BrokerCheck Report

RICHARD ERNEST ONESTO

CRD# 2453096

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Please contact FINRA with any concerns.

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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.

RICHARD E. ONESTO

CRD# 2453096

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

HRN RESEARCH CAPITAL LLC
444 W LAKE ST.
SUITE 1700
CHICAGO, IL 60606
CRD# 338294
Registered with this firm since: 09/30/2026

GLOBAL81 US LLC
430 PARK AVENUE 19TH FLOOR
NEW YORK, NY 10022
CRD# 337272
Registered with this firm since: 07/29/2026

CRUSH SECURITIES LLC
80 STONE PINE RD, OFFICE 120
HALF MOON BAY, CA 94019
CRD# 316407
Registered with this firm since: 06/03/2026

XORRO LLC
5 SANTA FE CT.
TOMS RIVER, NJ 08757
CRD# 336257
Registered with this firm since: 04/29/2026

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:

- 3 Self-Regulatory Organizations
- 2 U.S. states and territories

This broker has passed:

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

Registration History

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

QUINBROOK CAPITAL PARTNERS LLC
CRD# 313779
NEW YORK, NY
04/2026 - 09/2026

SGI SECURITIES LLC
CRD# 155643
NEW YORK, NY
04/2026 - 08/2026

WRIGHT INVESTORS' SERVICE DISTRIBUTORS, INC.
CRD# 13645
SHELTON, CT
04/2026 - 08/2026

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
Customer Dispute	1

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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 3 SROs and is licensed in 2 U.S. states and territories through his or her employer.

Employment 1 of 21

Firm Name: **ALTITUDE CAPITAL GROUP LLC**

Main Office Address: **260 NEWPORT CENTER DRIVE**
SUITE 100
NEWPORT BEACH, CA 92660

Firm CRD#: **325198**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	01/10/2024
B	FINRA	Financial and Operations Principal	Approved	01/10/2024
B	FINRA	General Securities Principal	Approved	01/10/2024
B	FINRA	General Securities Representative	Approved	01/10/2024
B	FINRA	Investment Banking Representative	Approved	01/10/2024
B	FINRA	Operations Professional	Approved	01/10/2024

Branch Office Locations

ALTITUDE CAPITAL GROUP LLC
260 NEWPORT CENTER DRIVE
SUITE 100
NEWPORT BEACH, CA 92660

Employment 2 of 21

Firm Name: **AMERICAN TRUST INVESTMENT SERVICES, INC.**

Main Office Address: **910 S EL CAMINO REAL SUITE 200**
SAN CLEMENTE, CA 92672

Firm CRD#: **3001**

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Broker Qualifications

Employment 2 of 21, continued

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	05/09/2025
B	FINRA	Financial and Operations Principal	Approved	05/09/2025
B	FINRA	General Securities Principal	Approved	05/09/2025
B	FINRA	General Securities Representative	Approved	05/09/2025
B	FINRA	Investment Banking Principal	Approved	05/09/2025
B	FINRA	Investment Banking Representative	Approved	05/09/2025
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	05/09/2025
B	FINRA	Operations Professional	Approved	05/09/2025
B	Nasdaq Stock Market	Financial and Operations Principal	Approved	05/09/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	05/09/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	05/09/2025

Branch Office Locations

AMERICAN TRUST INVESTMENT SERVICES, INC.
4722 Main Street
Lisle, IL 60532

Employment 3 of 21

Firm Name: **BARRAMUNDI CAPITAL LLC**

Main Office Address: **751 PARK OF COMMERCE DRIVE**
SUITE 128
BOCA RATON, FL 33487

Firm CRD#: **316044**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	07/23/2025

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Broker Qualifications

Employment 3 of 21, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	07/23/2025
B	FINRA	General Securities Representative	Approved	07/23/2025
B	FINRA	Operations Professional	Approved	01/28/2026

Branch Office Locations

BARRAMUNDI CAPITAL LLC
751 PARK OF COMMERCE DRIVE
SUITE 128
BOCA RATON, FL 33487

Employment 4 of 21

Firm Name: **BG WORLDWIDE SECURITIES, INC.**

Main Office Address: **340 NORTH WESTLAKE BLVD.,**
SUITE 160
WESTLAKE VILLAGE, CA 91362

