

## BrokerCheck Report

# FRANK WILLIAM BRACERO

CRD# 2178318

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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](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).

**FRANK W. BRACERO**

CRD# 2178318

**Currently employed by and registered with the following Firm(s):****B VELOCITY CLEARING, LLC**

1301 Route 36  
Suite 103  
Hazlet, NJ 07730  
CRD# 126588  
Registered with this firm since: 10/24/2019

**B VELOCITY CAPITAL, LLC**

199 WATER STREET  
8TH FLOOR  
NEW YORK, NY 10038  
CRD# 171810  
Registered with this firm since: 10/24/2019

**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:**

- 14 Self-Regulatory Organizations
- 45 U.S. states and territories

**This broker has passed:**

- 2 Principal/Supervisory Exams
- 5 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 ELECTRONIC TRANSACTION CLEARING, INC.**

CRD# 146122  
New York, NY  
02/2018 - 09/2019

**B AXA ADVISORS, LLC**

CRD# 6627  
WOODBRIDGE, NJ  
11/2017 - 02/2018

**B BNP PARIBAS INVESTMENT SERVICES, LLC**

CRD# 44598  
MIAMI, FL  
04/2015 - 08/2016

## 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 14 SROs and is licensed in 45 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **VELOCITY CAPITAL, LLC**

Main Office Address: **199 WATER STREET  
8TH FLOOR  
NEW YORK, NY 10038**

Firm CRD#: **171810**

SRO	Category	Status	Date
B Cboe Exchange, Inc.	Financial and Operations Principal	Approved	11/05/2021
B Cboe Exchange, Inc.	General Securities Principal	Approved	11/05/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/05/2021
B Cboe Exchange, Inc.	Securities Trader	Approved	11/05/2021
B Cboe Exchange, Inc.	Securities Trader Principal	Approved	11/05/2021
B FINRA	Financial and Operations Principal	Approved	10/24/2019
B FINRA	General Securities Principal	Approved	10/24/2019
B FINRA	General Securities Representative	Approved	10/24/2019
B FINRA	Operations Professional	Approved	10/24/2019
B FINRA	Securities Trader	Approved	10/24/2019
B FINRA	Securities Trader Principal	Approved	10/24/2019
B FINRA	Municipal Securities Representative	Approved	06/23/2025
B Nasdaq BX, Inc.	Financial and Operations Principal	Approved	06/23/2025
B Nasdaq BX, Inc.	General Securities Principal	Approved	06/23/2025
B Nasdaq BX, Inc.	General Securities Representative	Approved	06/23/2025

## Broker Qualifications



### Employment 1 of 2, continued

SRO	Category	Status	Date
B Nasdaq BX, Inc.	Securities Trader	Approved	06/23/2025
B Nasdaq BX, Inc.	Securities Trader Principal	Approved	06/23/2025
B Nasdaq PHLX LLC	Financial and Operations Principal	Approved	06/23/2025
B Nasdaq PHLX LLC	General Securities Principal	Approved	06/23/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	06/23/2025
B Nasdaq PHLX LLC	Securities Trader	Approved	06/23/2025
B Nasdaq PHLX LLC	Securities Trader Principal	Approved	06/23/2025
B Nasdaq Stock Market	Financial and Operations Principal	Approved	09/21/2021
B Nasdaq Stock Market	General Securities Principal	Approved	09/21/2021
B Nasdaq Stock Market	General Securities Representative	Approved	09/21/2021
B Nasdaq Stock Market	Securities Trader	Approved	09/21/2021
B Nasdaq Stock Market	Securities Trader Principal	Approved	09/21/2021

### U.S. State/ Territory

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	10/24/2019
B Connecticut	Agent	Approved	10/25/2019
B Florida	Agent	Approved	02/27/2020
B Nebraska	Agent	Approved	10/29/2019
B New Jersey	Agent	Approved	12/04/2020
B New York	Agent	Approved	10/24/2019
B Pennsylvania	Agent	Approved	10/25/2019
B South Carolina	Agent	Approved	12/21/2020



## Broker Qualifications

### Employment 1 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Texas	Agent	Approved	12/04/2020
B Washington	Agent	Approved	12/14/2020

### Branch Office Locations

#### VELOCITY CAPITAL, LLC

199 WATER STREET

8TH FLOOR

NEW YORK, NY 10038

### Employment 2 of 2

Firm Name: **VELOCITY CLEARING, LLC**

Main Office Address: **1301 ROUTE 36  
SUITE 103  
HAZLET, NJ 07730**

Firm CRD#: **126588**

SRO	Category	Status	Date
B Cboe BYX Exchange, Inc.	Financial and Operations Principal	Approved	10/24/2019
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	10/24/2019
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/24/2019
B Cboe BYX Exchange, Inc.	Securities Trader	Approved	10/24/2019
B Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	10/24/2019
B Cboe BZX Exchange, Inc.	Financial and Operations Principal	Approved	10/24/2019
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	10/24/2019
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/24/2019
B Cboe BZX Exchange, Inc.	Securities Trader	Approved	10/24/2019

