BrokerCheck Report

DAVID GRANVILLE MCCLURG

CRD# 325690

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.

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.

DAVID G. MCCLURG

CRD# 325690

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

IA **MCCLURG CAPITAL CORPORATION**
950 NORTHGATE DRIVE-SUITE 301
SAN RAFAEL, CA 94903
CRD# 16798
Registered with this firm since: 07/08/1997

B **MCCLURG CAPITAL CORPORATION**
950 NORTHGATE DRIVE
SUITE 301
SAN RAFAEL, CA 94903
CRD# 16798
Registered with this firm since: 10/01/1985

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
- 5 U.S. states and territories

This broker has passed:

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

Registration History

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

B **GALLEGOS INSTITUTIONAL INVESTORS CORPORATION**
CRD# 27076
11/1990 - 09/1994

B **SMITH BELLINGHAM INTERNATIONAL, INC.**
CRD# 7734
01/1985 - 01/1986

B **BIRR, WILSON & CO., INC.**
CRD# 93
01/1974 - 12/1984

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

Employment 1 of 1

Firm Name: **MCCLURG CAPITAL CORPORATION**

Main Office Address: **950 NORTHGATE DRIVE-SUITE 301**
SAN RAFAEL, CA 94903

Firm CRD#: **16798**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/01/1985
B	FINRA	General Securities Representative	Approved	10/01/1985
B	FINRA	Registered Options Principal	Approved	10/01/1985
B	FINRA	Municipal Securities Principal	Approved	04/15/1986
B	FINRA	Operations Professional	Approved	12/07/2011
B	FINRA	Compliance Officer	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	07/29/2025
B	California	Agent	Approved	12/13/1985
IA	California	Investment Adviser Representative	Approved	07/08/1997
B	Florida	Agent	Approved	09/26/1989
B	Oregon	Agent	Approved	09/15/2024
B	Texas	Agent	Approved	02/13/2023

Branch Office Locations

Broker Qualifications

Employment 1 of 1, continued

MCCLURG CAPITAL CORPORATION
950 NORTHGATE DRIVE-SUITE 301
SAN RAFAEL, CA 94903

MCCLURG CAPITAL CORPORATION
950 NORTHGATE DRIVE
SUITE 301
SAN RAFAEL, CA 94903

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 5 principal/supervisory exams, 6 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Compliance Officer Examination	Series 14	01/02/2023
B	Municipal Securities Principal Examination	Series 53	01/02/2023
B	Registered Options Principal Examination	Series 4	06/13/1980
B	General Securities Principal Examination	Series 24	12/03/1979
B	NYSE Branch Manager Examination	Series 12	07/21/1977

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	01/02/2023
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Interest Rate Options Examination	Series 5	10/09/1981
B	General Securities Principal Examination	Series 000	01/23/1974
B	Registered Representative Examination	Series 1	01/23/1974

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	08/12/1982

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at

Broker Qualifications

Industry Exams this Broker has Passed, continued

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 11/1990 - 09/1994	GALLEGOS INSTITUTIONAL INVESTORS CORPORATION	27076	
B 01/1985 - 01/1986	SMITH BELLINGHAM INTERNATIONAL, INC.	7734	
B 01/1974 - 12/1984	BIRR, WILSON & CO., INC.	93	
B 12/1984 - 12/1984	SMITH BELLINGHAM INTERNATIONAL, INC.	7734	
B 02/1976 - 06/1977	DEAN WITTER & CO. INCORPORATED	6466	
B 01/1974 - 03/1976	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	572	

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
08/1985 - Present	MCCLURG CAPITAL CORPORATION	NOT PROVIDED	Y	SAN FRANCISCO, 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.

Successor trustee of the Craft Family Trust. 10 hours per month at $275.00 per hour starting August 2022.

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.
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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	1	0

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.

