

## BrokerCheck Report

# JESS MARSHALL RAVICH

CRD# 1591933

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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](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)

**JESS M. RAVICH**

CRD# 1591933

This broker is not currently registered.

## Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

**This broker is not currently registered.**

#### **This broker has passed:**

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

**This broker was previously registered with the following securities firm(s):**

- B TCW FUNDS DISTRIBUTORS LLC**  
CRD# 16670  
LOS ANGELES, CA  
02/2013 - 07/2019
- B HOULIHAN LOKEY CAPITAL, INC.**  
CRD# 17708  
LOS ANGELES, CA  
11/2009 - 12/2012
- B THE OAK RIDGE FINANCIAL SERVICES GROUP, INC.**  
CRD# 42941  
LOS ANGELES, CA  
01/2009 - 10/2009

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	08/20/1990

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Limited Representative-Equity Trader Exam	Series 55	04/26/2000
<b>B</b> General Securities Representative Examination	Series 7	11/15/1986

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/11/1990

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 02/2013 - 07/2019	TCW FUNDS DISTRIBUTORS LLC	16670	LOS ANGELES, CA
<b>B</b> 11/2009 - 12/2012	HOULIHAN LOKEY CAPITAL, INC.	17708	LOS ANGELES, CA
<b>B</b> 01/2009 - 10/2009	THE OAK RIDGE FINANCIAL SERVICES GROUP, INC.	42941	LOS ANGELES, CA
<b>B</b> 01/2002 - 02/2009	LIBRA SECURITIES, LLC	104161	LOS ANGELES, CA
<b>B</b> 01/1999 - 12/2001	U.S. BANCORP INVESTMENTS, INC.	17868	SAINT PAUL, MN
<b>B</b> 05/1991 - 01/1999	LIBRA INVESTMENTS, INC.	25519	
<b>B</b> 03/1990 - 03/1991	JEFFERIES & COMPANY, INC.	2347	NEW YORK, NY
<b>B</b> 11/1986 - 03/1990	DREXEL BURNHAM LAMBERT INCORPORATED	7323	

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
01/2016 - Present	TCW LLC	MANAGING DIRECTOR	Y	LOS ANGELES, CA, United States
12/2012 - Present	TCW FUNDS DISTRIBUTORS	GENERAL SECURITIES PRINCIPAL	Y	LOS ANGELES, CA, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.