## Broker Qualifications



### Employment 2 of 2, continued

SRO	Category	Status	Date
B Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	10/24/2019
B Cboe EDGA Exchange, Inc.	Financial and Operations Principal	Approved	10/24/2019
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	10/24/2019
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/24/2019
B Cboe EDGA Exchange, Inc.	Securities Trader	Approved	10/24/2019
B Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	10/24/2019
B Cboe EDGX Exchange, Inc.	Financial and Operations Principal	Approved	10/24/2019
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	10/24/2019
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/24/2019
B Cboe EDGX Exchange, Inc.	Securities Trader	Approved	10/24/2019
B Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	10/24/2019
B Cboe Exchange, Inc.	Financial and Operations Principal	Approved	10/03/2022
B Cboe Exchange, Inc.	General Securities Principal	Approved	10/03/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/03/2022
B Cboe Exchange, Inc.	Securities Trader	Approved	10/03/2022
B Cboe Exchange, Inc.	Securities Trader Principal	Approved	10/03/2022
B FINRA	Financial and Operations Principal	Approved	10/24/2019
B FINRA	General Securities Principal	Approved	10/24/2019
B FINRA	General Securities Representative	Approved	10/24/2019
B FINRA	Operations Professional	Approved	10/24/2019
B FINRA	Securities Trader	Approved	10/24/2019
B FINRA	Securities Trader Principal	Approved	10/24/2019

## Broker Qualifications



### Employment 2 of 2, continued

SRO	Category	Status	Date
B Investors' Exchange LLC	Financial and Operations Principal	Approved	11/18/2021
B Investors' Exchange LLC	General Securities Principal	Approved	06/28/2022
B Investors' Exchange LLC	General Securities Representative	Approved	06/28/2022
B Investors' Exchange LLC	Securities Trader	Approved	06/28/2022
B Investors' Exchange LLC	Securities Trader Principal	Approved	06/28/2022
B MEMX LLC	Financial and Operations Principal	Approved	11/18/2021
B MEMX LLC	General Securities Principal	Approved	06/28/2022
B MEMX LLC	General Securities Representative	Approved	06/28/2022
B MEMX LLC	Securities Trader	Approved	06/28/2022
B MEMX LLC	Securities Trader Principal	Approved	06/28/2022
B MIAX PEARL, LLC	Financial and Operations Principal	Approved	08/21/2023
B MIAX PEARL, LLC	General Securities Principal	Approved	08/21/2023
B MIAX PEARL, LLC	General Securities Representative	Approved	08/21/2023
B MIAX PEARL, LLC	Securities Trader	Approved	08/21/2023
B MIAX PEARL, LLC	Securities Trader Principal	Approved	08/21/2023
B NYSE Arca, Inc.	Financial and Operations Principal	Approved	10/24/2019
B NYSE Arca, Inc.	General Securities Principal	Approved	10/24/2019
B NYSE Arca, Inc.	General Securities Representative	Approved	10/24/2019
B NYSE Arca, Inc.	Securities Trader	Approved	10/24/2019
B NYSE Arca, Inc.	Securities Trader Principal	Approved	10/24/2019
B Nasdaq BX, Inc.	Financial and Operations Principal	Approved	02/03/2020
B Nasdaq BX, Inc.	General Securities Representative	Approved	02/03/2020

## Broker Qualifications



### Employment 2 of 2, continued

SRO	Category	Status	Date
B Nasdaq BX, Inc.	Securities Trader	Approved	02/03/2020
B Nasdaq BX, Inc.	Securities Trader Principal	Approved	02/03/2020
B Nasdaq BX, Inc.	General Securities Principal	Approved	02/07/2020
B Nasdaq PHLX LLC	Financial and Operations Principal	Approved	02/03/2020
B Nasdaq PHLX LLC	General Securities Representative	Approved	02/03/2020
B Nasdaq PHLX LLC	Member Exchange (NYSE)	Approved	02/03/2020
B Nasdaq PHLX LLC	Securities Trader	Approved	02/03/2020
B Nasdaq PHLX LLC	Securities Trader Principal	Approved	02/03/2020
B Nasdaq PHLX LLC	General Securities Principal	Approved	02/07/2020
B Nasdaq Stock Market	Financial and Operations Principal	Approved	10/24/2019
B Nasdaq Stock Market	General Securities Principal	Approved	10/24/2019
B Nasdaq Stock Market	General Securities Representative	Approved	10/24/2019
B Nasdaq Stock Market	Securities Trader	Approved	10/24/2019
B Nasdaq Stock Market	Securities Trader Principal	Approved	10/24/2019
B New York Stock Exchange	Financial and Operations Principal	Approved	11/19/2021
B New York Stock Exchange	General Securities Principal	Approved	06/28/2022
B New York Stock Exchange	General Securities Representative	Approved	06/28/2022
B New York Stock Exchange	Securities Trader	Approved	06/28/2022
B New York Stock Exchange	Securities Trader Principal	Approved	06/28/2022

