

**BrokerCheck Report**  
**PHILIP CIANTRO**  
 CRD# 2350685

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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).



## PHILIP CIANTRO

CRD# 2350685

**Currently employed by and registered with the following Firm(s):**

**B WALL STREET CAPITAL CORPORATION**  
1600 PENNSYLVANIA AVENUE  
MCDONOUGH, GA 30253  
CRD# 13847  
Registered with this firm since: 01/30/2025

**B PACIFIC INVESTMENT SECURITIES CORP.**  
1837 S PALATINE HILL RD  
PORTLAND, OR 97219  
CRD# 16339  
Registered with this firm since: 01/27/2025

**B KENSINGTON CAPITAL CORP.**  
4910 13TH AVE.  
BROOKLYN, NY 11219-3100  
CRD# 1742  
Registered with this firm since: 05/16/2024

**B WEALTH SPACE ASSET MANAGEMENT**  
1600 PENNSYLVANIA AVENUE  
MCDONOUGH, GA 30253  
CRD# 127507  
Registered with this firm since: 03/08/2023

This broker is currently registered with FINRA or a national securities exchange at more than four brokerage firms. Please see the Registration History section of the report for a list of these brokerage firms.

## 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
- 1 U.S. state or territory

**This broker has passed:**

- 3 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

**This broker was previously registered with the following securities firm(s):**

- B ARCVIEW CAPITAL, LLC**  
CRD# 306029  
NEW YORK, NY  
06/2020 - 12/2024
- B WHITE OAK MERCHANT PARTNERS LLC**  
CRD# 140142  
SAN FRANCISCO, CA  
09/2014 - 08/2024
- B KENSINGTON CAPITAL CORP.**  
CRD# 1742  
BROOKLYN, NY  
04/2021 - 04/2024

### 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? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1



## 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 1 U.S. state or territory through his or her employer.**

#### Employment 1 of 8

Firm Name: **AMERICAN GLOBAL WEALTH MANAGEMENT, INC.**

Main Office Address: **1600 PENNSYLVANIA AVE.  
MCDONOUGH, GA 30253**

Firm CRD#: **7388**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	05/01/2019
B	FINRA	Operations Professional	Approved	05/01/2019

### Branch Office Locations

**AMERICAN GLOBAL WEALTH MANAGEMENT, INC.**

1600 Pennsylvania Avenue  
McDonough, GA 30253

#### Employment 2 of 8

Firm Name: **CAPE SECURITIES INC.**

Main Office Address: **1600 PENNSYLVANIA AVENUE  
MCDONOUGH, GA 30253**

Firm CRD#: **7072**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	05/01/2019
B	FINRA	Operations Professional	Approved	05/01/2019
B	FINRA	Compliance Officer	Approved	07/22/2025
B	FINRA	General Securities Principal	Approved	07/22/2025



## Broker Qualifications

### Employment 2 of 8, continued

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	07/22/2025
<b>B</b> FINRA	Investment Banking Representative	Approved	07/22/2025
U.S. State/ Territory	Category	Status	Date
<b>B</b> New York	Agent	Approved	07/22/2025

### Branch Office Locations

**CAPE SECURITIES INC.**  
 1600 PENNSYLVANIA AVENUE  
 MCDONOUGH, GA 30253

### Employment 3 of 8

Firm Name: **ELARA SECURITIES, INC.**

Main Office Address: **950 THIRD AVE  
 SUITE 1900 #2  
 NEW YORK, NY 10022**

Firm CRD#: **151232**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	04/14/2014
<b>B</b> FINRA	General Securities Principal	Approved	06/16/2014
<b>B</b> FINRA	Compliance Officer	Approved	10/01/2018
<b>B</b> FINRA	Operations Professional	Approved	10/01/2018
<b>B</b> FINRA	Investment Banking Representative	Approved	05/21/2021
<b>B</b> FINRA	Financial and Operations Principal	Approved	05/16/2024

### Branch Office Locations



## Broker Qualifications

### Employment 3 of 8, continued

**ELARA SECURITIES, INC.**

950 THIRD AVE  
SUITE 1900 #2  
NEW YORK, NY 10022

### Employment 4 of 8

Firm Name: **FIRST ASSET FINANCIAL INC.**

Main Office Address: **110 E. IRON AVE.  
SALINA, KS 67401**

Firm CRD#: **139107**

	SRO	Category	Status	Date
B	FINRA	Operations Professional	Approved	01/19/2022
B	FINRA	Financial and Operations Principal	Approved	05/21/2024

### Branch Office Locations

**FIRST ASSET FINANCIAL INC.**

110 E. IRON AVE.  
SALINA, KS 67401

### Employment 5 of 8

Firm Name: **KENSINGTON CAPITAL CORP.**

Main Office Address: **4910 13TH AVE.  
BROOKLYN, NY 11219-3100**

Firm CRD#: **1742**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	05/16/2024

### Branch Office Locations



## Broker Qualifications

### Employment 5 of 8, continued

#### KENSINGTON CAPITAL CORP.

4910 13TH AVE.

