

BrokerCheck Report

ARTISAN PARTNERS DISTRIBUTORS LLC

CRD# 45446

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 6
Firm History	7
Firm Operations	8 - 18



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.

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:
 - 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
 - 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)

ARTISAN PARTNERS DISTRIBUTORS LLC

CRD# 45446

SEC# 8-51043

Main Office Location

875 E. WISCONSIN AVENUE
SUITE 800
MILWAUKEE, WI 53202
Regulated by FINRA Chicago Office

Mailing Address

875 E. WISCONSIN AVENUE
SUITE 800
MILWAUKEE, WI 53202

Business Telephone Number

414-390-6100

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 Wisconsin on 12/12/1997.

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
- 53 U.S. states and territories

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

This firm conducts 2 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 Wisconsin on 12/12/1997.

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.

ARTISAN PARTNERS DISTRIBUTORS LLC

Doing business as ARTISAN PARTNERS DISTRIBUTORS LLC

CRD# 45446

SEC# 8-51043

Main Office Location

875 E. WISCONSIN AVENUE
SUITE 800
MILWAUKEE, WI 53202

Regulated by FINRA Chicago Office

Mailing Address

875 E. WISCONSIN AVENUE
SUITE 800
MILWAUKEE, WI 53202

Business Telephone Number

414-390-6100



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):	ARTISAN PARTNERS HOLDINGS LP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER OF LLC
Position Start Date	12/1997
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	DEMSKI, JILL MARIE 4313464
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	10/2019
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HAMMAN, JAMES STEPHEN JR 2767492
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT & SECRETARY
Position Start Date	04/2018



Firm Profile

Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): KREIN, CHRISTOPHER JON
4534130

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

Position VICE PRESIDENT

Position Start Date 01/2020

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): RAMIREZ, GREGORY KENNETH
3094595

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

Position CHAIRMAN, PRESIDENT AND CHIEF EXECUTIVE OFFICER

Position Start Date 02/2014

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): VON HOFF, RYAN GEORGE

Firm Profile



Direct Owners and Executive Officers (continued)

7169306

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

Position VICE PRESIDENT, TREASURER AND CHIEF FINANCIAL OFFICER

Position Start Date 01/2023

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	ARTISAN PARTNERS ASSET MANAGEMENT INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ARTISAN PARTNERS HOLDINGS LP
Relationship to Direct Owner	GENERAL PARTNER OF ARTISAN PARTNERS HOLDINGS LP
Relationship Established	03/2013
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	10/14/1998

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	10/14/1998



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective	U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/26/1998	North Carolina	Approved	10/22/1998
Alaska	Approved	10/15/1998	North Dakota	Limited	10/22/1998
Arizona	Approved	10/20/1998	Ohio	Approved	10/20/1998
Arkansas	Limited	10/22/1998	Oklahoma	Approved	10/22/1998
California	Approved	10/28/1998	Oregon	Approved	10/20/1998
Colorado	Approved	10/27/1998	Pennsylvania	Approved	10/15/1998
Connecticut	Approved	10/23/1998	Puerto Rico	Approved	10/14/1998
Delaware	Approved	10/16/1998	Rhode Island	Approved	10/19/1998
District of Columbia	Approved	07/18/1998	South Carolina	Approved	10/22/1998
Florida	Approved	10/19/1998	South Dakota	Approved	10/21/1998
Georgia	Approved	10/28/1998	Tennessee	Approved	10/26/1998
Hawaii	Approved	10/28/1998	Texas	Limited	10/21/1998
Idaho	Approved	06/05/1998	Utah	Approved	10/21/1998
Illinois	Approved	10/23/1998	Vermont	Approved	10/30/1998
Indiana	Approved	10/27/1998	Virgin Islands	Approved	04/11/2005
Iowa	Approved	10/14/1998	Virginia	Approved	10/01/1998
Kansas	Approved	10/23/1998	Washington	Approved	10/19/1998
Kentucky	Approved	06/09/1998	West Virginia	Approved	10/22/1998
Louisiana	Approved	10/19/1998	Wisconsin	Approved	10/22/1998
Maine	Approved	10/23/1998	Wyoming	Approved	10/22/1998
Maryland	Approved	10/27/1998			
Massachusetts	Approved	10/30/1998			
Michigan	Approved	10/30/1998			
Minnesota	Approved	10/19/1998			
Mississippi	Approved	10/14/1998			
Missouri	Approved	09/08/1998			
Montana	Limited	10/27/1998			
Nebraska	Limited	10/20/1998			
Nevada	Approved	06/08/1998			
New Hampshire	Limited	10/19/1998			
New Jersey	Approved	10/22/1998			
New Mexico	Approved	10/16/1998			
New York	Approved	10/22/1998			

