

BrokerCheck Report

MARTIN [NMN] CABRERA JR

CRD# 2504167

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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.



MARTIN [. CABRERA JR

CRD# 2504167

Currently employed by and registered with the following Firm(s):

IA CABRERA CAPITAL PARTNERS
 227 W. MONROE ST.
 SUITE 3000
 CHICAGO, IL 60606
 CRD# 173400
 Registered with this firm since: 07/11/2016

B CABRERA CAPITAL MARKETS, LLC
 1230 Avenue of the Americas
 Ste. 1902
 NEW YORK, NY 10020
 CRD# 10081
 Registered with this firm since: 05/08/2001

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
- 7 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA CABRERA CAPITAL PARTNERS**
 CRD# 173400
 CHICAGO, IL
 07/2016 - 12/2023
- IA CABRERA MMI, LLC**
 CRD# 144124
 CHICAGO, IL
 02/2008 - 04/2009
- IA VALOR REALTY ADVISORS, LLC**
 CRD# 133427
 CHICAGO, IL
 02/2006 - 12/2007

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Termination	1



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 7 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CABRERA CAPITAL MARKETS, LLC**

Main Office Address: **227 W. MONROE ST.
SUITE 3000
CHICAGO, IL 60606**

Firm CRD#: **10081**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	05/08/2001
B	FINRA	General Securities Representative	Approved	05/08/2001
B	FINRA	Registered Options Principal	Approved	05/08/2001
B	FINRA	Municipal Securities Principal	Approved	08/03/2001
B	FINRA	Investment Banking Representative	Approved	03/24/2010
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Investment Banking Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	09/04/2001
B	District of Columbia	Agent	Approved	01/25/2019
B	Florida	Agent	Approved	03/06/2006
B	Illinois	Agent	Approved	05/16/2001
B	New York	Agent	Approved	09/27/2003
B	Pennsylvania	Agent	Approved	09/22/2004



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	10/03/2002

Branch Office Locations

CABRERA CAPITAL MARKETS, LLC

227 W. MONROE ST.
SUITE 3000
CHICAGO, IL 60606

CABRERA CAPITAL MARKETS, LLC

1230 Avenue of the Americas
Ste. 1902
NEW YORK, NY 10020

CABRERA CAPITAL MARKETS, LLC

227 W. Monroe St.
Suite 3000
CHICAGO, IL 60606

CABRERA CAPITAL MARKETS, LLC

50 South 16th Street
Suite 1700
PHILADELPHIA, PA 19102

CABRERA CAPITAL MARKETS, LLC

915 Wilshire Boulevard
8th Floor Suite 827
LOS ANGELES, CA 90017

CABRERA CAPITAL MARKETS, LLC

1846 N. Loop 1604 West
Suite 205
San Antonio, TX 78248

Employment 2 of 2

Firm Name: **CABRERA CAPITAL PARTNERS**

Main Office Address: **227 W. MONROE ST.
SUITE 3000**



Broker Qualifications

Employment 2 of 2, continued
CHICAGO, IL 60606
Firm CRD#: 173400

U.S. State/ Territory	Category	Status	Date
IA Illinois	Investment Adviser Representative	Approved	07/11/2016

Branch Office Locations

227 W. MONROE ST.
SUITE 3000
CHICAGO, IL 60606



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

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	07/31/2001
B General Securities Principal Examination	Series 24	04/19/1999
B Registered Options Principal Examination	Series 4	03/18/1997

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Trader Exam	Series 57TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	05/08/2000
B General Securities Representative Examination	Series 7	10/25/1994

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	05/24/2002
B Uniform Securities Agent State Law Examination	Series 63	11/25/1994

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 07/2016 - 12/2023	CABRERA CAPITAL PARTNERS	173400	CHICAGO, IL
IA 02/2008 - 04/2009	CABRERA MMI, LLC	144124	CHICAGO, IL
IA 02/2006 - 12/2007	VALOR REALTY ADVISORS, LLC	133427	CHICAGO, IL
IA 05/2002 - 04/2007	CABRERA ASSET MANAGEMENT, INC.	119296	CHICAGO, IL
B 06/2000 - 05/2001	SALOMON GREY FINANCIAL CORPORATION	43413	DALLAS, TX
B 07/1997 - 11/2000	AMERIVET SECURITIES, INC.	34786	NEW YORK, NY
B 04/1997 - 06/1997	SUNPOINT SECURITIES, INC.	25442	LONGVIEW, TX
B 01/1997 - 04/1997	FIRST SECURITIES USA, INC.	39986	IRVINE, CA
B 04/1996 - 02/1997	CORPORATE SECURITIES GROUP, INC.	11025	ST. LOUIS, MO
B 11/1994 - 04/1996	OLDE DISCOUNT CORPORATION	5979	DETROIT, MI

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
07/2007 - Present	CABRERA CAPITAL PARTNERS, LLC	CHIEF EXECUTIVE OFFICER	Y	CHICAGO, IL, United States
04/2001 - Present	CABRERA CAPITAL MARKETS LLC	CHIEF EXECUTIVE OFFICER	Y	CHICAGO, IL, United States



Registration and Employment History

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.

Cabrera Capital Partners; Investment Related; Investment Advisor; Chief Executive Officer; Start date 05/30/2007; 10 S. LaSalle, Suite 1050, Chicago, IL 60603; Devote 20 hours per month during trading hours.

