

## BrokerCheck Report

**RALPH CARTER FREEMAN JR**

CRD# 824393

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**RALPH C. FREEMAN JR**

CRD# 824393

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

- B JCC CAPITAL MARKETS, LLC**  
 141 S. LAKE STREET  
 SUITE 102  
 PASADENA, CA 91101  
 CRD# 146776  
 Registered with this firm since: 03/05/2013

**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
- 1 U.S. state or territory

**This broker has passed:**

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

**Registration History**

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

- B FPI CREST SECURITIES, INC.**  
 CRD# 10486  
 05/1982 - 06/1986

**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	3
Criminal	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 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

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

Main Office Address: **30011 IVY GLENN DR  
#220  
LAGUNA NIGUEL, CA 92677**

Firm CRD#: **146776**

SRO	Category	Status	Date
<b>B</b> FINRA	Corporate Securities Represent	Approved	03/05/2013
<b>B</b> FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	05/01/2013

U.S. State/ Territory	Category	Status	Date
<b>B</b> California	Agent	Approved	05/29/2013

### Branch Office Locations

**JCC CAPITAL MARKETS, LLC**  
141 S. LAKE STREET  
SUITE 102  
PASADENA, CA 91101



## 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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Direct Participation Programs Principal Examination	Series 39	11/20/1981

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Limited Representative-Private Securities Offerings	Series 82	04/30/2013
<b>B</b> Corporate Securities Limited Representative Examination	Series 62	03/04/2013
<b>B</b> Registered Representative Examination	Series 1	07/02/1976

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	05/28/2013

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/](http://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>B</b> 05/1982 - 06/1986	FPI CREST SECURITIES, INC.	10486	

### 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
02/2013 - Present	JCC ADVISORS, LLC	VICE PRESIDENT	Y	PASADENA, CA, United States
07/2006 - Present	JANAS CONSULTING	CHAIRMAN	N	PASADENA, CA, United States
01/1995 - Present	JANAS CORPORATION	CHAIRMAN	N	PASADENA, 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.

JANAS CORPORATION DBA JANAS ASSOCIATES & JANAS CONSULTING, PASADENA, CA POSITION: CHAIRMAN; NATURE OF BUSINESS: CONSULTING, START DATE: JANUARY, 1995; HOURS PER WEEK: 40; HOURS DURING TRADING HOURS: 6-8 DUTIES: MANAGEMENT CONSULTING

## 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	3	0
Criminal	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 3

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	Censure Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	01/12/1983
<b>Docket/Case Number:</b>	SF-946-SC
<b>Employing firm when activity occurred which led to the regulatory action:</b>	FPI CREST SECURITIES, INC
<b>Product Type:</b>	Direct Investment-DPP & LP Interests
<b>Allegations:</b>	COMP #SF-946-SC, FILED 1/12/83, DIST. #2N ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 27 OF THE RULES OF FAIR PRACTICE IN THAT FREEMAN DEPOSITED FUNDS RECEIVED FOR THE PURCHASE OF LIMITED PARTNERSHIP INTERESTS DIRECTLY INTO A PARTNERSHIP ACCOUNT CONTROLLED BY THE ISSUER RATHER THAN IN A SEPARATE BANK TRUST OR ESCROW ACCOUNT FOR THE BENEFIT OF THE INVESTORS AS REQUIRED, AND CAUSED FUNDS TO BE EXPENDED FROM SUCH PARTNERSHIP NON-ESCROW ACCOUNTS PRIOR TO THE TIME THAT THE CONTINGENCY



REFERRED TO IN THE OFFERING CIRCULAR HAD OCCURRED; AND FAILED TO ESTABLISH, MAINTAIN AND ENFORCE WRITTEN SUPERVISORY PROCEDURES.

**Current Status:** Final

**Resolution:** Settled

**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:** 08/26/1983

**Sanctions Ordered:** Censure  
Civil and Administrative Penalty(ies)/Fine(s)

#### Monetary Sanction 1 of 1

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$250.00

**Portion Levied against individual:** \$250.00

#### Payment Plan:

**Is Payment Plan Current:**

**Date Paid by individual:** 10/19/1983

**Was any portion of penalty waived?** No

**Amount Waived:**

#### Broker Statement

\*\*\*\*SUMMARY COMPLAINT REJECTED. FORMAL COMPLAINT FILED 2/23/83.  
\*\*\*\*DECISION RENDERED 8/26/83, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY FREEMAN IS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$250, J&S. ALL RIGHTS OF APPEAL AND REVIEW HAVE BEEN WAIVED, THIS DECISION WAS FINAL 8/26/83. \*\*\*\*10/19/83, FC #8538 PAID IN FULL.



## Disclosure 2 of 3

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	Censure Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	04/24/1984
<b>Docket/Case Number:</b>	SF-1042
<b>Employing firm when activity occurred which led to the regulatory action:</b>	FPI CREST SECURITIES, INC
<b>Product Type:</b>	Direct Investment-DPP & LP Interests
<b>Allegations:</b>	COMP #SF-1042 FILED 4/24/84, DIST. #2N AGAINST FPI CREST SECURITIES, INC. AND R. CARTER FREEMAN, JR., ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 2 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT FREEMAN, IN CONNECTION WITH THE SALE OF INTERESTS IN TWO LIMITED PARTNERSHIPS, GRANTED DISCOUNTS TO CERTAIN CUSTOMERS WITHOUT DISCLOSURE TO INVESTORS AND THE DISCOUNT TO ONE OF SAID CUSTOMERS REPRESENTED PAYMENT FOR SERVICES PERFORMED IN CONNECTION WITH OTHER PARTNERSHIPS; AND RECOMMENDED THE PURCHASE OF ONE HALF UNIT OF A LIMITED PARTNERSHIP TO A CUSTOMER WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THAT SUCH RECOMMENDATION WAS SUITABLE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	10/30/1985
<b>Sanctions Ordered:</b>	Censure



Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$1,500.00**Portion Levied against individual:** \$1,500.00**Payment Plan:****Is Payment Plan Current:** Yes**Date Paid by individual:** 02/19/1986**Was any portion of penalty waived?** No**Amount Waived:**

**Broker Statement** DECISION RENDERED 10/30/85 WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY THE RESPONDENTS WAS ACCEPTED; THEREFORE, RESPONDENTS ARE CENSURED AND FINED \$1,500.00, JOINTLY AND SEVERALLY. \*\*\*2/19/86, FC# 9332, PAID IN FULL.

