



IAPD Report

PHILIPPE ROBERT OERTLE

CRD# 5192671

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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

PHILIPPE ROBERT OERTLE (CRD# 5192671)

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 **03/14/2024**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|-----------------------------|-------------|------------------|
| IA | CATALINA CAPITAL GROUP, LLC | CRD# 172556 | 07/11/2016 |

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 |
|-----------|-------------------------------|--------|-----------------|-------------------------|
| IA | FIRST FOUNDATION ADVISORS | 106075 | PASADENA, CA | 03/27/2013 - 07/11/2016 |
| B | CITIGROUP GLOBAL MARKETS INC. | 7059 | LOS ANGELES, CA | 05/29/2007 - 08/09/2012 |
| IA | CITIGROUP GLOBAL MARKETS INC. | 7059 | LOS ANGELES, CA | 05/29/2007 - 08/09/2012 |

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 | 1 |
| 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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CATALINA CAPITAL GROUP, LLC**
Main Address: 2601 AIRPORT DRIVE
SUITE 375
TORRANCE, CA 90505
Firm ID#: 172556

| | Regulator | Registration | Status | Date |
|---|------------|-----------------------------------|---------------------|------------|
|  | California | Investment Adviser Representative | Approved | 07/11/2016 |
|  | Texas | Investment Adviser Representative | Restricted Approval | 08/25/2016 |

Branch Office Locations

CATALINA CAPITAL GROUP, LLC
2601 AIRPORT DRIVE
SUITE 375
TORRANCE, CA 90505



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, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|---|----------|------------|
| B General Securities Representative Examination (S7) | Series 7 | 10/25/2006 |
|---|----------|------------|

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|---|-----------|------------|
| IA B Uniform Combined State Law Examination (S66) | Series 66 | 12/11/2006 |
|---|-----------|------------|

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Chartered Financial Analyst

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

| | Registration Dates | Firm Name | ID# | Branch Location |
|----|-------------------------|-------------------------------|----------------|-----------------|
| IA | 03/27/2013 - 07/11/2016 | FIRST FOUNDATION ADVISORS | CRD# 106075 | PASADENA, CA |
| B | 05/29/2007 - 08/09/2012 | CITIGROUP GLOBAL MARKETS INC. | CRD# 7059 | LOS ANGELES, CA |
| IA | 05/29/2007 - 08/09/2012 | CITIGROUP GLOBAL MARKETS INC. | CRD# 7059 | LOS ANGELES, CA |
| IA | 02/02/2007 - 05/29/2007 | CITICORP INVESTMENT SERVICES | CRD# 23988 | LOS ANGELES, CA |
| B | 10/26/2006 - 05/29/2007 | CITICORP INVESTMENT SERVICES | CRD# 23988 | LOS ANGELES, 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 |
|-------------------|-----------------------------|---|--------------------|-----------------------------|
| 07/2016 - Present | CATALINA CAPITAL GROUP, LLC | MANAGING DIRECTOR and INVESTMENT ADVISOR REPRESENTATIVE | Y | TORRANCE, CA, United States |
| 02/2013 - 07/2016 | FIRST FOUNDATION ADVISORS | MANAGING DIRECTOR | Y | PASADENA, CA, 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.

No information reported.



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 | 1 |
| Termination | 1 |

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 1

| | |
|--|-------------------------------|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | FINRA |
| Sanction(s) Sought: | Other: N/A |
| Date Initiated: | 09/30/2013 |
| Docket/Case Number: | 2012033616101 |
| Employing firm when activity occurred which led to the regulatory action: | CITIGROUP GLOBAL MARKETS INC. |
| Product Type: | No Product |

Allegations: FINRA RULE 2010: AN EMAIL WAS SENT FROM A CUSTOMER EMAIL ACCOUNT TO OERTLE'S MEMBER FIRM EMAIL ACCOUNT. THIS EMAIL REQUESTED A WIRE TRANSFER FOR \$44,743 FROM THE CUSTOMER'S ACCOUNT AT THE FIRM'S AFFILIATED BANK TO ANOTHER DOMESTIC BANK. THE EMAIL INDICATED THAT THE CUSTOMER WAS IN AN IMPORTANT MEETING AND WOULD NOT BE AVAILABLE TO SPEAK BY TELEPHONE. OERTLE, THEN BEGAN COLLECTING THE NECESSARY INFORMATION TO PROCESS THE WIRE TRANSFER, INCLUDING THE NAME OF THE RECEIVING BANK, THE ABA ROUTING NUMBER, THE NAME OF THE ACCOUNT TO BE CREDITED, AND THE LIKE, AND EXCHANGED EMAILS WITH THE IMPOSTER WHOM HE THOUGHT WAS THE CUSTOMER. AFTER OERTLE OBTAINED THE REQUIRED INFORMATION HE ENTERED IT ON THE AFFILIATED BANK'S TRANSACTION REQUEST FORM. PER THE FORM, OERTLE INDICATED THAT THE METHOD OF INITIATION FOR THE REQUEST WAS BY "TELEPHONE". AS A RESULT, OERTLE PREPARED A FALSE FORM THAT INDICATED THERE WAS A TELEPHONE COMMUNICATION WITH THE



