

**BrokerCheck Report**

**VICTOR M DANDRIDGE III**

CRD# 5884409

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## 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.



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)

**Thank you for using FINRA BrokerCheck.**

**VICTOR M. DANDRIDGE III**

CRD# 5884409

This broker is not currently registered.

**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 not currently registered.**

**This broker has passed:**

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

**Registration History**

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

**THOMPSON DAVIS & CO., INC.**

CRD# 41353  
RICHMOND, VA  
02/2012 - 07/2016

**T3 TRADING GROUP, LLC**

CRD# 154431  
NEW YORK, NY  
04/2011 - 06/2011

**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
Customer Dispute	1

**Investment Adviser Representative Information**

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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 broker is not currently registered.



## 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.

**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
General Securities Representative Examination	Series 7	02/16/2012

### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination	Series 66	03/02/2012

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/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
02/2012 - 07/2016	THOMPSON DAVIS & CO., INC.	41353	RICHMOND, VA
04/2011 - 06/2011	T3 TRADING GROUP, LLC	154431	NEW YORK, NY

### 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 Dates	Employer Name	Employer Location
01/2012 - Present	THOMPSON DAVIS & CO., INC.	RICHMOND, VA
08/2007 - Present	TIMBERLAKE LIGHTING	CHARLOTTESVILLE, VA
10/2008 - 12/2014	VITRUVIAN EDUCATIONAL RESOURCES	CHARLOTTESVILLE, VA
04/1993 - 01/2012	SELF EMPLOYED	CHARLOTTESVILLE, VA
07/2010 - 10/2011	ARDENT TRADING LLC	CHARLOTTESVILLE, VA
01/2011 - 06/2011	T3 TRADING GROUP	CHARLOTTESVILLE, VA

### 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.

1. TIMBERLAKE LIGHTING,  
NON INVESTMENT RELATED,  
695 BERKMAR COURT CHARLOTTESVILLE VA 22901,  
SELLS RETAIL AND WHOLESALE LIGHTING,  
PRESIDENT/OWNER,  
START DATE 8/2007,  
HOURS/MONTH 24 HOURS PER MONTH, INCLUDING 4 HOURS THAT ARE DURING TRADING HOURS, NO DAY  
TO DAY RESPONSIBILITIES



## Registration and Employment History

### Other Business Activities, continued

2. RUNNYMEDE CAPITAL MANAGEMENT INC. & WYCLIFFE CAPITAL MANAGEMENT INC.,  
INVESTMENT RELATED,  
695 BERKMAR COURT CHARLOTTESVILLE VA 22901,  
HOLD PERSONAL INVESTMENTS,  
PRESIDENT/OWNER,  
START DATE 06/1997,  
HOURS/MONTH 4 HOURS PER MONTH DURING NON TRADING HOURS, NO DAY TO DAY RESPONSIBILITIES

3. SELWYN PARTNERS LP,  
NON INVESTMENT RELATED,  
695 BERKMAR COURT CHARLOTTESVILLE VA 22901,  
HOLDS PRIVATE NON-MARKETABLE SECURITIES,  
GENERAL PARTNER < 5%,  
START DATE 05/2000,  
HOURS/MONTH 1 HOUR PER MONTH DURING NON TRADING HOURS,  
COORDINATE TAX PREPARATION NO MANAGMENT DUTIES OR OVERSIGHT

4. TALL OAKS PARTNERS LP,  
INVESTMENT RELATED,  
301 OLD IVY WAY CHARLOTTESVILLE VA 22901,  
PRIVATE NON-MARKETABLE SECURITIES,  
MANAGING PARTNER OWN < 12%,  
START DATE 05/2002,  
HOURS/MONTH 1 HOUR PER MONTH DURING NON TRADING HOURS,  
NO MANAGEMENT OR OVERSIGHT DUTIES

5. GREEN ENERGY METALS LP,  
INVESTMENT RELATED,  
10810 SW TUALATIN SHERWOOD ROAD BUILDING 1 UNIT 2 TUALATIN OR 97062,  
IRA PASSIVE INVESTMENT,  
LIMITED PARTNERSHIP OWNER < 5%,  
START DATE 07/2007,  
HOURS/MONTH NO HOURS,  
NO DUTIES

6. AS OF 07/01/2013 LIMITED PARTNER IN SEVEN HILLS CAPITAL PARTNERS LP, A PARTNERSHIP FORMED FOR INVESTMENT PURPOSES LOCATED AT 15 S 5TH STREET, RICHMOND, VA 23219. THOMPSON DAVIS ASSEST MANAGEMENT SERVES AS THE INVESTMENT MANAGER FOR SEVEN HILLS CAPITAL PARTNERS LP. THE EMPLOYEE WILL ACT AS AN INVESTMENT ADVISOR DURING NORMAL BUSINESS HOURS.



## Registration and Employment History

### Other Business Activities, continued

7. EFFECTIVE 5/2015 PARTNER IN BARRETT HOUSE PARTNERS, LLC, A REAL ESTATE PARTNERSHIP WHOSE PURPOSE IS TO OWN, HOLD , SELL, ASSIGN, TRANSFER, OPERATE, LEASE, MORTGAGE PLEDGE AND OTHERWISE DEAL WITH THE REAL PROPERTY AT 15 S 5TH STREET, RICHMOND, VA 23219. THIS NON SECURITIES RELATED ACTIVITY'S PRINCIPAL PLACE OF BUSINESS IS 15 S 5TH STREET, RICHMOND, VA 23219 AND IS ONGOING FOR AN INDEFINITE PERIOD OF TIME. NO TITLE OR POSITION AND NO DAY TO DAY RESPONSIBILITIES.

8. WYCLIFFE CAPITAL MANAGEMENT INC  
695 BERKMAR COURT  
CHARLOTTESVILLE, VA  
INVESTMENT RELATED  
PRESIDENT  
100% OWNER  
BEGINNING 06/1997  
1 HOUR PER WEEK NON TRADING HOURS  
USED TO PAY BUSINESS RELATED EXPENSES SUCH AS PERIODICAL SUBSCRIPTIONS, INVESTMENT ADVISORY SERVICES, TELEPHONE EXPENSES, ETC.

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## 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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
Customer Dispute	1	0	N/A





## 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.

### Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Thompson Davis & Co., Inc.
<b>Allegations:</b>	[Customer] alleged multiple defendants including Mr. Dandridge of misappropriation of funds during the period 2007 to 2016. In summary, plaintiff alleged breach of fiduciary duty, breach of contract, fraud and negligence.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DUE TO MULTIPLE DEFENDENTS,DAMAGES ARE UNDETERMINED

## Civil Litigation Information

<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Richmond City Circuit Court
<b>Location of Court:</b>	Richmond, VA
<b>Docket/Case #:</b>	760cl16005183-00
<b>Date Notice/Process Served:</b>	11/18/2016



**Litigation Pending?**

Yes

## End of Report



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