

BrokerCheck Report

MUNDIAL FINANCIAL GROUP, LLC

CRD# 149531

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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:
 - 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.



MUNDIAL FINANCIAL GROUP, LLC

CRD# 149531

SEC# 8-68154

Main Office Location

477 MADISON AVE
6TH FLOOR
NEW YORK, NY 10022
Regulated by FINRA New York Office

Mailing Address

477 MADISON AVE
6TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

646-766-8690

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 California on 01/11/2008.

Its fiscal year ends in June.

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 7 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 California on 01/11/2008.

Its fiscal year ends in June.

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.

MUNDIAL FINANCIAL GROUP, LLC

Doing business as MUNDIAL FINANCIAL GROUP, LLC

CRD# 149531

SEC# 8-68154

Main Office Location

477 MADISON AVE
6TH FLOOR
NEW YORK, NY 10022

Regulated by FINRA New York Office

Mailing Address

477 MADISON AVE
6TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

646-766-8690



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): GONG CAPITAL MARKETS LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Position OWNER

Position Start Date 02/2017

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): COMPLIANCE AND FINOP ADVISORY LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Position OWNER 20%

Position Start Date 05/2020

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): BRAVIN, MICHAEL A
2758037

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

Position HEAD OF TRADING, GSP #2

Position Start Date 01/2019

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): ROMERO, MONIQUE VICTORIA
6712654

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

Position FINOP/PRINCIPAL FINANCIAL OFFICER/PRINCIPAL OPERATIONS OFFICER

Position Start Date 10/2018

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): SMULEVITZ, CHARLES DAVID
5099387

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

Position CHIEF EXECUTIVE OFFICER, GSP #1, CHIEF COMPLIANCE OFFICER

Position Start Date 08/2019

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



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	XUE, CONGYAN 5486673
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	GONG CAPITAL MARKETS LLC
Relationship to Direct Owner	OWNER
Relationship Established	08/2016
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
<hr/>	
Legal Name & CRD# (if any):	SMULEVITZ, CHARLES DAVID 5099387
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	COMPLIANCE AND FINOP ADVISORY LLC
Relationship to Direct Owner	OWNER
Relationship Established	05/2020
Percentage of Ownership	Other General Partners
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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/14/2011

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	01/14/2011



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	07/28/2022
Alaska	Approved	07/13/2022
Arizona	Approved	07/22/2022
Arkansas	Approved	07/25/2022
California	Approved	01/18/2010
Colorado	Approved	07/21/2022
Connecticut	Approved	07/13/2022
Delaware	Approved	07/13/2022
District of Columbia	Approved	08/09/2022
Florida	Approved	11/18/2022
Georgia	Approved	07/15/2022
Hawaii	Approved	08/08/2022
Idaho	Approved	07/18/2022
Illinois	Approved	08/11/2022
Indiana	Approved	08/05/2022
Iowa	Approved	07/07/2022
Kansas	Approved	07/14/2022
Kentucky	Approved	07/11/2022
Louisiana	Approved	07/11/2022
Maine	Approved	07/15/2022
Maryland	Approved	07/12/2022
Massachusetts	Approved	10/03/2022
Michigan	Approved	07/07/2022
Minnesota	Approved	08/15/2022
Mississippi	Approved	07/07/2022
Missouri	Approved	08/11/2022
Montana	Approved	07/11/2022
Nebraska	Approved	08/03/2022
Nevada	Approved	08/17/2022
New Hampshire	Approved	07/07/2022
New Jersey	Approved	03/26/2012
New Mexico	Approved	08/01/2022
New York	Approved	02/13/2012

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	07/15/2022
North Dakota	Approved	08/11/2022
Ohio	Approved	07/12/2022
Oklahoma	Approved	07/11/2022
Oregon	Approved	08/12/2022
Pennsylvania	Approved	07/12/2022
Puerto Rico	Approved	07/15/2022
Rhode Island	Approved	07/07/2022
South Carolina	Approved	07/25/2022
South Dakota	Approved	07/07/2022
Tennessee	Approved	07/12/2022
Texas	Approved	07/19/2017
Utah	Approved	07/19/2022
Vermont	Approved	07/27/2022
Virgin Islands	Approved	08/09/2022
Virginia	Approved	07/20/2022
Washington	Approved	07/11/2022
West Virginia	Approved	07/28/2022
Wisconsin	Approved	07/08/2022
Wyoming	Approved	07/25/2022



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 7 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - THE FIRM HAS BEEN APPROVED TO ENGAGE IN PORTFOLIO MARGINING AND INVESTMENT ADVISORY SERVICES FOR M & A AND RESTRUCTURING.

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:	1 PICKWICK PLAZA 2ND FLOOR GREENWICH, CT 06830
Effective Date:	07/28/2017
Description:	MUNDIAL HAS 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: INTERACTIVE BROKERS LLC
CRD #: 36418
Business Address: 1 PICKWICK PLAZA
GREENWICH, CT 06830
Effective Date: 07/28/2017
Description: MUNDIAL HAS A FULLY DISCLOSED CLEARING AGREEMENT WITH INTERACTIVE BROKERS.

Name: SMARSH INC
Business Address: 110 WILLIAMS STREET
NEW YORK, NY 10038
Effective Date: 06/06/2017
Description: EMAIL ARCHIVING

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

Name: INTERACTIVE BROKERS LLC
CRD #: 36418
Business Address: 1 PICKWICK PLAZA
GREENWICH, CT 06830
Effective Date: 07/28/2017
Description: MUNDIAL FINANCIAL GROUP HAS A FULLY DISCLOSED CLEARING AGREEMENT WITH INTERACTIVE BROKERS

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

Name: INTERACTIVE BROKERS LLC
CRD #: 36418
Business Address: 1 PICKWICK PLAZA
GREENWICH, CT 06830
Effective Date: 07/28/2017
Description: MUNDIAL FINANCIAL GROUP HAS A FULLY DISCLOSED CLEARING AGREEMENT WITH INTERACTIVE BROKERS.

Control Persons/Financing

Firm Operations



Industry Arrangements (continued)

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.**

BG STRATEGIC ADVISORS LLC is under common control with the firm.

CRD #:	124448
Business Address:	525 SOUTH FLAGLER DRIVE SUITE 200 WEST PALM BEACH, FL 33401
Effective Date:	05/02/2025
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE APPLICANT IS AFFILIATED WITH BG STRATEGIC ADVISORS LLC #124448 THROUGH COMMON CONTROL INDIVIDUAL SMULEVITZ, CHARLES #5099387

BEIJING GLORY HOPE INVESTMENTS CENTER is under common control with the firm.

Business Address:	2206B TOWER A CHAOWAI SOHO NO.6B CHAOWAI STREET CHAOYANG DISTRICT BEIJING, CHINA
Effective Date:	06/21/2018
Foreign Entity:	Yes
Country:	CHINA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	CONGYAN XUE OWNS 80% OF MUNDIAL FINANCIAL GROUP, LLC THROUGH HIS 100% OWNERSHIP STAKE IN GONG CAPITAL MARKETS. HE ALSO HAS

Firm Operations



Organization Affiliates (continued)

A 70% OWNERSHIP STAKE IN BEIJING GLORY HOPE INVESTMENTS CENTER.

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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