



IAPD Report

GREGORY STEWART COHN

CRD# 4441762

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

GREGORY STEWART COHN (CRD# 4441762)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/19/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MCA SECURITIES LLC	CRD# 298069	11/21/2018
IA	MAVEN CAPITAL PARTNERS, LLC	CRD# 300626	04/25/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	BRIDGE CAPITAL ASSOCIATES, INC.	143475	Atlanta, GA	03/07/2018 - 12/06/2018
B	PNC FUNDS DISTRIBUTOR, LLC	118787	ATLANTA, GA	07/17/2015 - 02/13/2018
IA	PNC CAPITAL ADVISORS LLC	151829	ATLANTA, GA	09/25/2015 - 02/12/2018

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **33** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MCA SECURITIES LLC**
Main Address: 3060 PEACHTREE ROAD NW
SUITE 1005
ATLANTA, GA 30305
Firm ID#: 298069

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	11/21/2018
B	FINRA	General Securities Representative	Approved	11/21/2018
B	FINRA	Investment Banking Representative	Approved	11/21/2018
B	FINRA	Operations Professional	Approved	09/26/2019
B	Alabama	Agent	Approved	01/30/2019
B	Arizona	Agent	Approved	12/11/2018
B	California	Agent	Approved	03/11/2019
B	Connecticut	Agent	Approved	03/13/2019
B	District of Columbia	Agent	Approved	01/25/2019
B	Florida	Agent	Approved	01/25/2019
B	Georgia	Agent	Approved	12/06/2018
B	Illinois	Agent	Approved	05/06/2019
B	Indiana	Agent	Approved	04/17/2019



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	03/14/2019
B Kentucky	Agent	Approved	02/28/2019
B Maine	Agent	Approved	03/15/2019
B Maryland	Agent	Approved	02/12/2019
B Massachusetts	Agent	Approved	04/26/2019
B Michigan	Agent	Approved	03/07/2019
B Minnesota	Agent	Approved	08/15/2019
B Mississippi	Agent	Approved	08/05/2019
B Missouri	Agent	Approved	03/25/2019
B Nebraska	Agent	Approved	04/09/2019
B New Hampshire	Agent	Approved	08/06/2019
B New Jersey	Agent	Approved	05/07/2019
B New York	Agent	Approved	03/04/2019
B North Carolina	Agent	Approved	01/15/2019
B Ohio	Agent	Approved	03/01/2019
B Oregon	Agent	Approved	03/11/2019
B Pennsylvania	Agent	Approved	02/27/2019
B South Carolina	Agent	Approved	03/18/2019
B Tennessee	Agent	Approved	01/24/2019



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	01/30/2019
B Vermont	Agent	Approved	03/08/2019
B Virginia	Agent	Approved	01/24/2019
B Washington	Agent	Approved	02/20/2019
B Wisconsin	Agent	Approved	03/08/2019

Branch Office Locations

3060 Peachtree Road NW
Suite 1005
Atlanta, GA 30305

Employment 2 of 2

Firm Name: **MAVEN CAPITAL PARTNERS, LLC**
Main Address: 3060 PEACHTREE ROAD
SUITE 1005
ATLANTA, GA 30305
Firm ID#: 300626

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	04/25/2019

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.




Qualifications

PASSED INDUSTRY EXAMS





This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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
 General Securities Principal Examination (S24)	Series 24	06/14/2018

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	11/19/2018
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/17/2015

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	08/19/2015

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/07/2018 - 12/06/2018	BRIDGE CAPITAL ASSOCIATES, INC.	CRD# 143475	Atlanta, GA
B	07/17/2015 - 02/13/2018	PNC FUNDS DISTRIBUTOR, LLC	CRD# 118787	ATLANTA, GA
IA	09/25/2015 - 02/12/2018	PNC CAPITAL ADVISORS LLC	CRD# 151829	ATLANTA, GA
B	04/19/2005 - 10/11/2007	NAVIGANT CAPITAL ADVISORS, LLC	CRD# 114155	ATLANTA, GA
B	11/22/2004 - 04/15/2005	CBW SECURITIES, LLC	CRD# 132023	ATLANTA, GA
B	10/08/2001 - 12/17/2002	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2018 - Present	Maven Capital Partners, LLC	Advisory Representative	Y	Atlanta, GA, United States
07/2018 - Present	MCA Securities, LLC	President, MD	Y	Atlanta, GA, United States
02/2018 - 12/2018	Bridge Capital Associates, Inc.	Registered Representative	Y	Lilburn, GA, United States
05/2015 - 02/2018	PNC CAPITAL ADVISORS, LLC	BUSINESS DEVELOPMENT III	Y	ATLANTA, GA, United States
05/2015 - 02/2018	PNC FUNDS DISTRIBUTOR	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States
09/2011 - 05/2015	SELF EMPLOYED	SELF EMPLOYED	N	ATLANTA, GA, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

