

BrokerCheck Report

JAMES MEIGS RAUH

CRD# 371488

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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.

JAMES M. RAUH

CRD# 371488

Currently employed by and registered with the following Firm(s):**B NORTH CAPITAL PRIVATE SECURITIES CORPORATION**

W134 N8675 Executive Parkway
Menomonee Falls, WI 53051
CRD# 154559

Registered with this firm since: 03/07/2022

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
- 8 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****B GROWTH CAPITAL SERVICES, INC.**

CRD# 124658
Menomonee Falls, WI
11/2020 - 01/2022

IA MARIETTA INVESTMENT PARTNERS, LLC

CRD# 108479
MILWAUKEE, WI
07/2015 - 02/2018

B NORTHERN TRUST SECURITIES, INC.

CRD# 7927
CHICAGO, IL
05/2011 - 10/2013

**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
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 8 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **NORTH CAPITAL PRIVATE SECURITIES CORPORATION**

Main Office Address: **623 E FT UNION BLVD
SUITE 101
SALT LAKE CITY, UT 84047**

Firm CRD#: **154559**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/07/2022
B	FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	03/07/2022

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/20/2022
B	California	Agent	Approved	03/08/2022
B	Colorado	Agent	Approved	03/08/2022
B	Florida	Agent	Approved	04/27/2022
B	Illinois	Agent	Approved	03/07/2022
B	Texas	Agent	Approved	03/07/2022
B	Utah	Agent	Approved	03/08/2022
B	Wisconsin	Agent	Approved	03/10/2022

Branch Office Locations

NORTH CAPITAL PRIVATE SECURITIES CORPORATION

Broker Qualifications



Employment 1 of 1, continued

W134 N8675 Executive Parkway
Menomonee Falls, WI 53051



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	09/04/1990
B Registered Options Principal Examination	Series 4	06/16/1986
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	06/13/1986

General Industry/Product Exams

Exam	Category	Date
B Limited Representative-Private Securities Offerings	Series 82TO	11/10/2020
B Securities Industry Essentials Examination	SIE	09/15/2020
B Registered Representative Examination	Series 1	01/30/1974

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/18/2020

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 11/2020 - 01/2022	GROWTH CAPITAL SERVICES, INC.	124658	Menomonee Falls, WI
IA 07/2015 - 02/2018	MARIETTA INVESTMENT PARTNERS, LLC	108479	MILWAUKEE, WI
B 05/2011 - 10/2013	NORTHERN TRUST SECURITIES, INC.	7927	CHICAGO, IL
IA 09/2010 - 04/2011	HIRTLE, CALLAGHAN & CO., LLC	105403	CHICAGO, IL
B 06/1999 - 05/2010	NORTHERN TRUST SECURITIES, INC.	7927	MILWAUKEE, WI
B 07/1997 - 01/1998	SEGERDAHL & CO., INC.	39590	MILWAUKEE, WI
B 08/1994 - 07/1995	INVEST FINANCIAL CORPORATION	12984	APPLETON, WI
B 05/1983 - 07/1992	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI
B 11/1975 - 11/1986	INA SECURITY CORPORATION	422	
B 02/1974 - 01/1980	ROBERT W. BAIRD & CO. INCORPORATED	719	
B 02/1975 - 11/1975	TRAVELERS EQUITIES SALES, INC.	833	

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
03/2022 - Present	NORTH CAPITAL PRIVATE SECURITIES	REGISTERED REPRESENTATIVE	Y	SALT LAKE CITY, UT, United States
02/2018 - Present	CONTINENTAL PROPERTIES COMPANY INC.	VICE PRESIDENT CAPITAL MARKETS	Y	MENOMONEE FALLS, WI, United States
10/2020 - 01/2022	GROWTH CAPITAL SERVICES	REGISTERED REPRESENTATIVE	Y	SAN FRANCISCO, CA, United States
04/2014 - 08/2019	COLUMBIA CREEK ADVISORS, LLC	PRINCIPAL	Y	MEQUON, WI, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2014 - 09/2017	MARIETTA INVESTMENT PARTNERS, LLC	SENIOR ADVISOR	Y	MILWAUKEE, WI, 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.