Firm CRD#: **121735**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	11/10/2025
B	FINRA	Financial and Operations Principal	Approved	11/10/2025
B	FINRA	General Securities Principal	Approved	11/10/2025
B	FINRA	General Securities Representative	Approved	11/10/2025
B	FINRA	Investment Banking Principal	Approved	11/10/2025
B	FINRA	Investment Banking Representative	Approved	11/10/2025
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	11/10/2025
B	FINRA	Operations Professional	Approved	11/10/2025

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Broker Qualifications

Employment 4 of 21, continued

Branch Office Locations

BG WORLDWIDE SECURITIES, INC.
340 NORTH WESTLAKE BLVD.,
SUITE 160
WESTLAKE VILLAGE, CA 91362

Employment 5 of 21

Firm Name: **CAPCONNECT EMARKETS, LLC**

Main Office Address: **3103 W. ZACHARY DR.**
PHOENIX, AZ 85027

Firm CRD#: **310433**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	11/10/2025
B	FINRA	Financial and Operations Principal	Approved	11/10/2025
B	FINRA	General Securities Principal	Approved	11/10/2025
B	FINRA	General Securities Representative	Approved	11/10/2025
B	FINRA	Investment Banking Principal	Approved	11/10/2025
B	FINRA	Investment Banking Representative	Approved	11/10/2025
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	11/10/2025
B	FINRA	Operations Professional	Approved	11/10/2025

Branch Office Locations

CAPCONNECT EMARKETS, LLC
3103 W. ZACHARY DR.
PHOENIX, AZ 85027

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Broker Qualifications

Employment 6 of 21

Firm Name: **CAPTIVEX SECURITIES LLC**

Main Office Address: **2431 ALOMA AVENUE**
SUITE 144
WINTER PARK, FL 32792

Firm CRD#: **332134**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	06/27/2025
B	FINRA	Financial and Operations Principal	Approved	06/27/2025
B	FINRA	General Securities Principal	Approved	06/27/2025
B	FINRA	General Securities Representative	Approved	06/27/2025
B	FINRA	Investment Banking Representative	Approved	06/27/2025
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	06/27/2025
B	FINRA	Operations Professional	Approved	06/27/2025

Branch Office Locations

CAPTIVEX SECURITIES LLC
2431 Aloma Avenue
Suite 144
Winter Park, FL 32792

Employment 7 of 21

Firm Name: **CRUSH SECURITIES LLC**

Main Office Address: **80 STONE PINE RD, OFFICE 120**
HALF MOON BAY, CA 94019

Firm CRD#: **316407**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	06/03/2026

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Broker Qualifications

Employment 7 of 21, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	11/21/2026
B	FINRA	General Securities Representative	Approved	11/21/2026

Branch Office Locations

CRUSH SECURITIES LLC
80 STONE PINE RD, OFFICE 120
HALF MOON BAY, CA 94019

Employment 8 of 21

Firm Name: **E.F. HUTTON & CO. LLC**

Main Office Address: **745 FIFTH AVENUE**
34TH FLOOR & PH
NEW YORK, NY 10151

Firm CRD#: **322687**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	02/13/2026
B	FINRA	Operations Professional	Approved	02/13/2026

Branch Office Locations

E.F. HUTTON & CO. LLC
New York, NY

Employment 9 of 21

Firm Name: **EASTGATE SECURITIES, LLC**

Main Office Address: **40 WALL STREET**
FL28
NEW YORK, NY 10005

Firm CRD#: **146671**

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Broker Qualifications

Employment 9 of 21, continued

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	06/18/2025
B	FINRA	Financial and Operations Principal	Approved	06/18/2025
B	FINRA	General Securities Principal	Approved	06/18/2025
B	FINRA	General Securities Representative	Approved	06/18/2025
B	FINRA	Investment Banking Principal	Approved	06/18/2025
B	FINRA	Investment Banking Representative	Approved	06/18/2025
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	06/18/2025
B	FINRA	Operations Professional	Approved	06/18/2025

Branch Office Locations

EASTGATE SECURITIES, LLC
40 WALL STREET
FL28
NEW YORK, NY 10005

Employment 10 of 21

Firm Name: **GLADE POINT SECURITIES, LLC**

Main Office Address: **332 S MICHIGAN AVE,**
SUITE 8086
CHICAGO, IL 60608

Firm CRD#: **336674**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	04/15/2026
B	FINRA	Financial and Operations Principal	Approved	04/15/2026
B	FINRA	General Securities Principal	Approved	04/15/2026

