

BrokerCheck Report

ZERMATT SECURITIES LLC

CRD# 47502

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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.



ZERMATT SECURITIES LLC

CRD# 47502

SEC# 8-51808

Main Office Location

2115 REXFORD ROAD
SUITE 311
CHARLOTTE, NC 28222

Mailing Address

2115 REXFORD ROAD
SUITE 311
CHARLOTTE, NC 28222

Business Telephone Number

704-919-0439

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:
<https://www.adviserinfo.sec.gov>

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 09/15/2020.
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	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: 01/23/2023

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 09/15/2020.

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.

ZERMATT SECURITIES LLC

Doing business as ZERMATT SECURITIES LLC

CRD# 47502

SEC# 8-51808

Main Office Location

2115 REXFORD ROAD
SUITE 311
CHARLOTTE, NC 28222

Mailing Address

2115 REXFORD ROAD
SUITE 311
CHARLOTTE, NC 28222

Business Telephone Number

704-919-0439



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):	ZERMATT HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	01/2019
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	DWORSKY, LOUIS DAVID 1689624
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	01/2020
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):	HUDSON, MICHAEL LEE 2476619
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	10/2022

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):	JONES, SHARON 3124470
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, PFO, POO
Position Start Date	05/2021
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

Legal Name & CRD# (if any):	DWORSKY, LOUIS DAVID 1689624
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ZERMATT HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	01/2018
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	DWORSKY, MEYER EDWIN 7072722
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ZERMATT HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	01/2018
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MAYES, RALPH THOMAS
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Firm Profile



Indirect Owners (continued)

	4669182
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ZERMATT HOLDINGS
Relationship to Direct Owner	OWNER
Relationship Established	01/2018
Percentage of Ownership	25% but less than 50%
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.



This firm was previously: ZERMATT SECURITIES, INC.

Date of Succession: 09/15/2020

Predecessor CRD#: 47502

Predecessor SEC#: 8-51808

Description ON THE DATE OF SUCCESSION, THE APPLICANT ASSUMED ALL OF THE ASSETS AND LIABILITIES OF THE PREDECESSOR. THE HAS BEEN NO CHANGE IN OWNERSHIP OR CONTROL BY VIRTUE OF THE SUCCESSION. THE APPLICANT UNDERWENT A CHANGE OF THE FORM OF ORGANIZATION AND STATE OF ORGANIZATION.

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 11/10/1999 to 03/24/2023.



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 retailer
Broker or dealer selling variable life insurance or annuities
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 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.**

BLUEPRINT FUND MANAGEMENT is under common control with the firm.

CRD #:	306419
Business Address:	1250 REVOLUTION MILL DRIVE SUITE 150 GREENSBORO, NC 27405
Effective Date:	03/06/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BLUEPRINT FUND MANAGEMENT AND ZERMATT SECURITIES ARE UNDER COMMON CONTROL THROUGH RALPH MAYES (4669182)

BLUEPRINT INVESTMENT PARTNERS LLC is under common control with the firm.

CRD #:	170196
Business Address:	1250 REVOLUTION MILL DR. SUITE 150 GREENSBORO, NC 27405
Effective Date:	03/06/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: BLUEPRINT INVESTMENT PARTNERS AND ZERMATT SECURITIES ARE UNDER COMMON CONTROL THROUGH RALPH MAYES (4669182).

ZERMATT WEALTH PARTNERS is under common control with the firm.

CRD #: 105736

Business Address: 3170 FOURTH AVENUE
THIRD FLOOR
SAN DIEGO, CA 92103

Effective Date: 06/01/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: ZERMATT WEALTH PARTNERS IS UNDER COMMON CONTROL WITH ZERMATT SECURITIES, LLC. THROUGH CONTROL PERSON LOUIS DWORSKY

WFA OF SAN DIEGO is under common control with the firm.

CRD #: 307404

Business Address: 3170 FOURTH AVENUE
THIRD FLOOR
SAN DIEGO, CA 92103-6514

Effective Date: 02/27/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: WFA OF SAN DIEGO IS UNDER COMMON CONTROL OF ZERMATT SECURITIES, LLC. THROUGH LOUIS DWORSKY AND THROUGH MEMBERS RALPH MAYES AND MEYERS DWORSKY.

This firm is not directly or indirectly, controlled by the following:

Firm Operations



Organization Affiliates (continued)

- 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

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: ALABAMA SECURITIES COMMISSION HAS IN ITS POSSESSION EVIDENCE WHICH INDICATES FROM OCTOBER 2009 TO JANUARY 2013, RESPONDENTS GLS & ASSOCIATES AND GREGORY LEE SMITH FAILED TO PROPERLY SUPERVISE AND ASSOCIATED REGISTERED REPRESENTATIVE, KEITH MICHAEL ROGERS, WHO, WHILE EMPLOYED WITH GLS, VIOLATED SEVERAL PROVISIONS OF THE ALABAMA SECURITIES ACT, INCLUDING THE OFFER AND/OR SALE OF UNREGISTERED SECURITIES AND ISSUED FALSE AND MISLEADING PERIODIC STATEMENTS TO ALABAMA RESIDENTS, VIOLATING SECTION 8-6-3 AND SECTION 8-6-4 OF THE CODE OF ALABAMA 1975. ON MAY 5, 2015, SHOW CAUSE ORDER SC-2015-0009 AND A NOTICE OF RIGHT TO A HEARING ATTACHED WAS ISSUED TO RESPONDENTS PROVIDING 28 DAYS FROM RECEIPT OF THE ORDER TO RESPOND OR PERFECT A RIGHT TO A HEARING. ON OCTOBER 16, 2018, RESPONDENTS ENTERED INTO A FULL AND FINAL SETTLEMENT OF THE SHOW CAUSE ORDER (SC-2015-0009) AND HAVE SHOWN GOOD CAUSE WHY THEIR REGISTRATIONS SHOULD NOT BE SUSPENDED OR REVOKED.