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/25/1992
Docket/Case Number:	C01920011
Employing firm when activity occurred which led to the regulatory action:	GALLEGOS INSITUTIONAL INVESTORS CORPORATION
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	02/25/1993
Sanctions Ordered:	Censure Monetary/Fine $10,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

[TOP] COMPLAINT NO. C01920011 (DISTRICT NO 1) FILED 3/25/92
AGAINST RESPONDENT DAVID GRANVILLE MCCLURG, AND OTHERS
ALLEGING
VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 35 OF THE RULES OF
FAIR PRACTICE AND SCHEDULE C OF THE NASD'S BY-LAWS IN THAT
RESPONDENTS MEMBER, ACTING THROUGH RESPONDENTS DAVID
MCCLURG,
GALLEGOS, TRACY MCCLURG AND BERRYESSA, IN CONTRAVENTION OF
THE
TERMS OF ITS RESTRICTIVE AGREEMENT WITH THE NASD, FAILED TO
ASSURE THE REGISTRATION OF RESPONDENTS GALLEGOS AND TRACY
MCCLURG AS PRINCIPALS; AND RESPONDENT MEMBER, ACTING
THROUGH
RESPONDENT DAVID MCCLURG, MADE EXAGGERATED, UNWARRANTED
AND
MISLEADING STATEMENTS IN A COMMUNICATION CONCERNING
RESPONDENT
MEMBER'S FINANCIAL CONDITION. DECISION RENDERED 9/25/92,
WHEREIN RESPONDENTS MEMBER, DAVID MCCLURG, TRACY MCCLURG
AND
BERRYESSA ARE CENSURED; RESPONDENTS MEMBER, DAVID MCCLURG,
GALLEGOS, TRACY MCCLURG AND BERRYESSA ARE FINED $5,000,
JOINTLY
AND SEVERALLY; RESPONDENTS MEMBER AND DAVID MCCLURG ARE
FINED
$2,500, JOINTLY AND SEVERALLY; AND, RESPONDENTS MEMBER, DAVID
MCCLURG, GALLEGOS, TRACY MCCLURG AND NORMAN BERRYESSA ARE
ASSESSED COSTS OF $772.80, JOINTLY AND SEVERALLY. IF NO
FURTHER ACTION, DECISION IS FINAL 11/9/92. - 10/14/92 - CALLED
FOR REVIEW BY THE NBCC AS TO ALL RESPONDENTS. NBCC DECISION
RENDERED 1/26/93, WHEREIN THE FINDINGS MADE ARE AFFIRMED AND
THE SANCTIONS IMPOSED ARE MODIFIED; THEREFORE, RESPONDENTS
MEMBER, GALLEGOS, DAVID MCCLURG, TRACY MCCLURG AND
BERRYESSA
ARE CENSURED AND FINED $7,500, JOINTLY AND SEVERALLY;
RESPONDENTS MEMBER AND DAVID MCCLURG ARE FINED $2,500, JOINTLY
AND SEVERALLY, AND ALL RESPONDENTS ARE ASSESSED DBCC COSTS
OF
$772.80, JOINTLY AND SEVERALLY. DECISION IS FINAL 2/25/93

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Censure
Date Initiated:	03/25/1992
Docket/Case Number:	C01920011
Employing firm when activity occurred which led to the regulatory action:	GALLEGOS INSITUTIONAL INVESTORS CORPORATION
Product Type:	No Product
Allegations:	ENGAGING IN CONDUCT IN CONTRAVENTION OF THE REPRESENTATIONS OF THE VOLUNTARY RESTRICTION AGREEMENT AND IN CONTRAVENTION OF SCHEDULE C TO THE ASSOCIATONS BY-LAWS.
Current Status:	Final
Resolution:	Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/25/1993
Sanctions Ordered:	Censure
Broker Statement	DAVID MCCLURG WAS NOT REQUIRED TO CONTRIBUTE THE MONETARY SANCTION. THIS ACTION DID NOT INVOLVE ANY CUSTOMER COMPLAINT NOR ANY INVESTMENT LOSSES. THIS ACTION WAS TAKEN AGAINST GALLEGOS INSTITUTIONAL INVESTORS AND NOT MCCLURG CAPITAL CORPORATION.

End of Report

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