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Broker Qualifications

Employment 10 of 21, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/15/2026
B	FINRA	Investment Banking Representative	Approved	04/15/2026
B	FINRA	Operations Professional	Approved	04/15/2026

Branch Office Locations

GLADE POINT SECURITIES, LLC
332 S MICHIGAN AVE,
SUITE 8086
CHICAGO, IL 60608

Employment 11 of 21

Firm Name: **GLOBAL81 US LLC**

Main Office Address: **430 PARK AVENUE 19TH FLOOR**
NEW YORK, NY 10022

Firm CRD#: **337272**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	07/29/2026
B	FINRA	General Securities Principal	Approved	07/29/2026
B	FINRA	General Securities Representative	Approved	07/29/2026
B	FINRA	Investment Banking Representative	Approved	07/29/2026
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	07/29/2026
B	FINRA	Operations Professional	Approved	07/29/2026

Branch Office Locations

GLOBAL81 US LLC

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Broker Qualifications

Employment 11 of 21, continued

430 PARK AVENUE 19TH FLOOR
NEW YORK, NY 10022

Employment 12 of 21

Firm Name: **GREAT PACIFIC SECURITIES**

Main Office Address: **151 KALMUS DRIVE, BUILDING H8**
COSTA MESA, CA 92626

Firm CRD#: **29251**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	01/07/2026
B	Investors' Exchange LLC	Financial and Operations Principal	Approved	01/07/2026

Branch Office Locations

GREAT PACIFIC SECURITIES
151 KALMUS DRIVE, BUILDING H8
COSTA MESA, CA 92626

Employment 13 of 21

Firm Name: **HARLEY CAPITAL LLC**

Main Office Address: **274 RIVERSIDE AVE**
PENTHOUSE
WESTPORT, CT 06880

Firm CRD#: **310046**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	09/10/2023
B	FINRA	General Securities Principal	Approved	09/10/2023
B	FINRA	General Securities Representative	Approved	09/10/2023
B	FINRA	Investment Banking Principal	Approved	09/10/2023

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Broker Qualifications

Employment 13 of 21, continued

	SRO	Category	Status	Date
B	FINRA	Investment Banking Representative	Approved	09/10/2023
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	09/10/2023
B	FINRA	Operations Professional	Approved	09/10/2023

Branch Office Locations

HARLEY CAPITAL LLC
274 RIVERSIDE AVE
PENTHOUSE
WESTPORT, CT 06880

Employment 14 of 21

Firm Name: **HONEY BADGER INVESTMENT SECURITIES, LLC**

Main Office Address: **30 CORPORATE PARK SUITE 410**
IRVINE, CA 92606

Firm CRD#: **285387**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	11/10/2025
B	FINRA	Financial and Operations Principal	Approved	11/10/2025
B	FINRA	General Securities Principal	Approved	11/10/2025
B	FINRA	General Securities Representative	Approved	11/10/2025
B	FINRA	Investment Banking Principal	Approved	11/10/2025
B	FINRA	Investment Banking Representative	Approved	11/10/2025
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	11/10/2025
B	FINRA	Operations Professional	Approved	11/10/2025

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Broker Qualifications

Employment 14 of 21, continued
Branch Office Locations

HONEY BADGER INVESTMENT SECURITIES, LLC
30 CORPORATE PARK SUITE 410
IRVINE, CA 92606

Employment 15 of 21

Firm Name: **HRN RESEARCH CAPITAL LLC**

Main Office Address: **444 W LAKE ST.**
SUITE 1700
CHICAGO, IL 60606

Firm CRD#: **338294**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	09/30/2026
B	FINRA	Financial and Operations Principal	Approved	09/30/2026
B	FINRA	General Securities Principal	Approved	09/30/2026
B	FINRA	General Securities Representative	Approved	09/30/2026
B	FINRA	Investment Banking Principal	Approved	09/30/2026
B	FINRA	Investment Banking Representative	Approved	09/30/2026
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	09/30/2026
B	FINRA	Operations Professional	Approved	09/30/2026