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 2 types of businesses.

Types of Business

Mutual fund underwriter or sponsor

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 have books or records maintained by a third party.

Name:	AMAZON WEB SERVICES, INC.
Business Address:	410 TERRY AVENUE NORTH SEATTLE, WA 98109-5210
Effective Date:	05/03/2023
Description:	ITEM 8A. CLOUD-BASED RECORD KEEPING.
Name:	IRON MOUNTAIN
Business Address:	12313 HAWKINS STREET SANTA FE SPRINGS, CA 90670
Effective Date:	02/28/2023
Description:	ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.
Name:	IRON MOUNTAIN
Business Address:	336 OYSTER POINT BOULEVARD SOUTH SAN FRANCISCO, CA 94080
Effective Date:	02/28/2023
Description:	ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.
Name:	IRON MOUNTAIN
Business Address:	8661 KERNS STREET SAN DIEGO, CA 92154
Effective Date:	02/28/2023
Description:	ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.
Name:	IRON MOUNTAIN
Business Address:	4175 CHANDLER DRIVE HANOVER PARK, IL 60133
Effective Date:	02/28/2023
Description:	ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.

Firm Operations



Industry Arrangements (continued)

Name: IRON MOUNTAIN
Business Address: 23475 EICHLER STREET
 HAYWARD, CA 94545
Effective Date: 02/28/2023
Description: ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.

Name: IRON MOUNTAIN
Business Address: 12958 MIDWAY PLACE
 CERRITOS, CA 90703
Effective Date: 02/28/2023
Description: ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.

Name: IRON MOUNTAIN
Business Address: 1818 HAYNES DRIVE
 SUN PRAIRIE, WI 53590
Effective Date: 02/28/2023
Description: ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.

Name: IRON MOUNTAIN
Business Address: 3881 OLD GORDON ROAD
 ATLANTA, GA 30336
Effective Date: 02/28/2023
Description: ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.

Name: IRON MOUNTAIN
Business Address: 5319 TULANE DRIVE SW
 ATLANTA, GA 30336
Effective Date: 02/28/2023
Description: ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.

Name: GLOBAL RELAY COMMUNICATIONS INC.
Business Address: 220 CAMBIE STREET, 2ND FLOOR
 VANCOUVER, CANADA V6B 2M9

Firm Operations



Industry Arrangements (continued)

Effective Date:	02/05/2017
Description:	ITEM 8A BOOKS AND RECORDS. CAPTURES AND ARCHIVES ELECTRONIC COMMUNICATIONS.
Name:	IRON MOUNTAIN
Business Address:	600 DISTRIBUTION DRIVE SW ATLANTA, GA 30336
Effective Date:	10/27/2007
Description:	ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.
Name:	RED OAK COMPLIANCE SOLUTIONS LLC
Business Address:	1101 ARROW POINT DRIVE, SUITE 301 CEDAR PARK, TX 78613
Effective Date:	11/21/2014
Description:	ITEM 8A BOOKS AND RECORDS. CAPTURES AND ARCHIVES ELECTRONIC MARKETING MATERIALS.
Name:	IRON MOUNTAIN
Business Address:	5255 INTERNATIONAL DRIVE CUDAHY, WI 53110
Effective Date:	10/27/2007
Description:	ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.
Name:	IRON MOUNTAIN
Business Address:	420 WEST ST. PAUL AVENUE MILWAUKEE, WI 53203
Effective Date:	10/27/2007
Description:	ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.
Name:	IRON MOUNTAIN
Business Address:	5170 SOUTH 6TH STREET MILWAUKEE, WI 53221
Effective Date:	10/27/2007
Description:	ITEM 8A BOOKS AND RECORDS. OFFSITE STORAGE OF HARD COPY DOCUMENTS.

