

BrokerCheck Report

REID & RUDIGER LLC

CRD# 47263

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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.



REID & RUDIGER LLC

CRD# 47263

SEC# 8-51721

Main Office Location

40 WALL STREET
STE 1708
NEW YORK, NY 10005
Regulated by FINRA New York Office

Mailing Address

40 WALL STREET
STE 706
NEW YORK, NY 10005

Business Telephone Number

212-785-0500

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 New York on 03/18/1998.

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
- 48 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 not affiliated with any 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Arbitration	1



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in New York on 03/18/1998.

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.

REID & RUDIGER LLC

Doing business as REID & RUDIGER LLC

CRD# 47263

SEC# 8-51721

Main Office Location

40 WALL STREET
STE 1708
NEW YORK, NY 10005

Regulated by FINRA New York Office

Mailing Address

40 WALL STREET
STE 706
NEW YORK, NY 10005

Business Telephone Number

212-785-0500



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): EVERMORE HOLDINGS, LLC

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

Position DIRECT OWNER

Position Start Date 09/2009

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): HARRISON, MARC

1605568

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

Position MANAGING DIRECTOR, GSP, (ROP, CROP, SROP EFFECTIVE 5/2001), DESIGNATED GOVERNMENT PRINCIPAL

Position Start Date 04/2010

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): MEZZATESTA, KELLI A

4701170

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

Position CCO, AML CO

Position Start Date 07/2010



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

Legal Name & CRD# (if any): RUDIGER, EDWARD JOSEPH JR
2118724

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

Position CEO

Position Start Date 09/2011

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): STOUBER, RANDY MARC
1104531

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

Position FINOP

Position Start Date 07/2016

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

Legal Name & CRD# (if any):	HARRISON, MARC 1605568
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	EVERMORE HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	09/2009
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 currently registered with the SEC, 1 SRO and 48 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/15/1999

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	09/15/1999



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/04/2000
Arizona	Approved	02/14/2000
Arkansas	Approved	11/10/1999
California	Approved	09/28/1999
Colorado	Approved	09/28/1999
Connecticut	Approved	11/05/1999
Delaware	Approved	09/30/1999
District of Columbia	Approved	06/12/1999
Florida	Approved	02/15/2000
Georgia	Approved	10/06/1999
Idaho	Approved	09/21/1999
Illinois	Approved	10/14/1999
Indiana	Approved	10/18/1999
Iowa	Approved	03/30/2001
Kansas	Approved	12/23/1999
Kentucky	Approved	10/12/1999
Louisiana	Approved	03/29/2000
Maryland	Approved	10/04/1999
Massachusetts	Approved	01/25/2001
Michigan	Approved	11/22/1999
Minnesota	Approved	02/15/2000
Mississippi	Approved	11/17/1999
Missouri	Approved	01/24/2000
Montana	Approved	10/26/1999
Nebraska	Approved	11/22/1999
Nevada	Approved	10/15/1999
New Hampshire	Approved	08/05/2020
New Jersey	Approved	10/20/1999
New Mexico	Approved	10/04/1999
New York	Approved	07/29/1999
North Carolina	Approved	09/29/1999
North Dakota	Approved	12/14/1999
Ohio	Approved	11/04/1999

U.S. States & Territories	Status	Date Effective
Oklahoma	Approved	09/16/1999
Oregon	Approved	10/08/1999
Pennsylvania	Approved	09/27/1999
Rhode Island	Approved	09/23/1999
South Carolina	Approved	10/15/1999
South Dakota	Approved	09/28/1999
Tennessee	Approved	09/16/1999
Texas	Approved	11/04/1999
Utah	Approved	09/24/1999
Vermont	Approved	06/12/2012
Virginia	Approved	10/26/1999
Washington	Approved	10/08/1999
West Virginia	Approved	09/15/1999
Wisconsin	Approved	10/18/1999
Wyoming	Approved	11/22/1999

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
Mutual fund retailer
U S. government securities broker
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

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:	RBC CAPITAL MARKETS CORPORATION
CRD #:	31194
Business Address:	510 MARQUETTE AVENUE SOUTH MINNEAPOLIS, MN 55402
Effective Date:	07/07/2009
Description:	THE APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH RBC CAPITAL MARKETS CORPORATION.

Firm Operations

Industry Arrangements



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

Name:	RBC CAPITAL MARKETS CORPORATION
CRD #:	31194
Business Address:	510 MARQUETTE AVENUE SOUTH MINNEAPOLIS, MN 55402
Effective Date:	07/07/2009
Description:	THE APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH RBC CAPITAL MARKETS CORPORATION.

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	1	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 1

Reporting Source: Regulator

Current Status: Final



Allegations: SEC RULE 17A-3(A)(6) AND NASD RULES 3110, 2110, 6954(A)(2), 3011(B) AND (D): RESPONDENT FAILED TO PROPERLY TIME STAMP ORDER TICKETS IN THAT THE TICKETS DID NOT CONTAIN A TIME STAMP INDICATING THE TIME THE ORDERS WERE RECEIVED AND FAILED TO SHOW THE TIME IN SECONDS ON ORDER ENTRIES. FAILED TO MAINTAIN AML PROCEDURES APPROVED IN WRITING BY SENIOR MANAGEMENT AND PROVIDED FOR PROMPT NOTIFICATION TO NASD REGARDING DESIGNATION AND IDENTIFICATION OF INDIVIDUALS RESPONSIBLE FOR MONITORING THE AML PROGRAM. THE FIRM'S CUSTOMER IDENTIFICATION PROGRAM FAILED TO ADDRESS VERIFICATION AND RECORDKEEPING PROCEDURES.

Initiated By: NASD

Date Initiated: 03/09/2006

Docket/Case Number: [E102004034301](#)

Principal Product Type: Other

Other Product Type(s): UNSPECIFIED TYPE OF SECURITIES

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 09/14/2006

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 \$10,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT MEMBER FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, FIRM IS CENSURED AND FINED \$10,000.

Reporting Source: Firm

Current Status: Final



Allegations: RESPONDENT FAILED TO PROPERLY TIME STAMP ORDER TICKETS, IN THAT TICKETS CONTAINED ONLY ONE TIME STAMP (THE FIRM DOES NOT EXECUTE, HOWEVER), FAILED TO SHOW SECONDS ON TIME STAMP AND FROM APRIL 24, 2002 THROUGH JULY 28, 2004 FAILED TO MAINTAIN ADEQUATE ANTI-MONEY LAUNDERING PROCEDURES REGARDING WRITTEN APPROVAL AND DESIGNATION OF SENIOR MANAGEMENT, AND FROM OCTOBER 2003 THROUGH JULY 2004 THE CIP PORTION OF AML WAS DEEMED DEFICIENT.

Initiated By: NASD

Date Initiated: 03/09/2006

Docket/Case Number: E1020040343-01

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought: \$10,000 FINE

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 09/14/2006

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00

Other Sanctions Ordered:

Sanction Details: 10,000 FINE PAID ON 8/31/06

Firm Statement THE FIRM ELECTED TO SETTLE WITHOUT ADMITTING OR DENYING THE ALLEGATIONS TO AVOID THE COST OF LITIGATION.



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-ELDER ABUSE; 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 RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE; TRADING DISPUTES-MANIPULATION; TRADING DISPUTES-MARK-UPS; TRADING DISPUTES-SELL OUTS
Arbitration Forum:	FINRA
Case Initiated:	06/05/2019
Case Number:	19-01541
Disputed Product Type:	COMMON STOCK
Sum of All Relief Requested:	\$279,557.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	12/17/2021
Sum of All Relief Awarded:	\$131,855.01

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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