Branch Office Locations

HRN RESEARCH CAPITAL LLC
444 W LAKE ST.
SUITE 1700
CHICAGO, IL 60606

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Broker Qualifications

Employment 16 of 21

Firm Name: **NINTH ETERNITY SECURITIES LLC**

Main Office Address: **40 WALL STREET**
SUITE 2918
NEW YORK, NY 10005

Firm CRD#: **307492**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	04/21/2025
B	FINRA	Financial and Operations Principal	Approved	04/21/2025
B	FINRA	General Securities Principal	Approved	04/21/2025
B	FINRA	General Securities Representative	Approved	04/21/2025
B	FINRA	Investment Banking Principal	Approved	04/21/2025
B	FINRA	Investment Banking Representative	Approved	04/21/2025
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	04/21/2025
B	FINRA	Operations Professional	Approved	04/21/2025
B	Nasdaq Stock Market	Financial and Operations Principal	Approved	04/21/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	04/21/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	04/21/2025

Branch Office Locations

NINTH ETERNITY SECURITIES LLC
40 WALL STREET
SUITE 2918
NEW YORK, NY 10005

Employment 17 of 21

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

Main Office Address: **251 W 30TH ST**

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Broker Qualifications

Employment 17 of 21, continued

5TH FLOOR
NEW YORK, NY 10001

Firm CRD#: **8246**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	11/10/2025
B	FINRA	Financial and Operations Principal	Approved	11/10/2025
B	FINRA	General Securities Principal	Approved	11/10/2025
B	FINRA	General Securities Representative	Approved	11/10/2025
B	FINRA	Investment Banking Principal	Approved	11/10/2025
B	FINRA	Investment Banking Representative	Approved	11/10/2025
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	11/10/2025
B	FINRA	Operations Professional	Approved	11/10/2025

Branch Office Locations

OPAL SECURITIES, INC.
251 W 30TH ST
5TH FLOOR
NEW YORK, NY 10001

Employment 18 of 21

Firm Name: **SIGMA AMERICAS SECURITIES LLC**

Main Office Address: **125 PARK AVENUE**
25TH FLOOR, SUITE 2602
NEW YORK, NY 10017

Firm CRD#: **207515**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	05/06/2025

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Broker Qualifications

Employment 18 of 21, continued

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	05/06/2025
B	FINRA	General Securities Principal	Approved	05/06/2025
B	FINRA	General Securities Representative	Approved	05/06/2025
B	FINRA	Investment Banking Principal	Approved	05/06/2025
B	FINRA	Investment Banking Representative	Approved	05/06/2025
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	05/06/2025
B	FINRA	Operations Professional	Approved	05/06/2025

Branch Office Locations

SIGMA AMERICAS SECURITIES LLC
125 PARK AVENUE
25TH FLOOR, SUITE 2602
NEW YORK, NY 10017

Employment 19 of 21

Firm Name: **TRITAURIAN CAPITAL, INCORPORATED**

Main Office Address: **430 PARK AVENUE**
19TH FLOOR
NEW YORK, NY 10022

Firm CRD#: **45500**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	01/24/2024
B	FINRA	Financial and Operations Principal	Approved	01/24/2024
B	FINRA	General Securities Principal	Approved	01/24/2024
B	FINRA	General Securities Representative	Approved	01/24/2024

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Broker Qualifications

Employment 19 of 21, continued

	SRO	Category	Status	Date
B	FINRA	Investment Banking Principal	Approved	01/24/2024
B	FINRA	Investment Banking Representative	Approved	01/24/2024
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	01/24/2024
B	FINRA	Operations Professional	Approved	01/24/2024

Branch Office Locations

TRITAURIAN CAPITAL, INCORPORATED
430 PARK AVENUE
19TH FLOOR
NEW YORK, NY 10022

Employment 20 of 21

Firm Name: **WEILD & CO.**

Main Office Address: **777 29TH STREET**
SUITE 402
BOULDER, CO 80303

Firm CRD#: **132398**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	06/24/2022
B	FINRA	General Securities Principal	Approved	06/24/2022
B	FINRA	General Securities Representative	Approved	06/24/2022
B	FINRA	Investment Banking Principal	Approved	06/24/2022
B	FINRA	Investment Banking Representative	Approved	06/24/2022
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	06/24/2022
B	FINRA	Operations Professional	Approved	06/24/2022

