



IAPD Report

MICHAEL JAMES FREEBURG

CRD# 4508491

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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.



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

MICHAEL JAMES FREEBURG (CRD# 4508491)

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 **08/29/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GREENWICH WEALTH MANAGEMENT, LLC	CRD# 142820	12/03/2010

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	PRIVATE CLIENT SERVICES, LLC	120222	Greenwich`, CT	11/30/2015 - 12/01/2016
B	LEIGH BALDWIN & CO., LLC	38751	GREENWICH, CT	08/02/2013 - 12/01/2015
B	SAXONY SECURITIES, INC.	115547	GREENWICH, CT	12/20/2006 - 08/19/2013

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
Regulatory Event	4





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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GREENWICH WEALTH MANAGEMENT, LLC**
Main Address: 45 EAST PUTNAM AVENUE
SUITE 128
GREENWICH, CT 06830
Firm ID#: 142820

	Regulator	Registration	Status	Date
	Connecticut	Investment Adviser Representative	Approved	12/13/2010
	Florida	Investment Adviser Representative	Approved	01/24/2018

Branch Office Locations

GREENWICH WEALTH MANAGEMENT, LLC
777 S. Flagler Drive
East Tower Drive #1005
West Palm Beach, FL 33401



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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	12/01/2016
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B General Securities Representative Examination (S7)	Series 7	03/13/2002
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/04/2004
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B Uniform Securities Agent State Law Examination (S63)	Series 63	03/26/2002
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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	11/30/2015 - 12/01/2016	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	Greenwich, CT
B	08/02/2013 - 12/01/2015	LEIGH BALDWIN & CO., LLC	CRD# 38751	GREENWICH, CT
B	12/20/2006 - 08/19/2013	SAXONY SECURITIES, INC.	CRD# 115547	GREENWICH, CT
IA	01/18/2007 - 03/24/2008	GREENWICH WEALTH MANAGEMENT, LLC	CRD# 142820	GREENWICH, CT
B	07/22/2004 - 12/20/2006	JVB FINANCIAL GROUP, LLC	CRD# 104412	COS COB, CT
B	03/15/2002 - 07/30/2004	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA

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
12/2006 - Present	GREENWICH WEALTH MANAGEMENT LLC	MANAGER/ MEMBER	Y	GREENWICH, CT, United States
12/2015 - 12/2016	Private Client Services	Registered Representative	Y	Louisville, KY, United States

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.

Michael J. Freeburg is a Founding Member of Catalus Capital Management, LLC (CCM). CCM is the management company for Catalus Capital, LLC (CC). The combined Business of CCM and CC operate as a private Family Office for the benefit of a single family. Both CCM and CC were founded in 2011. The business address for both companies is: 777 S. Flagler Drive, East Tower, Suite 1005 West Palm Beach, FL 33401. Michael J. Freeburg does not expect to devote more than 20 hours monthly to the combined business of CCM & CC most of which will be during non-market hours. Michael J. Freeburg's primary responsibility is to manage the non-underwriting side of the business. This is an investment related business.

The name of the other business: Limin Holdings LLC

Whether the business is investment-related: Yes

The address of the other business: 777 S. Flagler Drive, East Building #1005, West Palm Beach FL 33401



Registration & Employment History



OTHER BUSINESS ACTIVITIES

The nature of the other business: Is a special purpose vehicle established to pursue a banking license in the Eastern Caribbean
Your position, title, or relationship with the other business: Member
The start date of your relationship: 5/1/2024
The approximate number of hours/month you devote to the other business: 8 hours per month
The number of hours you devote to the other business during securities trading hours: 4 hours per month
Briefly describe your duties relating to the other business: Management oversight of the application for a banking license with the ECCB



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
Regulatory Event	4

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	COMMODITY FUTURES TRADING COMMISSION
Sanction(s) Sought:	Other: conditional registration for 1 year
Date Initiated:	02/29/1992
Docket/Case Number:	NFA ID 0085337 CASE # 92-5-50
Employing firm when activity occurred which led to the regulatory action:	CUSTOM FLOOR BROKERAGE INC
Product Type:	Futures Commodity
Allegations:	In 1992 Freeburg settled a CFTC administrative action and accepted a conditional registration for 1 year.
Current Status:	Final
Resolution:	Full unconditional registration resumed after the 1 year time period.
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:	09/29/1992
Sanctions Ordered:	Other: RESTRICTED REGISTRATION



Disclosure 2 of 4

Reporting Source: Individual

Regulatory Action Initiated By: COMMODITY EXCHANGE INC.

Sanction(s) Sought: Other: Monetary Fine \$250

Date Initiated: 06/25/1991

Docket/Case Number: CEI CASE NO. AT-91-12

Employing firm when activity occurred which led to the regulatory action: CUSTOM FLOOR BROKERAGE INC.

Product Type: Futures Commodity

Allegations: APPLICANT FAILED TO ENSURE THE SUBMISSION OF ACCURATE TRADE EXECUTION TIMES TO THE EXCHANGE.

Current Status: Final

Resolution: Monetary Fine \$250

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: 10/22/1991

Sanctions Ordered: Other: Monetary Fine \$250

Broker Statement THE WAS THE FIRST AND ONLY AUDIT TRAIL VIOLATION

Disclosure 3 of 4

Reporting Source: Individual

Regulatory Action Initiated By: COMMODITY EXCHANGE INC.

Sanction(s) Sought: Other: Monetary Fine

Date Initiated: 02/20/1997

Docket/Case Number: NYME 97-F114

Employing firm when activity occurred which led to the regulatory action: CUSTOM FLOOR BROKERAGE INC.

Product Type: Futures Commodity

Allegations: Unintentional prohibited bid

Current Status: Final

Resolution: paid fine without admitting or denying



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:	02/20/1997
Sanctions Ordered:	Other: paid fine without admitting or denying
Disclosure 4 of 4	
Reporting Source:	Individual
Regulatory Action Initiated By:	COMMODITY EXCHANGE INC.
Sanction(s) Sought:	Other: Monetary Fine/Suspension \$25,000
Date Initiated:	01/01/1987
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	FREEBURG FUTURES, INC.
Product Type:	Futures Commodity
Allegations:	In 1986 Freeburg and two other members of the Commodity Exchange were involved in an altercation.
Current Status:	Final
Resolution:	Monetary Fine/Suspension \$25,000
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:	01/01/1987
Sanctions Ordered:	Other: Trading privileges were suspended for two weeks, fined \$25,000.
Broker Statement	No recurrence prior to or since this incident.



End of Report

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