Firm Operations



Industry Arrangements (continued)

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.**

ARTISAN PARTNERS HONG KONG LIMITED is under common control with the firm.

Business Address:	33RD FLOOR, TWO INTERNATIONAL FINANCE CENTRE NO.8 FINANCE STREET CENTRAL, HONG KONG 999077
Effective Date:	09/30/2021
Foreign Entity:	Yes
Country:	HONG KONG
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	APPLICANT, ARTISAN PARTNERS DISTRIBUTORS LLC, A WISCONSIN LIMITED LIABILITY COMPANY, FORMERLY KNOWN AS ARTISAN DISTRIBUTORS LLC, IS WHOLLY-OWNED BY ARTISAN PARTNERS HOLDINGS LP ("HOLDINGS"). HOLDINGS ALSO WHOLLY-OWNS ARTISAN PARTNERS HONG KONG LIMITED, WHICH IS AUTHORIZED BY THE HONG KONG SECURITIES AND FUTURES COMMISSION TO CONDUCT INVESTMENT MANAGEMENT.

APEL FINANCIAL DISTRIBUTION SERVICES LIMITED is under common control with the firm.

Business Address:	202-204 FITZWILLIAM HALL, FITZWILLIAM PLACE DUBLIN 2, IRELAND
Effective Date:	04/26/2019
Foreign Entity:	Yes
Country:	IRELAND
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: APPLICANT, ARTISAN PARTNERS DISTRIBUTORS LLC, A WISCONSIN LIMITED LIABILITY COMPANY, FORMERLY KNOWN AS ARTISAN DISTRIBUTORS LLC, IS WHOLLY-OWNED BY ARTISAN PARTNERS HOLDINGS LP ("HOLDINGS"). HOLDINGS ALSO WHOLLY-OWNS APEL FINANCIAL DISTRIBUTION SERVICES LIMITED, WHICH IS AUTHORIZED BY THE CENTRAL BANK OF IRELAND TO PROVIDE CERTAIN FINANCIAL SERVICES.

ARTISAN PARTNERS UK LLP is under common control with the firm.

CRD #: 152711

Business Address: 25 ST. JAMES'S STREET
3RD FLOOR
LONDON, UNITED KINGDOM SW1A 1HA

Effective Date: 01/25/2010

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: No

Investment Advisory Activities: Yes

Description: APPLICANT, ARTISAN PARTNERS DISTRIBUTORS LLC, A WISCONSIN LIMITED LIABILITY COMPANY FORMERLY KNOWN AS ARTISAN DISTRIBUTORS LLC, IS WHOLLY-OWNED BY ARTISAN PARTNERS HOLDINGS LP ("HOLDINGS"). HOLDINGS ALSO OWNS ARTISAN PARTNERS UK LLP, AN INVESTMENT ADVISER REGISTERED WITH THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC FILE NO. 801-71033) AND AUTHORIZED BY THE UNITED KINGDOM'S FINANCIAL SERVICES AUTHORITY.

ARTISAN PARTNERS LIMITED PARTNERSHIP is under common control with the firm.

CRD #: 150114

Business Address: 875 EAST WISCONSIN AVE.
SUITE 800
MILWAUKEE, WI 53202

Effective Date: 06/08/2009

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities: No

Investment Advisory Activities: Yes

Description: APPLICANT, ARTISAN PARTNERS DISTRIBUTORS LLC, A WISCONSIN LIMITED LIABILITY COMPANY FORMERLY KNOWN AS ARTISAN DISTRIBUTORS LLC, IS WHOLLY-OWNED BY ARTISAN PARTNERS HOLDINGS LP ("HOLDINGS"). HOLDINGS ALSO WHOLLY-OWNS ARTISAN PARTNERS LIMITED PARTNERSHIP (F/K/A ARTISAN NEWCO LIMITED PARTNERSHIP), AN INVESTMENT ADVISER REGISTERED WITH THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC FILE NO. 801-70101).

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



This page is intentionally left blank.