

BrokerCheck Report

INVICTA CAPITAL LLC

CRD# 288101

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 6
Firm History	7
Firm Operations	8 - 13

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:

- o 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
- o 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.](http://www.finra.org)



INVICTA CAPITAL LLC

CRD# 288101

SEC# 8-69923

Main Office Location

2790 MOSSIDE BOULEVARD
SUITE 530
MONROEVILLE, PA 15146
Regulated by FINRA Philadelphia Office

Mailing Address

2790 MOSSIDE BOULEVARD
SUITE 530
MONROEVILLE, PA 15146

Business Telephone Number

412-287-4646

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Pennsylvania on 07/14/2010.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 33 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 6 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Pennsylvania on 07/14/2010.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

INVICTA CAPITAL LLC

Doing business as INVICTA CAPITAL LLC

CRD# 288101

SEC# 8-69923

Main Office Location

2790 MOSSIDE BOULEVARD
SUITE 530
MONROEVILLE, PA 15146

Regulated by FINRA Philadelphia Office

Mailing Address

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MONROEVILLE, PA 15146

Business Telephone Number

412-287-4646



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): TOTH, AIMEE ANNE
5079628

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF EXECUTIVE OFFICER

Position Start Date 03/2017

Percentage of Ownership 50% but less than 75%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company?

Legal Name & CRD# (if any): BEVERIDGE, LYLE
1321597

Is this a domestic or foreign entity or an individual? Individual

Position SHAREHOLDER

Position Start Date 02/2020

Percentage of Ownership 5% but less than 10%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): GIAMBRI, PHILIP MAYNARD
1182516

Is this a domestic or foreign entity or an individual? Individual

Position SHAREHOLDER

Firm Profile



Direct Owners and Executive Officers (continued)

Position Start Date	02/2022
Percentage of Ownership	5% but less than 10%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any): KRZTON, WILLIAM THOMAS
6396217

Is this a domestic or foreign entity or an individual?	Individual
Position	SHAREHOLDER
Position Start Date	12/2018
Percentage of Ownership	5% but less than 10%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any): LINKENBACH, REX
2521282

Is this a domestic or foreign entity or an individual?	Individual
Position	SHAREHOLDER
Position Start Date	02/2020
Percentage of Ownership	5% but less than 10%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Firm Profile



Direct Owners and Executive Officers (continued)

Legal Name & CRD# (if any): PEARSON, KRISTIN MARIE
4522677

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF COMPLIANCE OFFICER

Position Start Date 11/2018

Percentage of Ownership 5% but less than 10%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): TEAL, GREGORY SCOTT
4768591

Is this a domestic or foreign entity or an individual? Individual

Position SHAREHOLDER

Position Start Date 02/2020

Percentage of Ownership 5% but less than 10%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company?

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

No information reported.

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 33 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/20/2018

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	03/20/2018



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	11/06/2018
California	Approved	12/17/2018
Colorado	Approved	11/28/2018
Connecticut	Approved	12/10/2018
Delaware	Approved	11/19/2018
District of Columbia	Approved	01/28/2019
Florida	Approved	12/14/2018
Georgia	Approved	12/20/2018
Illinois	Approved	05/29/2019
Indiana	Approved	11/01/2019
Iowa	Approved	11/15/2018
Kentucky	Approved	12/14/2018
Maine	Approved	12/19/2018
Maryland	Approved	11/08/2018
Michigan	Approved	10/02/2019
Missouri	Approved	01/22/2020
Montana	Approved	09/16/2019
Nebraska	Approved	08/12/2020
Nevada	Approved	11/21/2019
New Jersey	Approved	02/04/2019
New York	Approved	12/10/2018
North Carolina	Approved	11/21/2018
Ohio	Approved	11/06/2018
Pennsylvania	Approved	09/07/2018
Rhode Island	Approved	06/24/2019
South Carolina	Approved	12/14/2018
Tennessee	Approved	12/10/2018
Texas	Approved	12/18/2018
Vermont	Approved	12/21/2018
Virginia	Approved	12/12/2018
Washington	Approved	12/18/2018
West Virginia	Approved	10/10/2019
Wisconsin	Approved	01/10/2020

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 6 types of businesses.

Types of Business

Mutual fund retailer
Broker or dealer selling variable life insurance or annuities
Real estate syndicator
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Broker or dealer selling tax shelters or limited partnerships in the secondary market
Private placements of securities

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

INVICTA ADVISORS LLC is under common control with the firm.

CRD #:	298868
Business Address:	606 CORBET STREET P.O. BOX 5 TARENTUM, PA 15084
Effective Date:	10/12/2018
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	AIMEE A. TOTH OWNERS MORE THAN 25% OF EACH ENTITY AND IS CEO OF BOTH ENTITIES.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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