

BrokerCheck Report

ARCA CAPITAL INVESTMENTS, INC.

CRD# 109819

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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.

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)



ARCA CAPITAL INVESTMENTS, INC.

CRD# 109819

SEC# 8-53110

Main Office Location

WELLS FARGO CENTER
333 AVENUE OF THE AMERICAS, SUITE 2530
MIAMI, FL 33131
Regulated by FINRA Florida Office

Mailing Address

WELLS FARGO CENTER
333 AVENUE OF THE AMERICAS, SUITE 2530
MIAMI, FL 33131

Business Telephone Number

305-416-6300

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 corporation.

This firm was formed in Florida on 04/16/2008.

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
- 10 U.S. states and territories

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

This firm conducts 11 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



Firm Profile

This firm is classified as a corporation.

This firm was formed in Florida on 04/16/2008.

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.

ARCA CAPITAL INVESTMENTS, INC.

Doing business as ARCA CAPITAL INVESTMENTS, INC.

CRD# 109819

SEC# 8-53110

Main Office Location

WELLS FARGO CENTER
333 AVENUE OF THE AMERICAS, SUITE 2530
MIAMI, FL 33131

Regulated by FINRA Florida Office

Mailing Address

WELLS FARGO CENTER
333 AVENUE OF THE AMERICAS, SUITE 2530
MIAMI, FL 33131

Business Telephone Number

305-416-6300



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):	BIANCO CAPITAL S.L.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Position	SHAREHOLDER
Position Start Date	05/2010
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):	AMICH, SIMON ENRIQUE 2287616
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT & CEO
Position Start Date	10/2018
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):	ANTELO, EMILIO 5734035
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	07/2015



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): BODDEN, EUGENE C
4446423

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

Position VP INSTITUTIONAL SALES

Position Start Date 01/2018

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): GONZALEZ OCQUE, MIGUEL A
5899630

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

Position OUTSIDE DIRECTOR

Position Start Date 07/2015

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): REID, VERA ALBERTHA

Firm Profile



Direct Owners and Executive Officers (continued)

	1384741
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	03/2019
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):

	REID, VERA ALBERTHA
	1384741
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	02/2013
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):	ANTELO, EMILIO 5734035
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ARCA INTERNATIONAL GROUP
Relationship to Direct Owner	SHAREHOLDER ARCA INTERNATIONAL GROUP
Relationship Established	04/2009
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ARCA INTERNATIONAL GROUP
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	BIANCO CAPITAL S.L.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	02/2009
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

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 10 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	08/27/2001

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	08/27/2001

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	11/03/2014
Connecticut	Approved	07/08/2015
Florida	Approved	09/18/2001
Georgia	Approved	10/09/2013
Maryland	Approved	06/19/2018
Massachusetts	Approved	05/08/2015
New York	Approved	12/11/2006
Oklahoma	Approved	11/03/2014
Puerto Rico	Approved	01/05/2007
Texas	Approved	10/03/2014



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 11 types of businesses.

Types of Business

- Broker or dealer retailing corporate equity securities over-the-counter
- Broker or dealer selling corporate debt securities
- Underwriter or selling group participant (corporate securities other than mutual funds)
- Mutual fund retailer
- U S. government securities dealer
- U S. government securities broker
- Put and call broker or dealer or option writer
- Non-exchange member arranging for transactions in listed securities by exchange member
- Trading securities for own account
- Private placements of securities
- Other - NFA MEMBER AS AN INTRODUCING BROKER ENGAGING IN COMMODITIES, FUTURES, FOREX, EQUITIES, OPTIONS, OPTIONS FUTURES, AND COMMODITIES FUTURES

Other Types of Business

This firm does effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: FOREIGN EXCHANGE TRANSACTIONS



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 refer or introduce customers to other brokers and dealers.

Name: INTL FCSTONE FINANCIAL INC.
CRD #: 45993
Business Address: 329 PARK AVE. N.
 SUITE 350
 WINTER PARK, FL 32789
Effective Date: 08/31/2017
Description: THE FIRM OPERATES PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES. THE FIRM OPERATES UNDER A FULLY DISCLOSED INTRODUCING AND CLEARING AGREEMENT WITH INTL FC STONE FINANCIAL INC.

Name: INTERACTIVE BROKERS LLC
CRD #: 36418
Business Address: ONE PICKWICK PLAZA
 2ND FL
 GREENWICH, CT 06830
Effective Date: 04/23/2013
Description: THE FIRM WILL OPERATE PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS UNDER SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES. THE FIRM WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH INTERACTIVE BROKERS.

Firm Operations**Industry Arrangements**

This firm does have books or records maintained by a third party.

Name: INTL FCSTONE FINANCIAL INC.
CRD #: 45993
Business Address: 329 PARK AVE. N.
 SUITE 350
 WINTER PARK, FL 32789
Effective Date: 08/31/2017
Description: THE FIRM OPERATES PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES. THE FIRM OPERATES UNDER A FULLY DISCLOSED INTRODUCING AND CLEARING AGREEMENT WITH INTL FC STONE FINANCIAL INC.

Name: INTL FCSTONE FINANCIAL INC.
CRD #: 45993
Business Address: 329 PARK AVE. N.
 SUITE 350
 WINTER PARK, FL 32789
Effective Date: 08/31/2017
Description: THE FIRM OPERATES PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES. THE FIRM OPERATES UNDER A FULLY DISCLOSED INTRODUCING AND CLEARING AGREEMENT WITH INTL FC STONE FINANCIAL INC.

