BrokerCheck Report

RONALD STUART KROLICK

CRD# 2503888

Section Title | **Page(s)**

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.

RONALD S. KROLICK

CRD# 2503888

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:

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

Registration History

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

B **TANGENT CAPITAL PARTNERS, LLC**
CRD# 146999
NEW YORK, NY
10/2016 - 12/2023

B **MCM SECURITIES LLC**
CRD# 41571
NEW YORK, NY
11/2010 - 10/2016

B **NATIXIS SECURITIES NORTH AMERICA INC.**
CRD# 28722
NEW YORK, NY
06/2008 - 09/2010

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 2 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	01/09/1997
B	Municipal Securities Principal Examination	Series 53	08/30/1994

General Industry/Product Exams

	Exam	Category	Date
B	Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Municipal Advisor Representative Qualification Exam	Series 50	01/15/2016
B	General Securities Representative Examination	Series 7	08/09/1994

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	09/22/1994

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
B	10/2016 - 12/2023	TANGENT CAPITAL PARTNERS, LLC	146999	NEW YORK, NY
B	11/2010 - 10/2016	MCM SECURITIES LLC	41571	NEW YORK, NY
B	06/2008 - 09/2010	NATIXIS SECURITIES NORTH AMERICA INC.	28722	NEW YORK, NY
B	07/2001 - 06/2008	CALYON SECURITIES (USA) INC	190	NEW YORK, NY
B	02/1997 - 01/2001	MCM SECURITIES LLC	41571	TROY, NY
B	08/1994 - 12/1995	LAZARD FRERES & CO. LLC	2528	NEW YORK, NY

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
10/2013 - Present	Tangent Capital Partners, LLC	Director	Y	New York, NY, United States
09/2013 - Present	VEYRON SECURITIES LLC	HEAD OF BANKING, CHIEF COMPLIANCE OFFICER AND MUNICIPAL PRINCIPAL	Y	NEW YORK, NY, United States
07/2011 - Present	MODERN CAPITAL HOLDINGS LLC	MANAGING MEMBER	Y	NEW YORK, NY, United States
11/2010 - 10/2016	MCM SECURITIES LLC	SENIOR MANAGING DIRECTOR	Y	NEW YORK, NY, 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

Name: Bright Point Capital Lending, LLC; Investment related: No; Address: 1370 Avenue of the Americas, 21st Floor, New York, NY 10019; Nature: originates and extends premium finance loans for life insurance policies; Position: CEO; Start date: 01/2015; Approximate number of hours: 15; During trading hours: 4; Duties: sole owner and sole representative for all business activities.

Name: Veyron & Co. (US) LLC; Investment related: Yes; Address: 1370 Avenue of the Americas, 21st Floor, New York, NY 10019; Nature: registered municipal advisor registered with the SEC, private real estate investor; Position: Senior Managing Director and Sole Owner; Start date: 09/2013; Approximate number of hours: 40; During trading hours: 20; Duties: owner and principal actor in the business.

Name: Southern Country International, Ltd.; Investment related: Yes; Address: 6100 Red Hook Quarter, St Thomas, Virgin Islands 0082 & 1370 Avenue of the Americas, 21st Floor, New York NY 10019; Nature: a limited purpose bank chartered under the laws of the US Virgin Islands; Position: CEO; Start date: April 2019; Approximate number of hours: 50; During trading hours: 25; Duties: responsible for the management of the businesses, implementing necessary systems, and originating business (i.e. finding high net worth individuals to make deposits or take loans from the bank)

End of Report

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