Initiated By: ALABAMA SECURITIES COMMISSION

Date Initiated: 05/05/2015

Docket/Case Number: SC-2015-0009

URL for Regulatory Action:

Principal Product Type: Other

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: SHOW CAUSE ORDER

Resolution: Consent

Resolution Date: 10/16/2018

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:

Other Sanctions Ordered: NEGOTIATED A CONSENT DUE TO THE FOLLOWING ACTIONS: 1)GLS SETTLED THE JUNE 18, 2014 CIVIL COMPLAINT WITH THE NAMED VICTIMS BY PAYING \$500,000 2)GLS HAS REVISED THEIR SUPERVISORY



PROCEDURES TO COMPLY WITH COMMISSION AND FINRA RULES 3)GLS WILL COOPERATE WITH THE COMMISSION IN CONDUCTING A FULL AUDIT OF GLS WITHIN 12 MONTHS.

Sanction Details:

NEGOTIATED A CONSENT DUE TO THE FOLLOWING ACTIONS: 1)GLS SETTLED THE JUNE 18, 2014 CIVIL COMPLAINT WITH THE NAMED VICTIMS BY PAYING \$500,000 2)GLS HAS REVISED THEIR SUPERVISORY PROCEDURES TO COMPLY WITH COMMISSION AND FINRA RULES 3)GLS WILL COOPERATE WITH THE COMMISSION IN CONDUCTING A FULL AUDIT OF GLS WITHIN 12 MONTHS.

Regulator Statement

ALABAMA SECURITIES COMMISSION HAS IN ITS POSSESSION EVIDENCE WHICH INDICATES FROM OCTOBER 2009 TO JANUARY 2013, RESPONDENTS GLS & ASSOCIATES AND GREGORY LEE SMITH FAILED TO PROPERLY SUPERVISE AND ASSOCIATED REGISTERED REPRESENTATIVE, KEITH MICHAEL ROGERS, WHO, WHILE EMPLOYED WITH GLS, VIOLATED SEVERAL PROVISIONS OF THE ALABAMA SECURITIES ACT, INCLUDING THE OFFER AND/OR SALE OF UNREGISTERED SECURITIES AND ISSUED FALSE AND MISLEADING PERIODIC STATEMENTS TO ALABAMA RESIDENTS, VIOLATING SECTION 8-6-3 AND SECTION 8-6-4 OF THE CODE OF ALABAMA 1975. ON MAY 5, 2015, SHOW CAUSE ORDER SC-2015-0009 AND A NOTICE OF RIGHT TO A HEARING ATTACHED WAS ISSUED TO RESPONDENTS PROVIDING 28 DAYS FROM RECEIPT OF THE ORDER TO RESPOND OR PERFECT A RIGHT TO A HEARING.

Reporting Source:

Firm

Current Status:

Final

Allegations:

ALABAMA SECURITIES COMMISSION HAS IN ITS POSSESSION EVIDENCE WHICH INDICATES FROM OCTOBER 2009 TO JANUARY 2013, RESPONDENTS GLS & ASSOCIATES AND GREGORY LEE SMITH FAILED TO PROPERLY SUPERVISE AND ASSOCIATED REGISTERED REPRESENTATIVE, KEITH MICHAEL ROGERS, WHO, WHILE EMPLOYED WITH GLS, VIOLATED SEVERAL PROVISIONS OF THE ALABAMA SECURITIES ACT, INCLUDING THE OFFER AND/OR SALE OF UNREGISTERED SECURITIES AND ISSUED FALSE AND MISLEADING PERIODIC STATEMENTS TO ALABAMA RESIDENTS, VIOLATING SECTION 8-6-3 AND SECTION 8-6-4 OF THE CODE OF ALABAMA 1975. ON MAY 5, 2015, SHOW CAUSE ORDER SC-2015-0009 AND A NOTICE OF RIGHT TO A HEARING ATTACHED WAS ISSUED TO RESPONDENTS PROVIDING 28 DAYS FROM RECEIPT OF THE ORDER TO RESPOND OR PERFECT A RIGHT TO A HEARING.

Initiated By:

ALABAMA SECURITIES COMMISSION

Date Initiated:

05/05/2015



Docket/Case Number: SC-2015-0009

Principal Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 10/16/2018

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: NEGOTIATED A CONSENT DUE TO THE FOLLOWING ACTIONS 1) GLS SETTLED THE JUNE 18, 2014 CIVIL COMPLAINT WITH THE NAMED VICTIMS BY PAYING \$500,000 2) GLS HAS REVISED THEIR SUPERVISORY PROCEDURES TO COMPLY WITH COMMISSION AND FINRA RULES 3) GLS WILL COOPERATE WITH THE COMMISSION IN CONDUCTING A FULL AUDIT OF GLS WITHIN 12 MONTHS.

End of Report



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