MCJR, LLC; Owner; Not Investment Related; Holding Company; Managing Member; Start Date 06/11/2012; 10 S. LaSalle, Suite 1050, Chicago, IL 60603; No hours spent during trading hours.

"A La Luna Entertainment, LLC", Is Not Investment Related, "227 W. Monroe St., Ste. 3001, Chicago, IL, 60606, United States ",Amusement and recreations, Manager/Owner,2022-06-04, 1 hours per month, 0 hours per month during trading hours, Other Compensation, Owner

Mero Mero Productions, LLC, Is Not Investment Related, 227 W. Monroe St., Ste. 3001, Chicago, IL 60606 United States, Film and other media productions, Manager/Owner, 2022-06-04, 1 hour per month, 0 hours during trading hours Other compensation, Owner

Cielo Concessions, LLC; Not Investment Related; Airport Concession Management; Managing Member; Start date 06/03/2015; 1626 S. Halsted, Chicago, IL 60608; No hours spent during trading hours.

Disclosure Events



What you should know about reported disclosure events:

1. 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.
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 broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all 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.
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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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/19/1999
Docket/Case Number:	C8A990023
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULE 2110 AND NASD MEMBERSHIP AND REGISTRATION RULE 1031 - RESPONDENT CABRERA PERMITTED ANOTHER INDIVIDUAL TO ENGAGE IN THE SECURITIES BUSINESS BY ALLOWING THAT INDIVIDUAL TO CONDUCT SECURITIES TRANSACTIONS FOR THE ACCOUNTS OF PUBLIC CUSTOMERS USING HIS REPRESENTATIVE NUMBER, PRIOR TO INDIVIDUAL'S PROPERLY QUALIFYING AND/OR REGISTERING IN THE APPROPRIATE CAPACITY.
Current Status:	Final



Resolution: Decision & Order of Offer of Settlement

Resolution Date: 05/18/1999

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT CABRERA WAS ISSUED; THEREFORE, HE IS CENSURED AND FINED \$5,000.

Reporting Source: Firm

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/19/1999

Docket/Case Number: C8A990023

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: NO FORMAL CLAIMS

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 05/18/1999

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: Not Provided



Firm Statement	Not Provided
Reporting Source:	Broker
Regulatory Action Initiated By:	NASD DISTRICT 8 OFFICE
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	FINE HAS BEEN SATISFIED
Date Initiated:	02/19/1999
Docket/Case Number:	C8A990023
Employing firm when activity occurred which led to the regulatory action:	FIRST SECURITIES/SUNPOINT SECURITIES
Product Type:	Equity - OTC
Other Product Type(s):	EQUITY LISTED (COMMON & PREFERRED STOCK)
Allegations:	PAID NONLICENSED BROKER WITH FIRM AND ALLOWED THAT PERSON TO ACT IN A REGISTERED CAPACITY.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	05/18/1999
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	FINE OF \$5,000, SETTLEMENT HAS BEEN SATISFIED BY RESPONDENT CABRERA
Broker Statement	RESPONDENT CABRERA PERMITTED AN UNLICENSED INDIVIDUAL TO CONDUCT SECURITIES BUSINESS FOR PUBLIC CUSTOMER; DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT 5/18/1999, FOR CENSURE AND FINE OF \$5,000

Disclosure 2 of 2

Reporting Source: Regulator



Regulatory Action Initiated By: ILLINOIS SECURITIES DEPARTMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/27/1997

Docket/Case Number: 9700666

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: RESPONDENT WHO WAS REGISTERED WITH SUNPOINT SECURITIES, INC. AND FIRST SECURITIES USA, INC. AND ALLOWED UNREGISTERED SALESPERSONS TO SELL SECURITIES USING THE RESPONDENTS NAME.

Current Status: Final

Resolution: Consent

Resolution Date: 11/14/1997

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: CONSENT ORDER OF CENSURE ISSUED NOVEMBER 14, 1997.

Regulator Statement CONTACT: 217-785-4948

Reporting Source: Broker

Regulatory Action Initiated By: OFFICE OF THE SECRETARY OF STATE-SECURITIES DEPARTM*SEE FAQ #1*

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 10/27/1997

Docket/Case Number: 9700666



Employing firm when activity occurred which led to the regulatory action:	FIRST SECURITIES/SUNPOINT SECURITIES
Product Type:	Equity - OTC
Other Product Type(s):	EQUITY LISTED (COMMON & PREFERRED STOCK)
Allegations:	-PAID NONLICENSED BROKER COMMISSIONS & ALLOWED THAT PERSON TO ACT IN A REGISTERED CAPACITY.
Current Status:	Final
Resolution:	Consent
Resolution Date:	11/14/1997
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	NO FINES OR PENALTIES.
Broker Statement	NOT PROVIDED



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	SUNPOINT SECURITIES, INC.
Termination Type:	Permitted to Resign
Termination Date:	06/05/1997
Allegations:	NONE -PAID NON-LICENSED PERSON COMMISSIONS - ALLOWED THAT PERSON TO ACT IN A REGISTERED CAPACITY - SUNPOINT SECURITIES FINED ME \$9,000.00
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Broker Statement	\$9,000.00 FINE TAKEN FROM MONTHLY COMMISSION CHECK.

End of Report



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