BrokerCheck Report

WEALTHFORGE DISTRIBUTORS, LLC

CRD# 330314

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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.
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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.

WEALTHFORGE DISTRIBUTORS, LLC

CRD# 330314

SEC# 8-71216

Main Office Location

3431 W. LEIGH STREET
SUITE B
RICHMOND, VA 23230
Regulated by FINRA Philadelphia Office

Mailing Address

3431 W. LEIGH STREET
SUITE B
RICHMOND, VA 23230

Business Telephone Number

804-956-3365

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 Virginia on 10/03/2022.

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
- 50 U.S. states and territories

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

This firm conducts 4 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? **No**

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Virginia on 10/03/2022.

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.

WEALTHFORGE DISTRIBUTORS, LLC

Doing business as WEALTHFORGE DISTRIBUTORS, LLC

CRD# 330314

SEC# 8-71216

Main Office Location

3431 W. LEIGH STREET
SUITE B
RICHMOND, VA 23230

Regulated by FINRA Philadelphia Office

Mailing Address

3431 W. LEIGH STREET
SUITE B
RICHMOND, VA 23230

Business Telephone Number

804-956-3365

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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):	WEALTHFORGE HOLDINGS, INC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT
Position Start Date	04/2011
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):	ARLES, DONNA DIPIETRO 6489389
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	04/2016
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):	RAPER, JAMES LEROY JR 5721253
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO, COO, PFO
Position Start Date	03/2015

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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):	ROBBINS, GEORGE WILLIAM IV 2440106
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	06/2016
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

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Firm Profile

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

Indirect Owners

No information reported.

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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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 50 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/12/2025

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	03/12/2025

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	04/16/2025
Arizona	Approved	05/16/2025
Arkansas	Approved	05/28/2025
California	Approved	04/29/2025
Colorado	Approved	04/17/2025
Connecticut	Approved	04/22/2025
Delaware	Approved	04/25/2025
District of Columbia	Approved	04/17/2025
Florida	Approved	06/18/2025
Georgia	Approved	04/15/2025
Hawaii	Approved	04/23/2025
Idaho	Approved	04/18/2025
Illinois	Approved	06/25/2025
Indiana	Approved	05/13/2025
Iowa	Approved	04/03/2025
Kansas	Approved	04/21/2025
Kentucky	Approved	04/17/2025
Louisiana	Approved	04/01/2025
Maine	Approved	04/24/2025
Maryland	Approved	06/16/2025
Massachusetts	Approved	05/12/2025
Michigan	Approved	04/18/2025
Minnesota	Approved	04/22/2025
Mississippi	Approved	04/30/2025
Missouri	Approved	04/22/2025
Montana	Approved	04/21/2025
Nebraska	Approved	05/02/2025
Nevada	Approved	04/15/2025
New Hampshire	Approved	05/09/2025
New Jersey	Approved	04/28/2025
New Mexico	Approved	04/21/2025
New York	Approved	04/21/2025
North Carolina	Approved	04/21/2025
North Dakota	Approved	04/22/2025
Ohio	Approved	04/18/2025
Oklahoma	Approved	04/16/2025
Oregon	Approved	04/24/2025
Pennsylvania	Approved	04/15/2025
Rhode Island	Approved	04/22/2025
South Carolina	Approved	04/23/2025
South Dakota	Approved	04/01/2025
Tennessee	Approved	05/06/2025
Texas	Approved	06/12/2025
Utah	Approved	04/29/2025
Vermont	Approved	04/21/2025
Virginia	Approved	04/15/2025
Washington	Approved	05/06/2025
West Virginia	Approved	05/14/2025
Wisconsin	Approved	04/18/2025
Wyoming	Approved	04/22/2025

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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 4 types of businesses.

Types of Business

Underwriter or selling group participant (corporate securities other than mutual funds)
Real estate syndicator
Private placements of securities
Other - A. BROKER ACTING AS DEALER MANAGER FOR ALTERNATIVE INVESTMENTS ON A BEST EFFORTS BASIS B. NATIONAL ACCOUNTS AND WHOLESALING SERVICES EXCLUSIVELY TO INSTITUTIONAL CUSTOMERS

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:

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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.

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Firm Operations

Industry Arrangements

This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

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.

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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.

WEALTHFORGE SECURITIES, LLC is under common control with the firm.

CRD #:	152550
Business Address:	3015 W MOORE STREET SUITE 102 RICHMOND, VA 23230
Effective Date:	07/28/2009
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	WEALTHFORGE SECURITIES LLC AND WEALTHFORGE DISTRIBUTORS LLC ARE BOTH OWNED BY THE SAME PARENT COMPANY, WEALTHFORGE HOLDINGS INC

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**

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End of Report

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