BrokerCheck Report

DAMON GARRETT KRYTZER

CRD# 2560770

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.
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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.

DAMON G. KRYTZER

CRD# 2560770

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

B **LUMENT SECURITIES, LLC**
280 Park Avenue 40 West
New York, NY 10017
CRD# 14840
Registered with this firm since: 02/02/2023

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
- 53 U.S. states and territories

This broker has passed:

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

Registration History

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

B **PROBITAS FUNDS GROUP, LLC**
CRD# 115876
SAN FRANCISCO, CA
07/2018 - 01/2023

B **HIGHLAND CAPITAL FUNDS DISTRIBUTOR, INC.**
CRD# 165013
DALLAS, TX
05/2017 - 06/2018

B **X-CHANGE FINANCIAL ACCESS, LLC**
CRD# 126201
CHICAGO, IL
08/2012 - 12/2013

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
Customer Dispute	1
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 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LUMENT SECURITIES, LLC**

Main Office Address: **10 WEST BROAD STREET**
8TH FLOOR
COLUMBUS, OH 43215

Firm CRD#: **14840**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/02/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/14/2023
B	Alaska	Agent	Approved	02/13/2023
B	Arizona	Agent	Approved	02/14/2023
B	Arkansas	Agent	Approved	02/21/2023
B	California	Agent	Approved	02/07/2023
B	Colorado	Agent	Approved	02/07/2023
B	Connecticut	Agent	Approved	02/07/2023
B	Delaware	Agent	Approved	02/17/2023
B	District of Columbia	Agent	Approved	02/23/2023
B	Florida	Agent	Approved	02/20/2023
B	Georgia	Agent	Approved	04/11/2023
B	Hawaii	Agent	Approved	07/18/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	02/14/2023
B	Illinois	Agent	Approved	02/16/2023
B	Indiana	Agent	Approved	04/24/2023
B	Iowa	Agent	Approved	02/06/2023
B	Kansas	Agent	Approved	02/08/2023
B	Kentucky	Agent	Approved	02/07/2023
B	Louisiana	Agent	Approved	02/10/2023
B	Maine	Agent	Approved	02/07/2023
B	Maryland	Agent	Approved	02/07/2023
B	Massachusetts	Agent	Approved	02/06/2023
B	Michigan	Agent	Approved	02/17/2023
B	Minnesota	Agent	Approved	02/07/2023
B	Mississippi	Agent	Approved	02/06/2023
B	Missouri	Agent	Approved	02/07/2023
B	Montana	Agent	Approved	03/16/2023
B	Nebraska	Agent	Approved	02/13/2023
B	Nevada	Agent	Approved	02/13/2023
B	New Hampshire	Agent	Approved	02/08/2023
B	New Jersey	Agent	Approved	02/14/2023
B	New Mexico	Agent	Approved	02/07/2023
B	New York	Agent	Approved	02/19/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	02/08/2023
B	North Dakota	Agent	Approved	02/21/2023
B	Ohio	Agent	Approved	02/06/2023
B	Oklahoma	Agent	Approved	02/06/2023
B	Oregon	Agent	Approved	02/08/2023
B	Pennsylvania	Agent	Approved	02/07/2023
B	Puerto Rico	Agent	Approved	02/15/2023
B	Rhode Island	Agent	Approved	02/08/2023
B	South Carolina	Agent	Approved	02/07/2023
B	South Dakota	Agent	Approved	02/23/2023
B	Tennessee	Agent	Approved	02/14/2023
B	Texas	Agent	Approved	02/06/2023
B	Utah	Agent	Approved	02/03/2023
B	Vermont	Agent	Approved	02/14/2023
B	Virgin Islands	Agent	Approved	02/14/2023
B	Virginia	Agent	Approved	02/07/2023
B	Washington	Agent	Approved	02/06/2023
B	West Virginia	Agent	Approved	03/15/2023
B	Wisconsin	Agent	Approved	02/07/2023
B	Wyoming	Agent	Approved	02/06/2023

Broker Qualifications

Employment 1 of 1, continued
Branch Office Locations

LUMENT SECURITIES, LLC
280 Park Avenue 40 West
New York, NY 10017

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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	National Commodity Futures Examination	Series 3	03/08/2000
B	General Securities Representative Examination	Series 7	03/24/1995
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	12/07/1994

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	06/22/2017
IA	Uniform Investment Adviser Law Examination	Series 65	08/09/1996

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 **1** professional designation(s).

Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	07/2018 - 01/2023	PROBITAS FUNDS GROUP, LLC	115876	SAN FRANCISCO, CA
B	05/2017 - 06/2018	HIGHLAND CAPITAL FUNDS DISTRIBUTOR, INC.	165013	DALLAS, TX
B	08/2012 - 12/2013	X-CHANGE FINANCIAL ACCESS, LLC	126201	CHICAGO, IL
B	04/2006 - 11/2010	OPPENHEIMER & CO. INC.	249	SAN FRANCISCO, CA
B	03/2001 - 03/2006	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
B	11/1997 - 03/2001	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	03/1995 - 08/1997	SUMMIT EQUITIES, INC.	11039	PARSIPPANY, NJ
B	12/1994 - 03/1995	MDS SECURITIES INCORPORATED	29367	CARMEL, IN

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
01/2023 - Present	Lument Securities	Registered Representative	Y	New York, NY, United States
12/2022 - Present	ORIX Corporation USA	Investor Solutions	Y	New York, NY, United States
07/2018 - 01/2023	Probitas Funds Group, LLC	Registered Representative	Y	San Francisco, CA, United States
02/2017 - 05/2018	Highland Capital Management	Managing Director	Y	Dallas, TX, United States
01/2014 - 02/2017	Greywolf Capital Management	Managing Director	Y	San Francisco, CA, 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.

