

BrokerCheck Report

DUANE ROBERT MATTSON

CRD# 2439753

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7



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.

DUANE R. MATTSON

CRD# 2439753

Currently employed by and registered with the following Firm(s):**IA CAPITAL CLIENT GROUP, INC.**

3500 WISEMAN BLVD
SAN ANTONIO, TX 78251
CRD# 6247

Registered with this firm since: 08/16/2022

B CAPITAL CLIENT GROUP, INC.

3500 WISEMAN BLVD
SAN ANTONIO, TX 78251-4321
CRD# 6247

Registered with this firm since: 08/15/2022

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 registered with:

- 1 Self-Regulatory Organization
- 3 U.S. states and territories

This broker has passed:

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

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**

Registration History

This broker was previously registered with the following securities firm(s):**IA LION STREET ADVISORS, LLC**

CRD# 167610
AUSTIN, TX
01/2021 - 07/2022

B LION STREET FINANCIAL, LLC

CRD# 165828
AUSTIN, TX
01/2021 - 07/2022

B PIMCO INVESTMENTS LLC

CRD# 154957
Austin, TX
10/2018 - 10/2020

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 individual is currently registered with 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **CAPITAL CLIENT GROUP, INC.**

Main Office Address: **333 S. HOPE ST. 55TH FL.
LOS ANGELES, CA 90071**

Firm CRD#: **6247**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	08/15/2022
B FINRA	General Securities Representative	Approved	08/15/2022
B FINRA	Invest. Co and Variable Contracts	Approved	08/15/2022
B FINRA	Municipal Fund	Approved	08/15/2022

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	08/15/2022
B North Dakota	Agent	Approved	06/29/2023
B Texas	Agent	Approved	08/15/2022
IA Texas	Investment Adviser Representative	Approved	08/21/2022

Branch Office Locations

CAPITAL CLIENT GROUP, INC.
3500 WISEMAN BLVD
SAN ANTONIO, TX 78251-4321

CAPITAL CLIENT GROUP, INC.
San Marcos, TX

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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
Municipal Fund Securities Principal Examination	Series 51	02/13/2004
General Securities Principal Examination	Series 24	02/17/1998

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	01/27/1998
Investment Company Products/Variable Contracts Representative Examination	Series 6	01/27/1994

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination	Series 66	09/27/2002
Uniform Securities Agent State Law Examination	Series 63	01/27/1994

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/.

Broker Qualifications



Professional Designations

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

No information reported.

Registration and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 01/2021 - 07/2022	LION STREET ADVISORS, LLC	167610	AUSTIN, TX
B 01/2021 - 07/2022	LION STREET FINANCIAL, LLC	165828	AUSTIN, TX
B 10/2018 - 10/2020	PIMCO INVESTMENTS LLC	154957	Austin, TX
B 05/2012 - 10/2018	DFA SECURITIES LLC	10292	AUSTIN, TX
IA 05/2012 - 10/2018	DIMENSIONAL FUND ADVISORS LP	106482	AUSTIN, TX
IA 12/2011 - 05/2012	AL FRANK ASSET MANAGEMENT INC	108517	AUSTIN, TX
B 12/2011 - 04/2012	NORTHERN LIGHTS DISTRIBUTORS, LLC	126159	ELKHORN, NE
B 04/2010 - 11/2011	QUASAR DISTRIBUTORS, LLC	103848	PORTLAND, ME
IA 09/2008 - 11/2009	VICTORY CAPITAL MANAGEMENT INC.	106189	SAN ANTONIO, TX
B 07/2008 - 08/2009	VICTORY CAPITAL ADVISERS, INC.	37059	AUSTIN, TX
B 10/2004 - 04/2008	NFP SECURITIES, INC.	42046	AUSTIN, TX
IA 10/2004 - 04/2008	NFP SECURITIES, INC.	42046	AUSTIN, TX
B 03/2004 - 08/2004	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL
IA 03/2004 - 08/2004	CHASE INVESTMENT SERVICES CORP.	25574	HOUSTON, TX
B 06/2003 - 03/2004	NFP SECURITIES, INC.	42046	AUSTIN, TX
IA 06/2003 - 03/2004	NFP SECURITIES, INC.	42046	AUSTIN, TX
B 07/2002 - 12/2002	THRIVENT INVESTMENT MANAGEMENT INC.	18387	MINNEAPOLIS, MN
B 01/1994 - 07/2002	LUTHERAN BROTHERHOOD SECURITIES CORP.	4205	MINNEAPOLIS, MN

Employment History

Registration and Employment History



Employment History, continued

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
12/2024 - Present	Capital Group / Capital Client Group, Inc.	Compliance Lead	Y	San Antonio, TX, United States
05/2023 - 12/2024	Capital Group - American Funds Distributors, Inc.	Field Compliance Lead	Y	San Antonio, TX, United States
08/2022 - 05/2023	Capital Group / American Funds Distributors, Inc.	Compliance Lead	Y	San Antonio, CA, United States
01/2022 - 07/2022	Integrity Marketing Group	Individual Contributor	Y	Dallas, TX, United States
01/2021 - 07/2022	Lion Street Financial / Lion Street Advisors	Vp Compliance And Supervision	Y	Austin, TX, United States
10/2018 - 10/2020	Pimco Investments Llc / Pacific Investment Mgmt Co, Llc	Vice President Senior Compliance Officer	Y	Austin, TX, United States
05/2012 - 10/2018	Dimensional Fund Advisors	Vice President, Compliance	Y	Austin, TX, 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.

No information reported.

End of Report



This page is intentionally left blank.