## Registration and Employment History

### Other Business Activities, continued

- (1) CHEROKEE, INC., 5990 SEPULVEDA BLVD, STE 600, VAN NUYS 91406 / INVEST-REL: NO / NATURE OTHER BUS: APPAREL LICENSING. POSITION/TITLE: Board Member, Director, Chairman, Committee Member - Audit and Value Creation Committees RELATIONSHIP WITH OTHER BUS: 9% OWNER / START DATE: 1995 / # OF HRS/MONTH YOU DEVOTE TO OTHER BUS: 0-5 / # OF HRS DURING SEC TRADING HRS: 0-5 / DUTIES: ATTEND BOARD MEETINGS.
- (2) A-MARK, 429 SANTA MONICA BLVD, STE. 230, SANTA MONICA, CA 90401 / INVEST-REL: NO / NATURE OTHER BUS: GOLD/SILVER/WINE/COIN / POSITION/TITLE: Board Member, Committee Member -Compensation Committee and Nominating and Corporate Governance Committee of the Board. RELATIONSHIP WITH OTHER BUS: LESS THAN 3%. RELATIONSHIP BEGAN BASED ON A SPIN-OFF/DEREGISTERING TRANSACTION REVERSE STOCK SPLIT (4 SPECTRUM SHARES FOR 1 A-MARK SHARE). (RELATIONSHIP WITH SPECTRUM WAS FROM 1-1-06 TO 3-14-14) / START DATE: 3-14-14 / # OF HRS/MONTH YOU DEVOTE TO OTHER BUS: 6 / # OF HRS DURING SEC TRADING HRS: 2 / DUTIES: ATTEND BOARD MEETINGS AND COMMITTEE MEETINGS.
- (3) ALJ REGIONAL (ALJ), 244 MADISON AVE, PMB #358 NY NY 10016 / INVEST-REL: NO / NATURE OTHER BUS: HOLDING COMPANY FOR FANEUIL, CARPETS AND PHOENIX COLOR / POSITION/TITLE BRD MEM/COB / RELATIONSHIP WITH OTHER BUS: ~40% OWNER / START DATE: 2006 / # OF HRS/MONTH YOU DEVOTE TO OTHER BUS: 8\* / # OF HRS DURING SEC TRADING HRS: 4\* / DUTIES: I AM EXECUTIVE CHAIRMAN AND CONSULT WITH THE CEOS OF OUR SUBSIDIARIES.
- (4) FANEUIL, 2 EASTON ST, STE 1002, HAMPTON VA 23669 / INVEST-REL: NO / NATURE OTHER BUS: OUTSOURCE CALL CENTER / POSITION/TITLE BRD MEM.COB / RELATIONSHIP WITH OTHER BUS: SAME AS ALJ / START DATE: 10/5/13 / # OF HRS/MONTH YOU DEVOTE TO OTHER BUS: 8\* / # OF HRS DURING SEC TRADING HRS: 4\* / DUTIES: SAME AS ALJ.
- (5) CARPETS N MORE, 3430 WEST SUNSET ROAD, LAS VEGAS, NV 89118 / INVEST-REL: NO / NATURE OTHER BUS: FLOORING AND CABINETRY INSTALLATION/ POSITION/TITLE: BRD MEM /RELATIONSHIP WITH OTHER BUS: SAME AS ALJ / START DATE: APRIL 2014 / # OF HRS/MONTH YOU DEVOTE TO OTHER BUS: 8\* / # OF HRS DURING SEC TRADING HRS: 4\* / DUTIES: SAME AS ALJ.
- (6) PHOENIX COLOR, 18249 PHOENIX RD., HAGERSTOWN MD 21742 / INVEST-REL: NO / NATURE OTHER BUS: PRINTING BOOK JACKETS AND PARTS. / POSITION/TITLE BRD MEM / RELATIONSHIP WITH OTHER BUS: SAME AS ALJ / START DATE: 7-10-15 # OF HRS/MONTH YOU DEVOTE TO OTHER BUS: 8\* / # OF HRS DURING SEC TRADING HRS: 4\* / DUTIES: SAME AS ALJ.
- (7) NY Shower, LLC INVEST-REL: NO / NATURE OTHER BUS: Showers, Locker, Sweat Beds POSITION/TITLE: Shareholder/Creditor, RELATIONSHIP WITH OTHER BUS: None, START DATE: June 2017, # OF HRS/MONTH YOU DEVOTE TO OTHER BUS: 0 / # OF HRS DURING SEC TRADING HRS: 0 / DUTIES: None, reporting as other business as a result of private securities ownership interest and relationship to entity (daughter is founder).
- (8) BASE HOLOGRAM, LLC. 10537 Santa Monica Blvd, 3rd floor, LA 90025 / INVEST-REL: NO / NATURE OTHER BUS: ENTERTAINMENT USING HOLOGRAMS. POSITION/TITLE: NON-CONTRACTUAL BOARD OBSERVER RELATIONSHIP WITH OTHER BUS: ~4.8% OWNER / START DATE: 07/26/18, # OF HRS/MONTH YOU DEVOTE TO OTHER BUS: 0-5 / # OF HRS DURING SEC TRADING HRS: 0-5 / DUTIES: I HAVE NO DUTIES WITH THE COMPANY - I MAY ATTEND CERTAIN BOARD MEETINGS AS AN OBSERVER IF INVITED BUT I HAVE NO RIGHT TO ATTEND SUCH MEETINGS.
- (9) TITANHIRE INC (DBA SUITED). 500 Molino St., Ste 118 LA, CA 90013. Nature of business: AI Based recruiting software to help employers narrow search for qualified candidates. Position/Title: Board and Committee Member. Start date: 12/15/2018, 4-8hours/month, 0-1 hour during securities trading hours. Duties: Attend regular board and committee meetings

## End of Report



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