Quone Peninsula; 3635 Elliott Street, San Diego, CA 92106; Non-Operating Financial Partner; Start date: 6/2017; Approximate # of hours/month: 1 hour with 0 hours during trading hours; Investment-related? No; Liquor inventory management company with 50% ownership. Day-to-day responsibilities are to manage payroll.

Element Capital Partners; 2000 Ashton Blvd, Suite 170, Lehi, UT 84043; Board Member and Equity Partner; Start date: 2/2022; Approximate # of hours/month: 1 hour with 0 hours during trading hours; Investment-related? Yes; Solar panel and battery financing company. Day-to-day responsibilities are to advise the full-time staff on warehousing and securitizing the overall pool of loans alongside bank partners.

Certivents; Member of the Advisory Board for a start-up Romania-based investment company. Start date: 1/31/2023; Approximate # of hours/month: 4 hours with 0 hours during trading hours. Investment-related: No; Advising on business development and general market strategies.

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.
   -
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.
   -
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
Customer Dispute	0	1	N/A
Termination	N/A	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLIENT REQUESTED COMPENSATION FOR WHAT WERE "OBVIOUS INAPPROPRIATE CHARGES AND PURCHASES" MADE BY THE FINANCIAL ADVISOR . CLIENT ALSO ALLEGED VERBALLY THAT FINANCIAL ADVISOR FAILED TO DISCLOSE FEES IN MUTUAL FUNDS AND UNIT TRUSTS.
Product Type:	Mutual Fund(s)
Alleged Damages:	$25,000.00

Customer Complaint Information

Date Complaint Received:	10/29/2006
Complaint Pending?	No
Status:	Settled
Status Date:	11/10/2006
Settlement Amount:	$20,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker

Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERIVCES INC.
Allegations:	CKIENT REQUESTED COMPENSATION FOR WHAT WERE "OBVIOUS INAPPROPRIATE CHARGES AND PURCHASES" MADE BY THE FINANCIAL ADVISOR. CLIENT ALSO ALLEGED VERBALLY THAT FINANCIAL ADVISOR FAILED TO DISCLOWE FEES IN MUTUAL FUNDS AND UNIT TRUSTS.
Product Type:	Mutual Fund(s)
Alleged Damages:	$25,000.00

Customer Complaint Information

Date Complaint Received:	10/29/2006
Complaint Pending?	No
Status:	Settled
Status Date:	11/10/2006
Settlement Amount:	$20,000.00
Individual Contribution Amount:	$0.00
Broker Statement	MR. KRYTZER WAS NEVER INFORMED OF THE EXISTENCE OF THE CLIENTS COMPLAINT PRIOR TO THE UBS SETTLEMENT. HE DENIES ENGAGING IN ANY IMPROPER ACTIVITIES RE: THE CLIENTS ACCOUNTS. MR. KRYTZER WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT BY UBS AND HAS NOT CONTRIBUTED TO THE SETTLEMENT.

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: Firm

Employer Name: UBS FINANCIAL SERVICES INC.

Termination Type: Discharged

Termination Date: 02/01/2006

Allegations: MR. KRYTZER'S EMPLYMENT WAS TERMINATED ON FERBRUARY 1, 2006.THE REASON FOR HIS TERMINATION WAS MANAGEMENT LOSS OF CONFIDENCE AFTER THE FIRM CONCLUDED THAT MR. KRYTZER: (1)EXERCISED POOR JUDGMENT, (2) PROVIDED INCONSISTENT AND UNSATISFACTORY ANSWERS IN CONNECTION WITH INTERNAL REVIEWS, AND (3) VIOLATED FIRM POLICIES INCLUDING POLICIES RELATING TO INVESTMENT BANKING INFORMATION BARRIER PROCEDURES, SOLICITING OUTSIDE INVESTMENTS, AND SOLICITING RESIDENTS OF RESTRICTED COUNTRIES.

Product Type: Other

Other Product Types: NON-APPLICABLE

Reporting Source: Broker

Employer Name: UBS FINANCIAL SERVICES INC.

Termination Type: Discharged

Termination Date: 02/01/2006

Allegations: MR. KRYTZER'S EMPLOYMENT WAS TERMINATED ON FEBRUARY 1, 2006. THE REASON FOR HIS TERMINATION WAS MANAGEMENT LOSS OF CONFIDENCE AFTER THE FIRM CONCLUDED THAT MR. KRYTZER: (1) EXERCISED POOR JUDGEMENT, (2) PROVIDED INCONSISTENT AND UNSATISFACTORY ANSWERS IN CONNECTION WITH INTERNAL REVIEWS, AND (3) VIOLATED FIRM POLICIES INCLUDING POLICIES RELATING TO INVESTMENT BANKING INFORMATION BARRIER PROCEDURES, SOLICITING OUTSIDE INVESTMENTS, AND SOLICITING RESIDENTS OF RESTRICTED COUNTRIES.

Product Type: Other

Other Product Types: NON-APPLICABLE

End of Report

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