

BrokerCheck Report

ARC GROUP SECURITIES LLC

CRD# 132026

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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.

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.



ARC GROUP SECURITIES LLC

CRD# 132026

SEC# 8-66541

Main Office Location

398 S MILL AVENUE
SUITE 306
TEMPE, AZ 85281
Regulated by FINRA Denver Office

Mailing Address

398 S MILL AVENUE
SUITE 306
TEMPE, AZ 85281

Business Telephone Number

928-625-0928

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 New York on 04/06/2004.
Its fiscal year ends in September.

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
- 4 Self-Regulatory Organizations
- 53 U.S. states and territories

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

This firm conducts 3 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2



Firm Profile

This firm is classified as a limited liability company.
This firm was formed in New York on 04/06/2004.
Its fiscal year ends in September.

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.

ARC GROUP SECURITIES LLC
Doing business as ARC GROUP SECURITIES LLC
CRD# 132026
SEC# 8-66541

Main Office Location

398 S MILL AVENUE
SUITE 306
TEMPE, AZ 85281

Regulated by FINRA Denver Office

Mailing Address

398 S MILL AVENUE
SUITE 306
TEMPE, AZ 85281

Business Telephone Number

928-625-0928

Other Names of this Firm

Name	Where is it used
ARC GROUP SECURITIES LLC	CA



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):	ARC GROUP US HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	05/2022
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):	FLEISCHMAN, SAMUEL JAY 1860709
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	07/2025
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):	HANNA, IAN LEE 7922113
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	07/2025

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): MEGENITY, BRIAN MCDONALD
2889637

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

Position FINOP

Position Start Date 01/2026

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): RIEDEL, DAVID
2541129

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

Position PRESIDENT/COO

Position Start Date 07/2025

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



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	ARC GROUP LIMITED
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	ARC GROUP US HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	03/2022
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):	DOMINGUEZ CINTA, ABRAHAM 7596656
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CINTA CONSULTANTS LIMITED
Relationship to Direct Owner	PARTNER
Relationship Established	04/2022
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):	CINTA CONSULTANTS LIMITED
Is this a domestic or foreign	Foreign Entity

Firm Profile



Indirect Owners (continued)
entity or an individual?

Company through which indirect ownership is established	ARC GROUP LIMITED
Relationship to Direct Owner	PARTNER
Relationship Established	04/2022
Percentage of Ownership	25% but less than 50%
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, 4 SROs and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/04/2005

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	01/04/2005
NYSE American LLC	Approved	10/23/2025
Nasdaq Stock Market	Approved	08/26/2025
New York Stock Exchange	Approved	10/23/2025



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/07/2026
Alaska	Approved	10/29/2025
Arizona	Approved	11/03/2025
Arkansas	Approved	02/18/2026
California	Approved	07/05/2022
Colorado	Approved	10/02/2025
Connecticut	Approved	12/03/2025
Delaware	Approved	09/17/2025
District of Columbia	Approved	01/14/2026
Florida	Approved	03/09/2026
Georgia	Approved	01/28/2026
Hawaii	Approved	07/21/2025
Idaho	Approved	01/20/2026
Illinois	Approved	02/19/2026
Indiana	Approved	02/02/2026
Iowa	Approved	09/04/2025
Kansas	Approved	11/12/2025
Kentucky	Approved	09/08/2025
Louisiana	Approved	01/06/2026
Maine	Approved	11/03/2025
Maryland	Approved	12/23/2025
Massachusetts	Approved	02/25/2026
Michigan	Approved	07/14/2025
Minnesota	Approved	01/06/2026
Mississippi	Approved	09/10/2025
Missouri	Approved	02/26/2026
Montana	Approved	09/09/2025
Nebraska	Approved	12/18/2025
Nevada	Approved	05/13/2025
New Hampshire	Approved	12/17/2025
New Jersey	Approved	01/30/2026
New Mexico	Approved	01/12/2026
New York	Approved	08/04/2024