BROOKLYN, NY 11219-3100

### Employment 6 of 8

Firm Name: **PACIFIC INVESTMENT SECURITIES CORP.**

Main Office Address: **1837 S PALATINE HILL RD  
PORTLAND, OR 97219**

Firm CRD#: **16339**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	01/27/2025
B	FINRA	General Securities Principal	Approved	01/27/2025
B	FINRA	General Securities Representative	Approved	01/27/2025

### Branch Office Locations

#### PACIFIC INVESTMENT SECURITIES CORP.

1837 S PALATINE HILL RD

PORTLAND, OR 97219

### Employment 7 of 8

Firm Name: **WALL STREET CAPITAL CORPORATION**

Main Office Address: **1600 PENNSYLVANIA AVENUE  
MCDONOUGH, GA 30253**

Firm CRD#: **13847**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	01/30/2025

### Branch Office Locations



## Broker Qualifications

### Employment 7 of 8, continued

#### WALL STREET CAPITAL CORPORATION

1600 PENNSYLVANIA AVENUE

MCDONOUGH, GA 30253

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### Employment 8 of 8

Firm Name: **WEALTH SPACE ASSET MANAGEMENT**

Main Office Address: **1600 PENNSYLVANIA AVENUE  
MCDONOUGH, GA 30253**

Firm CRD#: **127507**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	03/08/2023
B	FINRA	Financial and Operations Principal	Approved	03/08/2023
B	FINRA	General Securities Principal	Approved	03/08/2023
B	FINRA	General Securities Representative	Approved	03/08/2023
B	FINRA	Investment Banking Representative	Approved	03/08/2023
B	FINRA	Operations Professional	Approved	03/08/2023

## Branch Office Locations

#### WEALTH SPACE ASSET MANAGEMENT

1600 PENNSYLVANIA AVENUE

MCDONOUGH, GA 30253

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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 3 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Compliance Officer Examination	Series 14	01/02/2023
<b>B</b> General Securities Principal Examination	Series 24	06/16/2014
<b>B</b> Financial and Operations Principal Examination	Series 27	01/13/2014

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	05/21/2021
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	12/23/2003
<b>B</b> General Securities Representative Examination	Series 7	09/24/2003

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/14/2020

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>B</b> 06/2020 - 12/2024	ARCVIEW CAPITAL, LLC	306029	NEW YORK, NY
<b>B</b> 09/2014 - 08/2024	WHITE OAK MERCHANT PARTNERS LLC	140142	SAN FRANCISCO, CA
<b>B</b> 04/2021 - 04/2024	KENSINGTON CAPITAL CORP.	1742	BROOKLYN, NY
<b>B</b> 01/2020 - 10/2023	PLUS VENTURE PARTNERS, LLC	299033	VENICE, CA
<b>B</b> 04/2022 - 09/2023	DRIVELOYALTY LLC	310890	WILMINGTON, DE
<b>B</b> 05/2019 - 07/2023	BENCHMARK INVESTMENTS, LLC	103792	NEW YORK, NY
<b>B</b> 11/2019 - 07/2020	FORTE SECURITIES LLC	38373	New York, NY
<b>B</b> 07/2016 - 07/2020	REVL SECURITIES, LLC	269839	PHILADELPHIA, PA
<b>B</b> 08/2015 - 02/2020	METHUSELAH CAPITAL LLC	168752	SALT LAKE CITY, UT
<b>B</b> 11/2017 - 07/2018	CDK FINANCIAL SERVICES, LLC	124333	NEW YORK, NY
<b>B</b> 07/2015 - 01/2016	MARCO POLO SECURITIES INC.	46561	NEW YORK, NY
<b>B</b> 05/2015 - 11/2015	BONDCUBE INC.	171341	WESTON, CT
<b>B</b> 11/2014 - 09/2015	ENCLAVE CAPITAL LLC	22732	NEW YORK, NY
<b>B</b> 04/2015 - 06/2015	MARIANA CAPITAL USA, LLC	30773	PARK CITY, UT
<b>B</b> 01/2015 - 01/2015	ENSEMBLE FINANCIAL SERVICES, INC.	17443	PITTSFORD, NY
<b>B</b> 07/2014 - 12/2014	ENSEMBLE FINANCIAL SERVICES, INC.	17443	PITTSFORD, NY
<b>B</b> 06/2004 - 04/2007	PRUDENTIAL BACHE SECURITIES, LLC	127733	NEW YORK, NY
<b>B</b> 12/2003 - 05/2004	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
<b>B</b> 09/2003 - 12/2003	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
<b>B</b> 09/2003 - 12/2003	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY

### Employment History



## Registration and Employment History

### Employment History, continued

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
01/2025 - Present	WALL STREET CAPITAL CORPORATION	FINOP	Y	McDonough, GA, United States
10/2024 - Present	Pacific Investment Securities Corp	FINOP	Y	Portland, OR, United States
03/2023 - Present	CCG Securities LLC	FINOP	Y	McDonough, GA, United States
01/2022 - Present	First Asset Financial	FINOP	Y	McDonough, GA, United States
04/2021 - Present	Kensington Capital Corp	FINOP	Y	Brooklyn, NY, United States
06/2019 - Present	Rosemoor Capital	Compliance and Financial Officer	Y	New York, NY, United States
05/2019 - Present	American Global Wealth Management, Inc.	FINOP	Y	McDonough, GA, United States
05/2019 - Present	Cape Securities Inc.	FINOP/ CCO	Y	McDonough, GA, United States
06/2016 - Present	SMS Regulatory Services	CEO	Y	Brooklyn, NY, United States
12/2013 - Present	ELARA SECURITIES, INC.	Chief COMPLIANCE OFFICER	Y	NEW YORK, NY, United States
06/2011 - Present	SINEMETU SOLUTIONS, INC.	PRESIDENT	N	BROOKLYN, NY, United States
05/2020 - 11/2024	Arcview Capital LLC	FINOP	Y	Fort Lee, NJ, United States
09/2014 - 08/2024	WHITE OAK MERCHANT PARTNERS LLC	FINOP	Y	SAN FRANCISCO, CA, United States
01/2020 - 10/2023	PLUS Venture Partners	Chief Compliance Officer/FINOP	Y	Marina Del Rey, CA, United States
01/2021 - 09/2023	DriveLoyalty	FINOP	Y	Jersey City, NJ, United States
05/2019 - 07/2023	Benchmark Investments, Inc.	FINOP	Y	McDonough, GA, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2019 - 07/2020	Forte Securities LLC	Compliance Officer	Y	New York, NY, United States
08/2015 - 07/2020	REVL SECURITIES INC	FINOP	Y	PHILADELPHIA, PA, United States
08/2015 - 01/2020	METHUSELAH CAPITAL LLC	FINOP	Y	NEW YORK, NY, United States
10/2017 - 07/2018	CDK FINANCIAL SERVICES	FINOP	Y	New York, NY, United States
08/2015 - 09/2016	MARCO POLO SECURITIES INC.	CCO	Y	NEW YORK, NY, United States
05/2015 - 02/2016	BONDCUBE INC.	FINOP	Y	STAMFORD, CT, 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.

Since June 2011, I am the president of Sinemetu Solutions, Inc., located at 159 20th Street #1B-17 Brooklyn, NY 11232. The company provides accounting, tax, and management consulting services to small businesses and non-profit organizations. The clients of the company are not investment related entities. I spend approximately 100 hours a month during securities trading hours in this position.

Since June 2016, I am the CEO of SMS Regulatory Services LLC (SMSRS), which provides compliance and FINOP consulting services for approximately 25 hrs/week. Through SMSRS, I am the FINOP for American Global Wealth Management, Inc., FINOP for Cape Securities Inc. Chief Compliance Officer and FINOP for Elara Securities, the FINOP for Wall Street Capital, FINOP for Kensington Capital, FINOP for Wealth Space Asset Management (fka CCG Securities), FINOP for First Asset Financial 1 hr/week, FINOP for Pacific Investment Securities. Through SMSRS, I serve as the financial and compliance officer of Rosemoor Capital.