1) Maven Capital Advisors, LLC; investment-related; 3060 Peachtree Road NW, Suite 1005, Atlanta, GA; Holding company for MCA Securities, LLC; Placement agent; Managing Director; Provides general consulting services; started 02/2018; devotes 10 hours per week. 2) Source Capital Mezzanine Partners; investment-related; 75 Fourteenth Street, Suite 2700, Atlanta, GA 30309; Mezzanine debt lender; Member of general partnership; started 07/2010; devotes 0 hours per week. 3) Maven Capital Partners, LLC; investment-related; 3060 Peachtree Road NW, Suite 1005, Atlanta, GA; Investment Advisor; President; Strategy and development; started 04/2019; devotes 10 hours per week. 3) Maven Employment, LLC; Not Investment Related; Employment services; 3060 Peachtree Rd. NW Suite 1005 Atlanta, GA 30305; Employee and indirect owner; Started 07/2022; 0 hours per month; 0 hours during securities trading hours.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
------	-------

Termination	1
-------------	---

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: NAVIGANT CAPITAL ADVISORS, LLC

Termination Type: Voluntary Resignation

Termination Date: 10/09/2007

Allegations: THE ASSOCIATED PERSON RESIGNED ON 10/9/07 AFTER BEING NOTIFIED THAT HE WAS THE SUBJECT OF AN INTERNAL REVIEW FOR, AMONG OTHER REASONS, PARTICIPATING IN A PRIVATE SECURITIES TRANSACTION WITHOUT PROVIDING WRITTEN NOTICE TO OR RECEIVING APPROVAL FROM THE FIRM AS REQUIRED BY FINRA RULE 3040.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Types:

Firm Statement AT THE TIME OF HIS VOLUNTARY TERMINATION, MR. COHN WAS NOT NOTIFIED OR AWARE THAT HE WAS THE SUBJECT OF AN INTERNAL REVIEW. MR. COHN WAS NOT AWARE OF HIS PARTICIPATION IN ANY PRIVATE SECURITIES TRANSACTIONS. HE UNDERSTOOD ALL WORK HE WAS PERFORMING WAS FOR FIRM CLIENTS.

Reporting Source: Individual

Firm Name: NAVIGANT CAPITAL ADVISORS, LLC

Termination Type: Voluntary Resignation

Termination Date: 10/09/2007

Allegations: THE ASSOCIATED PERSON RESIGNED ON 10/9/07 AFTER BEING NOTIFIED THAT HE WAS THE SUBJECT OF AN INTERNAL REVIEW FOR, AMONG OTHER REASONS, PARTICIPATING IN A PRIVATE SECURITIES



TRANSACTION WITHOUT PROVIDING WRITTEN NOTICE TO OR RECEIVING APPROVAL FROM THE FIRM AS REQUIRED BY FINRA RULE 3040.

Product Type:

Direct Investment-DPP & LP Interests

Broker Statement

AT THE TIME OF HIS VOLUNTARY TERMINATION, MR. COHN WAS NOT NOTIFIED OR AWARE THAT HE WAS THE SUBJECT OF AN INTERNAL REVIEW. MR. COHN WAS NOT AWARE OF HIS PARTICIPATION IN ANY PRIVATE SECURITIES TRANSACTIONS. HE UNDERSTOOD ALL WORK HE WAS PERFORMING WAS FOR FIRM CLIENTS.

NAVIGANT CAPITAL ADVISORS LLC ("NAVIGANT") STATES THAT THE ASSOCIATED PERSON VOLUNTARILY RESIGNED PRIOR TO THE CONCLUSION OF THE INTERNAL REVIEW WHICH WAS INITIATED TO DETERMINE WHETHER THE ASSOCIATED PERSON PARTICIPATED IN A PRIVATE SECURITIES TRANSACTION WITHOUT PROVIDING WRITTEN NOTICE TO OR RECEIVING APPROVAL FROM THE FIRM AS REQUIRED BY FINRA RULE 3040. FOLLOWING NAVIGANT'S SUBMISSION OF MR. COHN'S FORM U-5, NAVIGANT PURSUED FURTHER INVESTIGATION OF THE MATTER. THIS INVESTIGATION AND FINRA'S INVESTIGATION AND DETERMINATION NOT TO PURSUE DISCIPLINARY ACTION AGAINST MR. COHN HAS REVEALED THAT MR. COHN'S CONDUCT AT ISSUE IMPLICATED VIOLATIONS OF COMPANY POLICY RATHER THAN VIOLATIONS OF FINRA RULE 3040. MR. COHN FULLY COOPERATED WITH THE INVESTIGATION.



End of Report

This page is intentionally left blank.