CUSTOMER TO CONFIRM THE WIRE TRANSFER INSTRUCTIONS. HOWEVER, THERE WAS NO TELEPHONE COMMUNICATION WITH THE CUSTOMER AND ALL COMMUNICATION REGARDING THIS TRANSFER WAS CONDUCTED VIA EMAIL WITH AN IMPOSTER THAT OERTLE BELIEVED TO BE THE CUSTOMER. THE SECOND PORTION OF THE TRANSFER REQUEST FORM WAS FILLED OUT BY THE AFFILIATED BANK'S CLIENT SERVICE OFFICER AND THE WIRE WAS FAXED TO THE FUNDS TRANSFER UNIT. OERTLE RECEIVED ANOTHER EMAIL FROM THE SAME CUSTOMER EMAIL ACCOUNT REQUESTING A SECOND WIRE TRANSFER FOR \$48,690 FROM THE CUSTOMER'S ACCOUNT AT THE AFFILIATED BANK TO ANOTHER DOMESTIC BANK. ONCE AGAIN, OERTLE OBTAINED THE REQUIRED INFORMATION VIA EMAIL AND COMPLETED THE AFFILIATED BANK'S TRANSACTION REQUEST FORM INDICATING THE METHOD OF INITIATION FOR THE REQUEST VIA "TELEPHONE". ONCE AGAIN, OERTLE PREPARED A FALSE TRANSACTION REQUEST FORM THAT INDICATED THERE WAS A TELEPHONE COMMUNICATION WITH THE CUSTOMER TO CONFIRM THE WIRE TRANSFER INSTRUCTIONS. HOWEVER, THERE WAS NO TELEPHONE COMMUNICATION WITH THE CUSTOMER AND ALL COMMUNICATION REGARDING THIS TRANSFER WAS CONDUCTED VIA EMAIL WITH AN IMPOSTER THAT OERTLE BELIEVED TO BE THE CUSTOMER. THE SECOND PORTION OF THE TRANSFER REQUEST FORM WAS FILLED OUT BY THE AFFILIATED BANK'S CLIENT SERVICE OFFICER AND THE WIRE WAS FAXED TO THE FUNDS TRANSFER UNIT. THE ACTUAL CUSTOMER BECAME AWARE OF THE TRANSACTION A FEW DAYS LATER AND IMMEDIATELY CONTACTED OERTLE. AS A RESULT, THE SECOND TRANSACTION WAS CANCELLED PRIOR TO COMPLETION. IN ADDITION, THE AFFILIATED BANK HAS SINCE REPAID THE CUSTOMER FOR THE FIRST TRANSACTION.

| | |
|---|---|
| Current Status: | Final |
| Resolution: | Acceptance, Waiver & Consent(AWC) |
| 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: | 09/30/2013 |
| Sanctions Ordered: | Civil and Administrative Penalty(ies)/Fine(s) Suspension |
| If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? | No |



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

| | |
|-----------------------------|------------------|
| Sanction Type: | Suspension |
| Capacities Affected: | ANY CAPACITY |
| Duration: | 15 BUSINESS DAYS |
| Start Date: | 10/07/2013 |



End Date: 10/25/2013

Monetary Sanction 1 of 1

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

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, OERTLE CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 15 BUSINESS DAYS. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE 15 BUSINESS DAY SUSPENSION, OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT OCTOBER 7, 2013 THROUGH OCTOBER 25, 2013.

Reporting Source: Individual

Regulatory Action Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)

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

Date Initiated: 08/09/2012

Docket/Case Number: 2012033616101

Employing firm when activity occurred which led to the regulatory action: CITICORP GLOBAL MARKETS INC.

Product Type: Other: FUNDS TRANSFER REQUESTS

Allegations: MR. OERTLE WAS DISCHARGED BY CITIGROUP GLOBAL MARKETS INC. FOR FAILURE TO FOLLOW CITIGROUP POLICY REGARDING VERIFICATION OF FUNDS TRANSFER REQUESTS.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



| | |
|---|---|
| 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: | 09/30/2013 |
| Sanctions Ordered: | Civil and Administrative Penalty(ies)/Fine(s) Suspension |
| Sanction 1 of 1 | |
| Sanction Type: | Suspension |
| Capacities Affected: | ALL CAPACITIES |
| Duration: | 15 BUSINESS DAYS |
| Start Date: | 10/07/2013 |
| End Date: | 10/25/2013 |
| Monetary Sanction 1 of 1 | |
| Monetary Related Sanction: | Civil and Administrative Penalty(ies)/Fine(s) |
| Total Amount: | \$5,000.00 |
| Portion Levied against individual: | \$5,000.00 |
| Payment Plan: | FINE IS PAYABLE UPON RE-ASSOCIATION WITH ANY FINRA MEMBER |
| Is Payment Plan Current: | Yes |
| Date Paid by individual: | |
| Was any portion of penalty waived? | No |
| Amount Waived: | |



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: CITIGROUP GLOBAL MARKETS INC.
Termination Type: Discharged
Termination Date: 07/11/2012
Allegations: BREACH OF FIRM BANKING POLICY WITH RESPECT TO VERIFYING FUND TRANSFER REQUESTS RECEIVED VIA EMAIL.
Product Type: No Product

Reporting Source: Individual
Firm Name: CITIGROUP GLOBAL MARKETS INC.
Termination Type: Discharged
Termination Date: 07/12/2012
Allegations: BREACH OF FIRM BANKING POLICY WITH RESPECT TO VERIFYING FUND TRANSFER REQUESTS RECEIVED VIA EMAIL.
Product Type: No Product



End of Report

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