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	09/05/2025
North Dakota	Approved	02/06/2026
Ohio	Approved	10/30/2025
Oklahoma	Approved	09/08/2025
Oregon	Approved	11/04/2025
Pennsylvania	Approved	12/15/2025
Puerto Rico	Approved	02/06/2026
Rhode Island	Approved	09/15/2025
South Carolina	Approved	09/04/2025
South Dakota	Approved	09/04/2025
Tennessee	Approved	01/16/2026
Texas	Approved	02/26/2026
Utah	Approved	01/06/2026
Vermont	Approved	11/07/2025
Virgin Islands	Approved	05/07/2026
Virginia	Approved	01/30/2026
Washington	Approved	12/12/2025
West Virginia	Approved	02/09/2026
Wisconsin	Approved	01/06/2026
Wyoming	Approved	01/14/2026



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 3 types of businesses.

Types of Business

Underwriter or selling group participant (corporate securities other than mutual funds)

Private placements of securities

Other - FIRM IS AUTHORIZED TO PROVIDE RESEARCH.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

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: MIRAE ASSET SECURITIES (USA) INC.
CRD #: 30679
Business Address: 810 SEVENTH AVENUE
37TH FLOOR
NEW, NY 10019
Effective Date: 07/28/2025
Description: BOOKS OR RECORDS ARE KEPT OR MAINTAINED BY OUR CLEARING FIRM, MIRAE ASSET SECURITIES.

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

Name: MIRAE ASSET SECURITIES (USA) INC.
CRD #: 30679
Business Address: 810 SEVENTH AVENUE
37TH FLOOR
NEW, NY 10019
Effective Date: 07/28/2025
Description: ACCOUNTS, FUNDS OR SECURITIES OF ARC GROUP SECURITIES ARE HELD OR MAINTAINED BY OUR CLEARING FIRM, MIRAE ASSET SECURITIES.

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

Name: MIRAE ASSET SECURITIES (USA) INC.
CRD #: 30679
Business Address: 810 SEVENTH AVENUE
37TH FLOOR
NEW, NY 10019
Effective Date: 07/28/2025
Description: ACCOUNTS, FUNDS OR SECURITIES OF CUSTOMERS OF ARC GROUP SECURITIES ARE HELD OR MAINTAINED BY OUR CLEARING FIRM, MIRAE ASSET SECURITIES.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

Firm Operations

Industry Arrangements (continued)

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.**

ARC GROUP LIMITED controls the firm.

Business Address: 162 QUEEN'S ROAD
CENTRAL, HONG KONG

Effective Date: 03/25/2024

Foreign Entity: Yes

Country: HONG KONG

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: ARC GROUP SECURITIES WAS FOUNDED BY ARC GROUP LIMITED AND ACQUIRED PREDECESSOR COMPANY OBJECTIVE EQUITY, LLC

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	2	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 2

Reporting Source: Regulator

Current Status: Final



Allegations:	RESPONDENT OBJECTIVE EQUITY, LLC FAILED TO FILE ITS SEPTEMBER 2019 ANNUAL AUDIT REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION DATED DECEMBER 17, 2019.
Initiated By:	FINRA
Date Initiated:	12/17/2019
Docket/Case Number:	N/A
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Other
Resolution Date:	01/10/2020
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:	Suspension
Other Sanctions Ordered:	
Sanction Details:	PURSUANT TO FINRA RULE 9552 AND IN ACCORDANCE WITH FINRA'S NOTICE OF SUSPENSION LETTER DATED DECEMBER 17, 2019, OBJECTIVE EQUITY, LLC IS SUSPENDED ON JANUARY 10, 2020 FROM FINRA MEMBERSHIP. IF OBJECTIVE EQUITY, LLC FAILS TO REQUEST TERMINATION OF THE SUSPENSION WITHIN THREE MONTHS OF THE DATE OF THE NOTICE OF SUSPENSION, IT WILL AUTOMATICALLY BE EXPELLED FROM FINRA MEMBERSHIP PURSUANT TO FINRA RULE 9552(H). ON APRIL 27, 2020, FINRA AGREED TO GIVE THE FIRM AN EXTENSION OF TIME TO COMPLETE AND FILE ITS ANNUAL FINANCIAL STATEMENTS FOR FISCAL YEAR 2019 AS REQUIRED BY SECURITIES EXCHANGE ACT RULE 17A-5(D), WHICH OBJECTIVE EQUITY HAS NOT YET FILED. FINRA IS GRANTING THIS EXTENSION BASED ON THE UNDERSTANDING THAT THE FIRM IS WORKING WITH A PCAOB-REGISTERED PUBLIC ACCOUNTANT TO COMPLETE THESE FINANCIAL STATEMENTS. FINRA WILL EXTEND BY 90 DAYS, UNTIL JULY 23, 2020, THE DEADLINE FOR OBJECTIVE EQUITY TO