**Disclosure 3 of 3****Reporting Source:** Broker**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Censure  
Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Date Initiated:** 07/03/1986**Docket/Case Number:** SF-1158**Employing firm when activity occurred which led to the regulatory action:** FPI CREST SECURITIES, INC**Product Type:** Direct Investment-DPP & LP Interests**Allegations:** ENTERED 8/15/86:COMPLAINT NO. SF-1158 FILED JULY 3, 1986, BY DISTRICT NO. 2 AGAINST CREST SECURITIES, INC., RALPH CARTER FREEMAN, JR.,



ANDL AWRENCE CARTER PENROSE ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 27 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT FREEMAN, IN CONNECTION WITH THE SALE OF LIMITED PARTNERSHIP INTERESTS, GRANTED A DISCOUNT OR OTHER ALLOWANCE TO AN EMPLOYEE OF AN AFFILIATED COMPANY AND TO RESPONDENT PENROSE WITHOUT DISCLOSING SUCH TO OTHER INVESTORS; GRANTED A DISCOUNT OR OTHER ALLOWANCE TO RESPONDENT PENROSE IN CONNECTION WITH HIS PURCHASE OF A UNIT IN A LIMITED PARTNERSHIP WITHOUT DISCLOSING SUCH TO OTHER INVESTORS; RESPONDENT PENROSE WAS, AND RESPONDENTS MEMBER AND FREEMAN PERMITTED HIM TO BE, ACTIVELY ENGAGED IN THE MANAGEMENT OF THE MEMBER'S SECURITIES BUSINESS WITHOUT BEING REGISTEED AS A PRINCIPAL; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENT FREEMAN, FAILED TO PROPERLY SUPERVISE THE ACTIVITIES OF PERSONS ASSOCIATED WITH THE MEMBER.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	05/02/1987
<b>Sanctions Ordered:</b>	Censure Civil and Administrative Penalty(ies)/Fine(s)
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$10,000.00
<b>Portion Levied against individual:</b>	\$10,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	05/02/1987
<b>Was any portion of penalty waived?</b>	No

**Amount Waived:****Broker Statement**

DECISION RENDERED OCTOBER 21, 1987, WHEREIN RESPONDENT MEMBER IS CENSURED, FINED \$25,000.00, ASSESSED COSTS OF \$249.76 AND SUSPENDED FROM MEMBERSHIP FOR SEVEN (7) CALENDAR DAYS, RESPONDENT FREEMAN IS CENSURED, FINED \$25,000.00, AND ASSESSED COSTS OF \$249.76, AND RESPONDENT PENROSE IS CENSURED, FINED \$10,000.00 AND ASSESSED COSTS OF \$249.76. IF NO FURTHER ACTION, DECISION IS FINAL DECEMBER 4, 1986. NOVEMBER 4, 1986 - APPEALED TO THE BOARD OF GOVERNORS. BOARD OF GOVERNORS' DECISION RENDERED APRIL 3, 1987 WHEREIN THE FINDINGS MADE ARE AFFIRMED AND THE SANCTIONS ARE MODIFIED; THEREFORE, RESPONDENT MEMBER IS CENSURED, FINED \$25,000.00, ASSESSED COSTS OF \$249.76 AND SUSPENDED FROM MEMBERSHIP FOR SEVEN (7) CALENDAR DAYS, RESPONDENT FREEMAN IS CENSURED, FINED \$10,000.00 AND ASSESSED COSTS OF \$249.76, AND RESPONDENT PENROSE IS CENSURED, FINED \$10,000.00 AND ASSESSED COSTS OF \$249.76. IF NO FURTHER ACTION, DECISION IS FINAL MAY 2, 1987. MAY 2, 1987 - DECISION IS FINAL.



## Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Formal Charges were brought in:</b>	Federal Court
<b>Name of Court:</b>	UNITED STATES DISTRICT COURT
<b>Location of Court:</b>	DISTRICT OF HAWAII
<b>Docket/Case #:</b>	1:90CR01741-001
<b>Charge Date:</b>	11/02/1990
<b>Charge(s) 1 of 2</b>	
<b>Formal Charge(s)/Description:</b>	INTERSTATE TRANSPORTATION OF STOLEN MONEY
<b>No of Counts:</b>	3
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	NO PLEA
<b>Disposition of charge:</b>	Deferred Adjudication
<b>Charge(s) 2 of 2</b>	
<b>Formal Charge(s)/Description:</b>	THE SECURITIES FRAUD SCHEME TO DEFRAUD
<b>No of Counts:</b>	6
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	PLEAD GUILTY TO THREE OF THE COUNTS
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	09/28/1992
<b>Disposition Date:</b>	10/01/1992
<b>Sentence/Penalty:</b>	5 YEARS IMPRISONMENT, BEGAIN IN 11/9/1992, \$20,000 RESTITUTION PAID, UNSURE OF PAYMENT DATE.

## End of Report



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