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## Disclosure Events



### What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
  -
4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	03/29/2024
Docket/Case Number:	<a href="#">2020067041002</a>
Employing firm when activity occurred which led to the regulatory action:	Arcview Capital, LLC
Product Type:	No Product

**Allegations:** Without admitting or denying the findings, Ciantro consented to the sanctions and to the entry of findings that he permitted his member firm to conduct a securities business on 43 days while it failed to maintain its required minimum net capital of \$5,000. The findings stated that in Ciantro's capacity as FinOp, he was responsible for suspending business operations when the firm was net capital deficient and filing all related required financial notifications. Ciantro computed the firm's net capital and recorded the net capital deficiencies on the firm's books and records but failed to take any steps to suspend the firm's business operations. The findings also stated that Ciantro caused the firm to not file timely notices of its net capital deficiencies. Ciantro failed to file with FINRA and the SEC same-day notifications for the firm's net capital deficiencies for 46 days. Ciantro filed notifications on



behalf of the firm between three and 44 days after he became aware of each deficiency.

**Current Status:**

Final

**Resolution:**

Acceptance, Waiver & Consent(AWC)

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:**

03/29/2024

**Sanctions Ordered:**

Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Other: Ciantro will attend and satisfactorily complete 20 hours of continuing education relating to the duties of a FINOP.

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**





**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	any FINOP capacity
<b>Duration:</b>	one month
<b>Start Date:</b>	04/15/2024
<b>End Date:</b>	05/14/2024

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 04/21/2024**Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Firm**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Monetary Penalty other than Fines  
Suspension**Date Initiated:** 03/29/2024**Docket/Case Number:** NO. 2020067041002**Employing firm when activity occurred which led to the regulatory action:** Arcview Capital, LLC**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Ciantro consented to the sanctions and to the entry of findings that he permitted his member firm to conduct a securities business on 43 days while it failed to maintain its required minimum net capital of \$5,000. The findings stated that in Ciantro's capacity as FinOp, he was responsible for suspending business operations when the firm was net capital deficient and filing all related required financial notifications. Ciantro computed the firm's net capital and recorded the net capital deficiencies on the firm's books and



records but failed to take any steps to suspend the firm's business operations. The findings also stated that Ciantro caused the firm to not file timely notices of its net capital deficiencies. Ciantro failed to file with FINRA and the SEC same-day notifications for the firm's net capital deficiencies for 46 days. Ciantro filed notifications on behalf of the firm between three and 44 days after he became aware of each deficiency.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 03/29/2024

**Sanctions Ordered:** Monetary Penalty other than Fines  
Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	Financial Operations Principal
<b>Duration:</b>	30 days
<b>Start Date:</b>	04/15/2024
<b>End Date:</b>	05/15/2024

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$0.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 03/29/2024**Docket/Case Number:** [2020067041002](#)**Employing firm when activity occurred which led to the regulatory action:** Arcview Capital, LLC**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Ciantro consented to the sanctions and to the entry of findings that he permitted his member firm to conduct a securities business on 43 days while it failed to maintain its required minimum net capital of \$5,000. The findings stated that in Ciantro's capacity as FinOp, he was responsible for suspending business operations when the firm was net capital deficient and filing all related required financial notifications. Ciantro computed the firm's net capital and recorded the net capital deficiencies on the firm's books and records but failed to take any steps to suspend the firm's business operations. The findings also stated that Ciantro caused the firm to not file timely notices of its net capital deficiencies. Ciantro failed to file with FINRA and the SEC same-day notifications for the firm's net capital deficiencies for 46 days. Ciantro filed notifications on behalf of the firm between three and 44 days after he became aware of each



deficiency.

**Current Status:**

Final

**Resolution:**

Acceptance, Waiver & Consent(AWC)

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:**

03/29/2024

**Sanctions Ordered:**

Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Other: Ciantro will attend and satisfactorily complete 20 hours of continuing education relating to the duties of a FINOP.

**Sanction 1 of 1**

**Sanction Type:**

Suspension

**Capacities Affected:**

any FINOP capacity

**Duration:**

One Month

**Start Date:**

04/15/2024

**End Date:**

05/14/2024

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:**

Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:**

\$5,000.00

**Portion Levied against individual:**

\$5,000.00

**Payment Plan:**

**Is Payment Plan Current:**

No

**Date Paid by individual:**

04/19/2024

**Was any portion of penalty waived?**

No

**Amount Waived:**

## End of Report



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