AVOID EXPULSION. DURING THIS TIME, OBJECTIVE EQUITY WILL BE IN THE SAME SUSPENDED STATUS AS NOTED IN FINRA'S NOTICE OF SUSPENSION LETTER DATED DECEMBER 17, 2019. OBJECTIVE EQUITY AGREES, AS A CONDITION OF THIS EXTENSION, TO WITHDRAW THE APPEAL THAT IT FILED WITH THE SEC ON APRIL 21, 2020. OBJECTIVE EQUITY FURTHER AGREES THAT WHILE IT IS SUSPENDED, IT WILL NOT CONDUCT ANY SECURITIES BUSINESS. SUSPENSION LIFTED ON AUGUST 3, 2020.

Reporting Source:	Firm
Current Status:	Final
Allegations:	REGULATORY ACTION RELATED TO DELAYED FILING OF ANNUAL AUDIT.
Initiated By:	FINRA
Date Initiated:	12/17/2019
Docket/Case Number:	
Principal Product Type:	Other
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Settled
Resolution Date:	01/10/2020
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	MEMBER FIRM SUSPENDED FOR DELAYED FILING OF ANNUAL AUDIT. SUSPENSION WAS LIFTED WHEN ANNUAL AUDIT WAS FILED.
Firm Statement	SUSPENSION WAS LIFTED WHEN AUDIT WAS FILED.

Disclosure 2 of 2

Reporting Source:	Regulator
Current Status:	Final
Allegations:	RESPONDENT OBJECTIVE EQUITY, LLC FAILED TO PAY FEES OF \$2,090.00



DUE TO FINRA AS A RESULT OF AN ANNUAL ASSESSMENT.

Initiated By: FINRA

Date Initiated: 07/23/2019

Docket/Case Number: N/A

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Suspension

Other Sanction(s)/Relief Sought:

Resolution: Other

Resolution Date: 08/13/2019

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: Suspension

Other Sanctions Ordered:

Sanction Details: PURSUANT TO FINRA RULE 9553, OBJECTIVE EQUITY, LLC'S MEMBERSHIP WITH FINRA WAS SUSPENDED AS OF AUGUST 13, 2019 FOR FAILURE TO PAY OUTSTANDING FEES. SUSPENSION LIFTED ON JULY 31, 2020.

Reporting Source: Firm

Current Status: Final

Allegations: FAILURE TO PAY ANNUAL REGISTRATION FEES

Initiated By: FINRA

Date Initiated: 07/23/2019

Docket/Case Number:

Principal Product Type: No Product

Other Product Type(s):



Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Settled
Resolution Date:	08/13/2019
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENDED UNTIL PAYMENT WAS RECEIVED 08/13/2019
Firm Statement	TIMING OF PAYMENT OF ANNUAL REGISTRATION FEES LED TO SUSPENSION OF THE FIRM UNTIL PAYMENT WAS RECEIVED. ISSUE IS RESOLVED

End of Report



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