

## BrokerCheck Report

# JOHN STRACQUADANIO

CRD# 1643369

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**JOHN STRACQUADANIO**

CRD# 1643369

**Currently employed by and registered with the following Firm(s):****B APPIA FINANCIAL SERVICES**200 VESEY STREET, 24TH FLOOR  
NEW YORK, NY 10281  
CRD# 335559

Registered with this firm since: 01/29/2026

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 1 Self-Regulatory Organization
- 0 U.S. states and territories

**This broker has passed:**

- 2 Principal/Supervisory Exams
- 6 General Industry/Product Exams
- 1 State Securities Law Exam

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No****Registration History****This broker was previously registered with the following securities firm(s):****B SCOTIA CAPITAL (USA) INC.**CRD# 2739  
NEW YORK, NY  
09/2010 - 08/2020**B BARCLAYS CAPITAL INC.**CRD# 19714  
NEW YORK, NY  
08/1998 - 04/2010**B ING BARING FURMAN SELZ LLC**CRD# 6540  
NEW YORK, NY  
07/1998 - 07/1998

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 0 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **APPIA FINANCIAL SERVICES**

Main Office Address: **200 VESEY STREET, 24TH FLOOR  
NEW YORK, NY 10281**

Firm CRD#: **335559**

SRO	Category	Status	Date
<span style="color: blue;">B</span> FINRA	General Securities Principal	Approved	01/29/2026
<span style="color: blue;">B</span> FINRA	General Securities Representative	Approved	01/29/2026
<span style="color: blue;">B</span> FINRA	Operations Professional	Approved	01/29/2026
<span style="color: blue;">B</span> FINRA	Registered Options Principal	Approved	01/29/2026
<span style="color: blue;">B</span> FINRA	Securities Trader	Approved	01/29/2026

### Branch Office Locations

**APPIA FINANCIAL SERVICES**  
200 VESEY STREET, 24TH FLOOR  
NEW YORK, NY 10281

## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 2 principal/supervisory exams, 6 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination	Series 4	01/29/2026
General Securities Principal Examination	Series 24	01/29/2026

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7TO	01/29/2026
Operations Professional Examination	Series 99TO	01/29/2026
Securities Industry Essentials Examination	SIE	01/29/2026
Securities Trader Exam	Series 57TO	01/29/2026
Limited Representative-Equity Trader Exam	Series 55	07/26/2001
General Securities Representative Examination	Series 7	02/08/1995

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	08/28/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



### Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

# Registration and Employment History



## Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2010 - 08/2020	SCOTIA CAPITAL (USA) INC.	2739	NEW YORK, NY
B 08/1998 - 04/2010	BARCLAYS CAPITAL INC.	19714	NEW YORK, NY
B 07/1998 - 07/1998	ING BARING FURMAN SELZ LLC	6540	NEW YORK, NY
B 04/1997 - 07/1998	ING BARING (U.S.) SECURITIES, INC.	5285	NEW YORK, NY
B 02/1995 - 04/1997	MORGAN STANLEY & CO., INCORPORATED	8209	NEW YORK, NY

## Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
04/2025 - Present	Appia Financial Services	Chief Executive Officer	Y	New York, NY, United States
09/2024 - 03/2025	Unemployed	Unemployed	N	New York, NY, United States
04/2022 - 08/2024	US Tech Solutions	Strategy Consultant	N	New York, NY, United States
08/2020 - 04/2022	Unemployed	Unemployed	N	New York, NY, United States
05/2019 - 07/2020	Scotia Capital (USA) Inc	CEO	Y	New York, NY, United States
06/2018 - 07/2020	SCOTIA CAPITAL (USA) INC	BOARD MEMBER	Y	NEW YORK, NY, United States
07/2010 - 04/2019	SCOTIA CAPITAL(USA) INC.	MANAGING DIRECTOR	Y	NEW YORK, NY, United States

## Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

As of October 2021, serves on the Board of Directors of TS Imagine Inc. 125 West 25th Street, 8th Fl, NY, NY 10001. TS Imagine is a tech

## Registration and Employment History



### Other Business Activities, continued

company that provides real-time risk, trading, & portfolio mgmt solutions for financial institutions, including hedge funds, asset managers, & banks. As a Board member, he provides strategic oversight & guidance on corporate strategy, financial performance, & governance. Approx. 2 hours per month during securities related trading hours. This is investment related.

As of February 2021, serves as a Board Member of Ai-CoNExch Inc. 11200 Broadway Street, Suite 2743, Pearl&, TX 77584. Ai-CoNExch Inc. is a fintech firm formed to use AI in the workflow & contract mgmt space. As a board member he provides strategic oversight & guidance on corporate strategy, financial performance, & governance. Ai-CoNExch Inc is currently inactive so there is no time devoted. This is not investment related.

As of July 2021, serves as a Board Member of Hive Class Inc. 16 Hampton Blvd, Massapequa NY 11758. Hive Class, Inc., is an educational technology company specializing in virtual physical education for K-12 students. As a board member he provides strategic oversight & guidance on corporate strategy, financial performance, & governance. Approx. 2 hours per month during securities related trading hours. This is not investment related.

As of January 2021, serves as a Board Member of FinOptSys Inc. 211 E 7th St Ste 620, Austin, TX 78701. FinOptSys, Inc. is a financial technology company specializing in cloud-based analytics & optimization solutions for the finance industry. As a board member he provides strategic oversight & guidance on corporate strategy, financial performance, & governance. Approx. 10 hours per month during securities related trading hours. This is investment related.

As of January 2020, is the sole owner of Stracq4 Realty LLC. 11 Austen Ct, Marlboro, NJ 07746. A real estate holding company that buys, sells & rents residential properties. Approx. 1-2 hours per month during securities related trading hours. This is not investment related.

As of January 2021, Mr. Stracq wholly owns John Stracq Consulting LLC. 11 Austen Ct, Marlboro, NJ 07746. John Stracq Consulting LLC, d/b/a Via Cassia Advisors, a business management & consulting firm providing operational support to small businesses with respect to business organization & bookkeeping. Approx. up to 10 hours per month during securities-related trading hours. This is not investment related.

As of June 2021, member of Appia Ventures LLC. 228 Park Ave South, PMB 811548 NY, NY 10003. Appia Ventures LLC is a venture capital investment firm that invests in early-stage private companies. Assists in the management & operational requirements of investments in two portfolio companies. Approx. 10 hours per month during securities related trading hours to this is investment related activity.

As of January 2025, member of Appia Ventures II LLC. 228 Park Ave South, PMB 811548 NY, NY 10003. Appia Ventures LLC is a venture capital investment firm that invests in early-stage private companies. Assists in the management & operational requirements of investments in the one fund, Appia Aurelia Fund. Approx. 10 hours per month during securities related trading hours to this investment related activity.

As of January 2025, member of Appia Aurelia GP LLC. 228 Park Ave South, PMB 811548 NY, NY 10003. Appia Aurelia GP LLC is the General Partner of the Appia Aurelia Fund. As a member of the general partnership of the Appia Aurelia Fund, he assists with the management & operational requirements of investments in such Fund. Approx. 10 hours per month during securities related trading hours. This is investment related.

As of September 2025, Adjunct Lecturer at Rutgers University Business School. 100 Rockafeller Road, Piscataway, NJ 08854. Approx. 12 hours per month during not during securities related trading hours. This is not investment related.

## End of Report



**This page is intentionally left blank.**