BrokerCheck Report

PETER GORDON SASAKI

CRD# 5076572

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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.
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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.

PETER G. SASAKI

CRD# 5076572

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

IA **ODEON CAPITAL ADVISORS LLC**
750 LEXINGTON AVENUE
NEW YORK, NY 10022
CRD# 307619
Registered with this firm since: 02/16/2021

B **ODEON CAPITAL GROUP LLC**
750 LEXINGTON AVENUE
NEW YORK, NY 10022
CRD# 148493
Registered with this firm since: 12/10/2021

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
- 13 U.S. states and territories

This broker has passed:

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

Registration History

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

B **CAPLINK SECURITIES, INC**
CRD# 130702
MANHATTAN BEACH, CA
09/2015 - 12/2021

IA **CENTARA CAPITAL MANAGEMENT GROUP, INC.**
CRD# 114880
SAN DIEGO, CA
09/2012 - 12/2013

B **CENTARA CAPITAL SECURITIES, INC.**
CRD# 130702
MANHATTAN BEACH, CA
03/2012 - 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? **No**

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

Employment 1 of 2

Firm Name: **ODEON CAPITAL ADVISORS LLC**

Main Office Address: **750 LEXINGTON AVENUE**
NEW YORK, NY 10022

Firm CRD#: **307619**

	U.S. State/ Territory	Category	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	12/10/2021
IA	Delaware	Investment Adviser Representative	Approved	12/14/2021
IA	Florida	Investment Adviser Representative	Approved	01/27/2022
IA	New York	Investment Adviser Representative	Approved	02/16/2021
IA	Ohio	Investment Adviser Representative	Approved	12/14/2021

Branch Office Locations

750 LEXINGTON AVENUE
NEW YORK, NY 10022

Employment 2 of 2

Firm Name: **ODEON CAPITAL GROUP LLC**

Main Office Address: **750 LEXINGTON AVENUE, 27TH FL.**
NEW YORK, NY 10022

Firm CRD#: **148493**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	12/10/2021

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Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	12/14/2021
B	California	Agent	Approved	12/10/2021
B	Connecticut	Agent	Approved	12/14/2021
B	Florida	Agent	Approved	12/10/2021
B	Hawaii	Agent	Approved	12/10/2021
B	Illinois	Agent	Approved	12/10/2021
B	Massachusetts	Agent	Approved	12/14/2021
B	New Jersey	Agent	Approved	12/10/2021
B	New York	Agent	Approved	12/10/2021
B	Texas	Agent	Approved	12/10/2021
B	Washington	Agent	Approved	12/10/2021

Branch Office Locations

ODEON CAPITAL GROUP LLC
750 LEXINGTON AVENUE
NEW YORK, NY 10022

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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, 3 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	National Commodity Futures Examination	Series 3	12/12/2022
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	03/05/2012

State Securities Law Exams

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	11/14/2019
B IA	Uniform Combined State Law Examination	Series 66	09/18/2012

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates		Firm Name	CRD#	Branch Location
B	09/2015 - 12/2021	CAPLINK SECURITIES, INC	130702	MANHATTAN BEACH, CA
IA	09/2012 - 12/2013	CENTARA CAPITAL MANAGEMENT GROUP, INC.	114880	NEW YORK, NY
B	03/2012 - 12/2013	CENTARA CAPITAL SECURITIES, INC.	130702	MANHATTAN BEACH, CA

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
12/2021 - Present	ODEON CAPITAL GROUP	REGISTERED REPRESENTATIVE	Y	New York, NY, United States
07/2019 - Present	ODEON CAPITAL ADVISORS LLC (FOMERLY SDS FAMILY OFFICE LLC)	MANAGING MEMBER	Y	NEW YORK, NY, United States
08/2009 - Present	CGS CAPITAL ADVISORS, LLC	MANAGING MEMBER	Y	NEW YORK, NY, United States
09/2015 - 12/2021	CAPLINK SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	HERMOSA BEACH, CA, United States
08/2009 - 10/2021	CGS ASSOCIATES, LLC	MANAGING MEMBER	N	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.

CGS Capital Advisors, LLC, New York, NY. Managing Member. Research and consulting services. Since 07/09. Hours devoted to this activity vary. Odeon Capital Advisors LLC (formerly SDS Family Office, LLC), New York, NY. Managing Member. Affiliated Investment Advisor. Investment Related. For compensation. Since 07/19. 140 hours per month. 5 hours during trading hours.

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Registration and Employment History

Other Business Activities, continued

Pomona College, Claremont, CA. Trustee of non-profit institution. Investment Related. Not for compensation. Since 07/13. 10 hours per month outside of trading hours.

Hopkins School, New Haven, CT. Trustee of non-profit institution. Not investment related. Not for compensation. Since 07/17. 5 hours per month outside of trading hours.

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End of Report

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