

BrokerCheck Report
ARKADIOS CAPITAL
 CRD# 282710

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 5
Firm History	6
Firm Operations	7 - 14



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns. For more information read our [investor alert](#) on imposters.

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)

**ARKADIOS CAPITAL**

CRD# 282710

SEC# 8-69729

Main Office Location

2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305
Regulated by FINRA Atlanta Office

Mailing Address

2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305

Business Telephone Number

404-445-0035

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 Georgia on 11/23/2015.

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
- 52 U.S. states and territories

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

This firm conducts 12 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 Georgia on 11/23/2015.

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.

ARKADIOS CAPITAL, LLC

Doing business as ARKADIOS CAPITAL

CRD# 282710

SEC# 8-69729

Main Office Location

2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305

Regulated by FINRA Atlanta Office

Mailing Address

2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305

Business Telephone Number

404-445-0035



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): ARKADIOS HOLDINGS, INC.

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

Position OWNER

Position Start Date 07/2017

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): HARRISON, JOHN DORWARD

2361768

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

Position EXECUTIVE DIRECTOR

Position Start Date 05/2017

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): MILLER, NATALIE LANE

5627988

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

Position FINOP, POO, PFO

Position Start Date 05/2021

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? No

Is this a public reporting company? No

Legal Name & CRD# (if any): MILLICAN, DAVID YANCEY IV
2788060

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

Position CEO

Position Start Date 10/2016

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): SCHWARTZ, GARY STEVEN
2691699

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 03/2020

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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	MILLICAN, DAVID YANCEY IV 2788060
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ARKADIOS HOLDINGS, INC.
Relationship to Direct Owner	OWNER
Relationship Established	07/2017
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

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 52 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	10/17/2016

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	10/17/2016



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	11/04/2016
Alaska	Approved	10/22/2018
Arizona	Approved	02/10/2017
Arkansas	Approved	05/09/2018
California	Approved	01/12/2017
Colorado	Approved	01/25/2017
Connecticut	Approved	01/19/2017
Delaware	Approved	01/27/2017
District of Columbia	Approved	01/11/2017
Florida	Approved	11/10/2016
Georgia	Approved	10/31/2016
Hawaii	Approved	01/03/2022
Idaho	Approved	01/05/2017
Illinois	Approved	02/22/2017
Indiana	Approved	01/20/2017
Iowa	Approved	10/17/2018
Kansas	Approved	01/17/2017
Kentucky	Approved	01/09/2017
Louisiana	Approved	07/10/2017
Maine	Approved	11/08/2018
Maryland	Approved	01/09/2017
Massachusetts	Approved	02/03/2017
Michigan	Approved	01/03/2017
Minnesota	Approved	04/24/2017
Mississippi	Approved	01/19/2017
Missouri	Approved	02/14/2018
Montana	Approved	12/09/2021
Nebraska	Approved	02/10/2017
Nevada	Approved	01/12/2017
New Hampshire	Approved	05/10/2017
New Jersey	Approved	02/24/2017
New Mexico	Approved	01/13/2017
New York	Approved	12/07/2016

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	11/09/2016
North Dakota	Approved	10/08/2019
Ohio	Approved	01/19/2017
Oklahoma	Approved	10/23/2018
Oregon	Approved	01/24/2017
Pennsylvania	Approved	01/11/2017
Puerto Rico	Approved	12/19/2017
Rhode Island	Approved	04/22/2019
South Carolina	Approved	10/18/2016
South Dakota	Approved	02/09/2017
Tennessee	Approved	02/01/2017
Texas	Approved	02/17/2017
Utah	Approved	07/05/2017
Vermont	Approved	06/20/2017
Virginia	Approved	01/06/2017
Washington	Approved	01/20/2017
West Virginia	Approved	01/25/2017
Wisconsin	Approved	01/26/2017
Wyoming	Approved	01/24/2020



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 12 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
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - COMMISSION SHARING

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: RBC CAPITAL MARKETS, LLC
CRD #: 31194
Business Address: 3 WORLD FINANCIAL CENTER
NEW YORK, NY 10281
Effective Date: 06/23/2022
Description: ARKADIOS CAPITAL INTRODUCES CUSTOMERS TO RBC CAPITAL, LLC.

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
BOSTON, MA 02210
Effective Date: 10/01/2016
Description: ARKADIOS CAPITAL INTRODUCES CUSTOMERS TO NATIONAL FINANCIAL SERVICES.

Firm Operations

Industry Arrangements



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

Name: RBC CAPITAL MARKETS, LLC
CRD #: 31194
Business Address: 3 WORLD FINANCIAL CENTER
 NEW YORK, NY 10281
Effective Date: 06/23/2022
Description: RBC CAPITAL MARKETS MAINTAINS BOOKS AND RECORDS OF
 ARKADIOS CAPITAL

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
 BOSTON, MA 02210
Effective Date: 10/01/2016
Description: NFS MAINTAINS BOOKS AND RECORDS OF ARKADIOS CAPITAL

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

Name: RBC CAPITAL MARKETS, LLC
CRD #: 31194
Business Address: 3 WORLD FINANCIAL CENTER
 NEW YORK, NY 10281
Effective Date: 06/23/2022
Description: ACCOUNTS, FUNDS, OR SECURITIES OF ARKADIOS CAPITAL ARE HELD
 AND MAINTAINED BY RBC CAPITAL MARKETS LLC.

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
 BOSTON, MA 02210
Effective Date: 10/01/2016
Description: ACCOUNTS, FUNDS, OR SECURITIES OF ARKADIOS CAPITAL ARE HELD
 AND MAINTAINED BY NFS

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

Firm Operations



Industry Arrangements (continued)

Name: RBC CAPITAL MARKETS, LLC
CRD #: 31194
Business Address: 3 WORLD FINANCIAL CENTER
 NEW YORK, NY 10281
Effective Date: 06/23/2022
Description: RBC CAPITAL MARKETS LLC MAINTAINS ACCOUNTS, FUNDS, AND SECURITIES OF CUSTOMERS OF ARKADIOS CAPITAL.

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 200 SEAPORT BLVD
 BOSTON, MA 00210
Effective Date: 10/01/2016
Description: NFS MAINTAINS ACCOUNTS, FUNDS, AND SECURITIES OF CUSTOMERS OF ARKADIOS CAPITAL.

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.**

ARKAP MARKETS, LLC is under common control with the firm.

CRD #:	326313
Business Address:	2827 PEACHTREE RD NE, SUITE 510 ATLANTA, GA 30305
Effective Date:	03/28/2023
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	DAVID MILLICAN AND CHESTER PAYNE ARE CONTROL AFFILIATES OF ARKADIOS CAPITAL AND OF ARKAP MARKETS.

ARKADIOS WEALTH ADVISORS is under common control with the firm.

CRD #:	288863
Business Address:	2827 PEACHTREE RD NE, SUITE 510 ATLANTA, GA 30305
Effective Date:	06/19/2017
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	JOHN HARRISON, DAVID MILLICAN, CHESTER PAYNE, & ARKADIOS HOLDINGS ARE CONTROL AFFILIATES OF ARKADIOS CAPITAL AND OF

Firm Operations



Organization Affiliates (continued)

ARKADIOS WEALTH ADVISORS.

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.