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	10/22/2020

## Broker Qualifications



### Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Alaska	Agent	Approved	03/18/2020
B Arizona	Agent	Approved	04/10/2020
B Arkansas	Agent	Approved	05/08/2020
B Delaware	Agent	Approved	03/27/2020
B District of Columbia	Agent	Approved	03/18/2020
B Florida	Agent	Approved	03/19/2020
B Georgia	Agent	Approved	03/16/2020
B Hawaii	Agent	Approved	05/01/2020
B Idaho	Agent	Approved	04/08/2020
B Illinois	Agent	Approved	12/06/2019
B Indiana	Agent	Approved	03/25/2020
B Iowa	Agent	Approved	04/08/2020
B Kansas	Agent	Approved	03/18/2020
B Maine	Agent	Approved	05/18/2020
B Maryland	Agent	Approved	02/07/2020
B Michigan	Agent	Approved	04/24/2020
B Minnesota	Agent	Approved	01/05/2023
B Missouri	Agent	Approved	07/27/2020
B Montana	Agent	Approved	03/27/2020
B Nebraska	Agent	Approved	03/17/2020
B Nevada	Agent	Approved	02/07/2020

## Broker Qualifications



### Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B New Hampshire	Agent	Approved	04/03/2020
B New Jersey	Agent	Approved	10/24/2019
B New Mexico	Agent	Approved	06/05/2020
B New York	Agent	Approved	10/24/2019
B North Carolina	Agent	Approved	03/30/2020
B North Dakota	Agent	Approved	03/24/2020
B Ohio	Agent	Approved	03/30/2020
B Oklahoma	Agent	Approved	03/27/2020
B South Carolina	Agent	Approved	04/09/2020
B South Dakota	Agent	Approved	03/27/2020
B Tennessee	Agent	Approved	04/07/2020
B Texas	Agent	Approved	06/09/2020
B Utah	Agent	Approved	03/26/2020
B Vermont	Agent	Approved	03/26/2020
B Virgin Islands	Agent	Approved	04/24/2020
B Virginia	Agent	Approved	03/10/2020
B Washington	Agent	Approved	04/08/2020
B West Virginia	Agent	Approved	04/07/2020
B Wisconsin	Agent	Approved	03/27/2020
B Wyoming	Agent	Approved	04/07/2020

## Broker Qualifications



### Employment 2 of 2, continued

#### Branch Office Locations

##### **VELOCITY CLEARING, LLC**

1301 ROUTE 36

SUITE 103

HAZLET, NJ 07730

##### **VELOCITY CLEARING, LLC**

1301 Route 36

Suite 103

Hazlet, NJ 07730

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## 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, 5 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	07/11/1997
Financial and Operations Principal Examination	Series 27	02/20/1997

#### General Industry/Product Exams

Exam	Category	Date
Municipal Securities Representative Examination	Series 52TO	06/23/2025
Operations Professional Examination	Series 99TO	01/02/2023
Securities Trader Exam	Series 57TO	01/02/2023
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	12/09/1994

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	03/07/1997

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 02/2018 - 09/2019	ELECTRONIC TRANSACTION CLEARING, INC.	146122	New York, NY
B 11/2017 - 02/2018	AXA ADVISORS, LLC	6627	WOODBRIDGE, NJ
B 04/2015 - 08/2016	BNP PARIBAS INVESTMENT SERVICES, LLC	44598	MIAMI, FL
B 12/2011 - 08/2016	BNP PARIBAS PRIME BROKERAGE, INC.	24962	NEW YORK, NY
B 11/2000 - 08/2016	BNP PARIBAS SECURITIES CORP.	15794	NEW YORK, NY
B 11/1996 - 11/2000	CREDIT LYONNAIS SECURITIES (USA), INC.	190	NEW YORK, NY
B 05/1996 - 10/1996	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 12/1994 - 11/1995	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
10/2019 - Present	Quantex Clearing, LLC	Accounting	Y	Hoboken, NJ, United States
10/2019 - Present	Velocity Capital LLC	Accounting	Y	New York, NY, United States
02/2018 - 09/2019	ELECTRONIC TRANSACTION CLEARING, INC.	Controller, FINOP	Y	LOS ANGELES, CA, United States
11/2017 - 02/2018	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NJ, United States
08/2016 - 10/2017	Unemployed	Unemployed	N	Holmdel, NJ, United States
11/2011 - 07/2016	BNP PARIBAS PRIME BROKERAGE INC.	MANAGING DIRECTOR - FINANCE	Y	JERSEY CITY, NJ, United States

# Registration and Employment History



## Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2000 - 07/2016	BNP PARIBAS SECURITIES CORP	MANAGING DIRECTOR - FINANCE, CFO	Y	JERSEY CITY, NJ, 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.

1. Frank Bracero Consulting LLC - owner - non-investment related. 7 Dundall Place, Hazlet NJ 07730. established 08/2019. provide accounting and finance related consulting services.
2. FB & MA PROPERTIES LLC. Not investment-related Created to purchase real estate. Activity will be passive and conducted outside of business work hours. Located at 7 Dundall Place, Hazlet NJ 07730. No compensation.

## End of Report



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