Name: INTERACTIVE BROKERS LLC
CRD #: 36418
Business Address: ONE PICKWICK PLAZA
 2ND FL
 GREENWICH, CT 06830
Effective Date: 04/23/2013
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Firm Operations



Industry Arrangements (continued)

Name: IRON MOUNTAIN
Business Address: 1000 CAMPUS DR
 COLLEGEVILLE, PA 19426
Effective Date: 07/15/2014
Description: SERVICE AGREEMENT FOR OFFSITE PICKUP AND STORAGE OF FIRM DOCUMENTS AND ON-CALL OFFSITE SHREDDING OF FIRM DOCUMENTS AS NEEDED

This firm does have accounts, funds, or securities maintained by a third party.

Name: INTL FCSTONE FINANCIAL INC.
CRD #: 45993
Business Address: 329 PARK AVE. N.
 SUITE 350
 WINTER PARK, FL 32789
Effective Date: 08/31/2017
Description: THE FIRM OPERATES PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES. THE FIRM OPERATES UNDER A FULLY DISCLOSED INTRODUCING AND CLEARING AGREEMENT WITH INTL FC STONE FINANCIAL INC.

Name: INTERACTIVE BROKERS LLC
CRD #: 36418
Business Address: ONE PICKWICK PLAZA
 2ND FL
 GREENWICH, CT 06830
Effective Date: 04/23/2013
Description: THE FIRM WILL OPERATE PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS UNDER SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES. THE FIRM WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH INTERACTIVE BROKERS.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: INTL FCSTONE FINANCIAL INC.
CRD #: 45993
Business Address: 329 PARK AVE. N.
 SUITE 350

Firm Operations



Industry Arrangements (continued)

WINTER PARK, FL 32789

Effective Date: 08/31/2017

Description: THE FIRM OPERATES PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES. THE FIRM OPERATES UNDER A FULLY DISCLOSED INTRODUCING AND CLEARING AGREEMENT WITH INTL FC STONE FINANCIAL INC.

Name: INTERACTIVE BROKERS LLC

CRD #: 36418

Business Address: ONE PICKWICK PLAZA
2ND FL
GREENWICH, CT 06830

Effective Date: 04/23/2013

Description: THE FIRM WILL OPERATE PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS UNDER SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES. THE FIRM WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH INTERACTIVE BROKERS.

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.

ARCA CAPITAL S. A. is under common control with the firm.

Business Address:	AVE. BALBOA ENTRE CALLES 42 Y 43 TORRE BBVA PISO 13 OFIC. 13-03 PANAMA CITY, PANAMA
Effective Date:	12/01/2012
Foreign Entity:	Yes
Country:	PANAMA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	ARCA CAPITAL S. A. IS UNDER COMMON OWNERSHIP OF ARCA INTERNATIONAL GROUP

CAJA CARACAS CASA DE BOLSA is under common control with the firm.

Business Address:	URBANIZACIÓN EL ROSAL CENTRO LIDO, TORRE A, PISO 4 OFICINA 41-A CARACAS, VENEZUELA
Effective Date:	03/28/2008
Foreign Entity:	Yes
Country:	VENEZUELA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON OWNERSHIP ARCA INTERNATIONAL GROUP.

Firm Operations



Organization Affiliates (continued)

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



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
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 brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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.
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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator
Current Status: Final



Allegations: NASD RULES 1017, 2110 - IBG TRADING, LLC N/K/A BIANCO FINANCIAL, INC. WAS 100 PERCENT OWNED BY ITS PARENT COMPANY. WHEN THE PARENT COMPANY UNDERWENT A CHANGE IN EQUITY OWNERSHIP THAT RESULTED IN ITS BENEFICIAL OWNERS OWNING OR CONTROLLING 25 PERCENT OR MORE OF THE COMPANY, IBG TRADING (N/K/A BIANCO FINANCIAL) FAILED TO FILE AN APPLICATION WITH FINRA FOR APPROVAL OF THE CHANGE IN OWNERSHIP OR CONTROL.

Initiated By: FINRA

Date Initiated: 01/05/2012

Docket/Case Number: 2010021395601

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/05/2012

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS FINED \$5,000. FINE PAID IN FULL JANUARY 17, 2012.

Reporting Source: Firm

Current Status: Final

Allegations: NASD RULES 1017, 2110 - IBG TRADING, LLC N/K/A BIANCO FINANCIAL, INC. WAS 100 PERCENT OWNED BY ITS PARENT COMPANY. WHEN THE PARENT COMPANY UNDERWENT A CHANGE IN EQUITY OWNERSHIP THAT



RESULTED IN ITS BENEFICIAL OWNERS OWNING OR CONTROLLING 25 PERCENT OR MORE OF THE COMPANY, IBG TRADING (N/K/A BIANCO FINANCIAL) FAILED TO FILE AN APPLICATION WITH FINRA FOR APPROVAL OF THE CHANGE IN OWNERSHIP OR CONTROL.

Initiated By: FINRA

Date Initiated: 01/05/2012

Docket/Case Number: 2010021395601

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/05/2012

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS FINED \$5,000.

End of Report



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