINRA ARBITRATION CASE #19-03517.



Initiated By:	FINRA
Date Initiated:	04/01/2020
Docket/Case Number:	19-03517
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Other
Resolution Date:	04/22/2020
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:	Suspension
Other Sanctions Ordered:	
Sanction Details:	PURSUANT TO FINRA RULE 9553, RESPONDENT TITUS ROCKEFELLER, LLC'S FINRA MEMBERSHIP IS SUSPENDED AS OF APRIL 22, 2020 FOR FAILURE TO PAY ARBITRATION FEES.

Disclosure 3 of 4

Reporting Source:	Regulator
Current Status:	Final
Allegations:	N/A
Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Date Initiated:	10/30/2018
Docket/Case Number:	71605-S
URL for Regulatory Action:	
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:	CEASE AND DESIST
Resolution:	Order
Resolution Date:	10/30/2018
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:	Monetary/Fine \$9,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	AGREE NOT TO RE-APPLY FOR REGISTRATION AS A BROKER DEALER FIRM IN THE STATE OF FLORIDA FOR A PERIOD OF EIGHT YEARS.
Sanction Details:	ADMINISTRATIVE FINE OF \$9,000.00 ASSESSED; \$4,500.00 PAID IMMEDIATELY; \$4,500.00 DUE WITHIN THIRTY DAYS OF ISSUANCE OF FINAL ORDER.
Regulator Statement	ON OCTOBER 30, 2018, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF TITUS ROCKEFELLER, LLC DBA TR CAPITAL GROUP, LLC. TITUS ROCKEFELLER, LLC DBA TR CAPITAL GROUP, LLC NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT TITUS ROCKEFELLER, LLC DBA TR CAPITAL GROUP, LLC FAILED TO ADHERE TO AND ENFORCE ITS WRITTEN SUPERVISORY PROCEDURES. PURSUANT TO THE FINAL ORDER, TITUS ROCKEFELLER, LLC DBA TR CAPITAL GROUP, LLC AGREED TO CEASE AND DESIST FROM ALL PRESENT AND FUTURE VIOLATIONS OF CHAPTER 517, F. S. AND THE ADMINISTRATIVE RULES THEREUNDER; NOT TO RE-APPLY FOR REGISTRATION AS A BROKER DEALER FIRM IN THE STATE OF FLORIDA FOR A PERIOD OF EIGHT YEARS; AND TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$9,000.00.
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Reporting Source:	Firm
Current Status:	Final
Allegations:	FAILURE TO FULLY COMPLY WITH THE WRITTEN SUPERVISORY PROCEDURES. FAILURE TO ENFORCE WSP'S RELATING TO OFFICE INSPECTIONS AND COMMUNICATIONS WITH BRANCH OFFICE



REPRESENTATIVES.

Initiated By: STATE OF FLORIDA OFFICE OF FINANCIAL REGULATION

Date Initiated: 04/26/2017

Docket/Case Number: 71605-S

Principal Product Type: Other

Other Product Type(s): BRANCH OFFICE INSPECTIONS

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

Other Sanction(s)/Relief Sought: FIRM BRANCH INSPECTIONS DID NOT FULLY COMPLY WITH FIRM'S WRITTEN SUPERVISORY PROCEDURES.

Resolution: Order

Resolution Date: 10/30/2018

Sanctions Ordered: Monetary/Fine \$9,000.00
Cease and Desist/Injunction

Other Sanctions Ordered: AGREED NOT TO REAPPLY AS A BROKER-DEALER IN THE STATE OF FLORIDA FOR A PERIOD OF EIGHT YEARS.

Sanction Details: \$4500.00 WAS PAID IMMEDIATELY AND \$4500.00 WAS DUE IN 30 DAYS UPON ISSUANCE OF FINAL ORDER.

Disclosure 4 of 4

Reporting Source: Regulator

Current Status: Final

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT THE FIRM, ACTING THROUGH ITS PRINCIPAL, KNEW THAT CERTAIN REGISTERED REPRESENTATIVES WERE USING PERSONAL EMAIL ADDRESSES TO CONDUCT FIRM BUSINESS IN VIOLATION OF THE FIRM'S WSPS, NEVERTHELESS, THE FIRM AND THE PRINCIPAL FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE AN ADEQUATE SUPERVISORY SYSTEM TO ENSURE THAT BUSINESS-RELATED EMAILS TO AND FROM THESE ADDRESSES WERE SUBJECT TO RETENTION AND SUPERVISION, AND FAILED TO PRESERVE ALL BUSINESS-RELATED EMAIL COMMUNICATIONS.

Initiated By: FINRA

Date Initiated: 03/14/2016

Docket/Case Number: [2015045794201](#)



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:	03/14/2016
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 \$15,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED \$15,000. A LOWER FINE WAS IMPOSED AFTER CONSIDERING, AMONG OTHER THINGS, THE FIRM'S REVENUES AND FINANCIAL RESOURCES. FINE P PAID IN FULL ON 3/6/17.
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Reporting Source:	Firm
Current Status:	Final
Allegations:	FROM DEC. 2012-MAY 2015, PERIODICALLY TITUS ROCKEFELLER FAILED TO ESTABLISH, MAINTAIN AND ENFORCE ADEQUATE SUPERVISORY PROCEDURES TO ENSURE THAT BUSINESS RELATED EMAILS FROM PERSONAL EMAIL ACCOUNTS WERE PRESERVED.
Initiated By:	FINRA
Date Initiated:	03/15/2016
Docket/Case Number:	2015045794201
Principal Product Type:	No Product
Other Product Type(s):	



Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/15/2016
Sanctions Ordered:	Censure Monetary/Fine \$15,000.00
Other Sanctions Ordered:	
Sanction Details:	\$15,000.00 FINE



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-CHURNING; ACCOUNT ACTIVITY-FRAUD; ACCOUNT ACTIVITY-MANIPULATION; ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-OMISSION OF FACTS; ACCOUNT ACTIVITY-OTHER; ACCOUNT ACTIVITY-SUITABILITY; ACCOUNT ACTIVITY-UNAUTHORIZED TRADING; ACCOUNT ACTIVITY-VIOLATE OF BLUE SKY LWS
Arbitration Forum:	FINRA
Case Initiated:	11/28/2018
Case Number:	18-04008
Disputed Product Type:	COMMON STOCK
Sum of All Relief Requested:	\$1,554,000.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	05/27/2021
Sum of All Relief Awarded:	\$10,000.00

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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