BrokerCheck Report

HEDGECO SECURITIES, LLC

CRD# 142498

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.
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Thank you for using FINRA BrokerCheck.

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.

HEDGECO SECURITIES, LLC

CRD# 142498

SEC# 8-67470

Main Office Location

105 NARCISSUS AVENUE
SUITE 701
WEST PALM BEACH, FL 33401-5322
Regulated by FINRA Florida Office

Mailing Address

105 NARCISSUS AVENUE
SUITE 701
WEST PALM BEACH, FL 33401-5322

Business Telephone Number

561-835-8690

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 Delaware on 08/15/2006.

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
- 3 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? **No**

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 08/15/2006.

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.

HEDGECO SECURITIES, LLC

Doing business as HEDGECO SECURITIES, LLC

CRD# 142498

SEC# 8-67470

Main Office Location

105 NARCISSUS AVENUE
SUITE 701
WEST PALM BEACH, FL 33401-5322

Regulated by FINRA Florida Office

Mailing Address

105 NARCISSUS AVENUE
SUITE 701
WEST PALM BEACH, FL 33401-5322

Business Telephone Number

561-835-8690

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):	SMARTX TECHNOLOGY SOLUTIONS INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	HOLDING COMPANY
Position Start Date	09/2019
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):	SMARTX TECHNOLOGY SOLUTIONS INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	HOLDING COMPANY
Position Start Date	09/2019
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):	JONES, SHARON 3124470
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	10/2021
Percentage of Ownership	Less than 5%

Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MILANO, LOUIS MICHAEL
	842064
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE 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?	

Firm Profile

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

Indirect Owners

No information reported.

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 3 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/25/2007

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	01/25/2007

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Florida	Approved	01/22/2008
New Jersey	Approved	03/07/2008
New York	Approved	04/30/2007

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 broker
Put and call broker or dealer or option writer
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Broker or dealer selling tax shelters or limited partnerships in the secondary market
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - DURING THE NORMAL COURSE OF BUSINESS, REPRESENTATIVES AND/OR PRINCIPALS OF HEDGECO SECURITIES, LLC MAY BECOME AWARE OF POTENTIAL CLIENTS WHO NEED THE SERVICES OF OTHER BROKER-DEALERS. THESE CLIENTS WILL BE REFERRED TO OTHER BROKER-DEALERS AND FOR THOSE REFERRALS, THE FIRM MAY RECEIVE REMUNERATION FROM THE BROKER-DEALERS RECEIVING THE REFERRALS. PROVIDES ON LINE TRADING/ELECTRONIC TRADING FOR AFFILIATED AND UNAFFILIATED INVESTMENT ADVISERS.

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 refer or introduce customers to other brokers and dealers.

Name:	INTERACTIVE BROKERS LLC
CRD #:	36418
Business Address:	8 GREENWICH OFFICE PARK GREENWICH, CT 06831
Effective Date:	10/14/2013
Description:	THE FIRM WILL INTRODUCE CUSTOMERS TO INTERACTIVE BROKERS THROUGH A CLEARING ARRANGEMENT FOR TRADE EXECUTION, SETTLEMENT AND CUSTODIANSHIP. THROUGH THIS AGREEMENT, ACCOUNTS AND ITS BOOKS AND RECORDS FOR THOSE TRANSACTIONS AND CUSTOMER FUNDS AND SECURITIES WILL BE MAINTAINED BY INTERACTIVE BROKERS ON A FULLY DISCLOSED BASIS.

Firm Operations

Industry Arrangements

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

Name: INTERACTIVE BROKERS LLC

CRD #: 36418

Business Address: 8 GREENWICH OFFICE PARK
GREENWICH, CT 06831

Effective Date: 10/14/2013

Description: THE FIRM WILL INTRODUCE CUSTOMERS TO INTERACTIVE BROKERS THROUGH A CLEARING ARRANGEMENT FOR TRADE EXECUTION, SETTLEMENT AND CUSTODIANSHIP. THROUGH THIS AGREEMENT, ACCOUNTS AND ITS BOOKS AND RECORDS FOR THOSE TRANSACTIONS AND CUSTOMER FUNDS AND SECURITIES WILL BE MAINTAINED BY INTERACTIVE BROKERS ON A FULLY DISCLOSED BASIS.

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

Name: INTERACTIVE BROKERS LLC

CRD #: 36418

Business Address: 8 GREENWICH OFFICE PARKA
GREENWICH, CT 06831

Effective Date: 10/14/2013

Description: THE FIRM WILL INTRODUCE CUSTOMERS TO INTERACTIVE BROKERS THROUGH A CLEARING ARRANGEMENT FOR TRADE EXECUTION, SETTLEMENT AND CUSTODIANSHIP. THROUGH THIS AGREEMENT, ACCOUNTS AND ITS BOOKS AND RECORDS FOR THOSE TRANSACTIONS AND CUSTOMER FUNDS AND SECURITIES WILL BE MAINTAINED BY INTERACTIVE BROKERS ON A FULLY DISCLOSED BASIS.

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

Name: INTERACTIVE BROKERS LLC

CRD #: 36418

Business Address: 8 GREENWICH OFFICE PARK
GREENWICH, CT 06831

Effective Date: 10/14/2013

Description: THE FIRM WILL INTRODUCE CUSTOMERS TO INTERACTIVE BROKERS

Firm Operations

Industry Arrangements (continued)

THROUGH A CLEARING ARRANGEMENT FOR TRADE EXECUTION, SETTLEMENT AND CUSTODIANSHIP. THROUGH THIS AGREEMENT, ACCOUNTS AND ITS BOOKS AND RECORDS FOR THOSE TRANSACTIONS AND CUSTOMER FUNDS AND SECURITIES WILL BE MAINTAINED BY INTERACTIVE BROKERS ON A FULLY DISCLOSED BASIS.

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.

SMARTX ADVISORY SOLUTIONS is under common control with the firm.

CRD #:	297680
Business Address:	105 S. NARCISSUS AVE SUITE 701 WEST PALM BEACH, FL 33401
Effective Date:	08/07/2018
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH PARENT HOLDING COMPANY.

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

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