CONTINENTAL PROPERTIES COMPANY, INC. AN INVESTMENT RELATED BUSINESS LOCATED IN MENOMONEE FALLS, WISCONSIN 53051. CONTINENTAL PROPERTIES IS A NATIONAL REAL ESTATE DEVELOPMENT AND PROPERTY MANAGEMENT FIRM. APPLICANT SERVES AS A VICE PRESIDENT - CAPITAL MARKETS SINCE FEBRUARY 19, 2018. PRIMARY DUTIES INCLUDED ENGAGING WITH INVESTORS AND PROSPECTIVE INVESTORS FOR THE PURPOSE OF DISSEMINATING INFORMATION ON CONTINENTAL PROPERTIES REAL ESTATE DEVELOPMENT AND PROPERTY MANAGEMENT. APPLICANT SPENDS 160 HOURS PER MONTH AT THIS ACTIVITY.

Independent co-trustee of the Theodore W. Batterman Irrevocable Trust and the Theodore W. Batterman Children's Trust, and an informal advisor to members of the Batterman family, with whom I have a 25-year relationship. I have no asset-based or transaction-based compensation, just an hourly fee for providing suggestions and advice to family members and for serving as an independent co-trustee on the two irrevocable trusts. My work for the Battersmans averages about one hour per week over the course of a year.

Treasurer of the Columbia Creek Condo Association. Not investment related. 5 hours/wk.



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 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 1

Reporting Source:	Firm
Regulatory Action Initiated By:	STATE OF WISCONSIN OFFICE OF THE COMMISSIONER OF INSURANCE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/24/1983
Docket/Case Number:	83-C623
Employing firm when activity occurred which led to the regulatory action:	ROBERT W. BAIRD & CO. INCORPORATED
Product Type:	
Other Product Type(s):	
Allegations:	SIGNED APPLICATIONS AS AGENT/WITNESS WHICH HE DID NOT WITNESS AND WHICH HE RECEIVED FROM UNLICENSED & UNLISTED AGENTS.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	03/31/1983



Sanctions Ordered: Monetary/Fine \$2,000.00

Other Sanctions Ordered:

Sanction Details: FINED \$2000.00

Firm Statement Not Provided

Reporting Source: Broker

Regulatory Action Initiated By: OFFICE OF THE COMMISSIONER OF INSURANCE, STATE OF WISCONSIN

Sanction(s) Sought: Monetary Penalty other than Fines

Date Initiated: 03/24/1983

Docket/Case Number: 83-C623

Employing firm when activity occurred which led to the regulatory action: ROBERT W. BAIRD & CO. INCORPORATED

Product Type: Annuity-Fixed

Allegations: THE INSURANCE COMMISSIONER ALLEGED THAT I SIGNED ANNUITY APPLICATIONS AS AGENT WITNESS THAT I DID NOT WITNESS AND THAT I RECEIVED, AS DEPARTMENT MANAGER, FROM UNLISTED AGENTS.

Current Status: Final

Resolution: STIPULATION AND ORDER

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 03/31/1983

Sanctions Ordered: Monetary Penalty other than Fines

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$2,000.00



Portion Levied against individual: \$2,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

I MANAGED THE INSURANCE SERVICES DEPARTMENT OF ROBERT W. BAIRD & CO. AT THE TIME OF THE STIPULATION. SOME OF BAIRD'S AGENTS SUBMITTED FIXED DEFERRED ANNUITY APPLICATIONS TO SUN LIFE OF CANADA (U.S.) FOR SUBMISSION IN ADVANCE OF A REDUCTION IN THE COMPANY'S 5-YEAR INTEREST RATE GUARANTEE. WHEN I DISCOVERED THAT SOME OF THE AGENTS WERE NOT LISTED WITH SUN LIFE, I SIGNED AS AGENT. SUN LIFE'S APPLICATION INDICATED "AGENT/WITNESS" AT THE SIGNATURE LINE, WHICH I OVERLOOKED.

End of Report



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