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Broker Qualifications

Employment 20 of 21, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	06/24/2022
B	Florida	Agent	Approved	06/24/2022

Branch Office Locations

WEILD & CO.
777 29TH STREET
SUITE 402
BOULDER, CO 80303

Employment 21 of 21

Firm Name: **XORRO LLC**

Main Office Address: **5 SANTA FE CT.**
TOMS RIVER, NJ 08757

Firm CRD#: **336257**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	04/29/2026
B	FINRA	General Securities Principal	Approved	04/29/2026
B	FINRA	General Securities Representative	Approved	04/29/2026
B	FINRA	Investment Banking Representative	Approved	04/29/2026
B	FINRA	Operations Professional	Approved	04/29/2026

Branch Office Locations

XORRO LLC
5 SANTA FE CT.
TOMS RIVER, NJ 08757

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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 0 state securities law exams.

Principal/Supervisory Exams

Exam		Category	Date
B	Compliance Officer Examination	Series 14	01/10/2024
B	General Securities Principal Examination	Series 24	10/09/2003
B	Financial and Operations Principal Examination	Series 27	03/11/1998

General Industry/Product Exams

Exam		Category	Date
B	Limited Representative-Private Securities Offerings	Series 82TO	01/02/2023
B	Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	08/21/2003

State Securities Law Exams

Exam		Category	Date
	No information reported.		

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	04/2026 - 09/2026	QUINBROOK CAPITAL PARTNERS LLC	313779	NEW YORK, NY
B	04/2026 - 08/2026	SGI SECURITIES LLC	155643	NEW YORK, NY
B	04/2026 - 08/2026	WRIGHT INVESTORS' SERVICE DISTRIBUTORS, INC.	13645	SHELTON, CT
B	02/2025 - 05/2026	RAM FINANCIAL LLC	330235	DETROIT, MI
B	03/2026 - 03/2026	KINDLING MBD LLC	331366	SANDY SPRINGS, GA
B	11/2025 - 03/2026	L.M. KOHN & COMPANY	27913	CINCINNATI, OH
B	09/2023 - 03/2026	CRUSH SECURITIES LLC	316407	HALF MOON BAY, CA
B	12/2025 - 02/2026	DECKER & CO, LLC	166446	MENLO PARK, CA
B	09/2023 - 02/2026	BALLAST ROCK CAPITAL LLC	322170	CHARLESTON, SC
B	03/2024 - 10/2025	XNERGY FINANCIAL LLC	144436	SAN DIEGO, CA
B	09/2023 - 07/2025	VIENNA CAPITAL PARTNERS LLC	311852	NEW YORK, NY
B	09/2023 - 05/2025	COLLECTABLE SECURITIES	315939	NEW YORK, NY
B	11/2023 - 04/2024	CENTER STREET SECURITIES, INC.	26898	NASHVILLE, TN
B	08/2016 - 06/2022	WESTPARK CAPITAL, INC.	39914	NEW YORK, NY
B	02/2013 - 09/2016	NEWPORT COAST SECURITIES, INC.	16944	NEW YORK, NY
B	08/2016 - 08/2016	R. F. LAFFERTY & CO., INC.	2498	NEW YORK, NY
B	12/2012 - 01/2013	HFP CAPITAL MARKETS LLC	44351	NEW YORK, NY
B	02/2012 - 01/2013	MEYERS ASSOCIATES, L.P.	34171	NEW YORK, NY
B	06/2006 - 03/2012	FAR HILLS GROUP, LLC.	32243	NEW YORK, NY
B	06/2006 - 06/2006	HAPOALIM SECURITIES USA, INC.	266	NEW YORK, NY
B	07/2001 - 03/2006	ENSKILDA SECURITIES INC	23710	NEW YORK, NY

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Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/1998 - 07/2001	PRIME CHARTER LTD.	25668	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
06/2026 - Present	GLOBAL81 US LLC	FINOP	Y	New York, NY, United States
04/2026 - Present	QUINBROOK CAPITAL PARTNERS LLC	FinOp	Y	New York, NY, United States
04/2026 - Present	SGI SECURITIES LLC	FinOp	Y	New York, NY, United States
04/2026 - Present	WRIGHT INVESTORS' SERVICE DISTRIBUTORS, INC.	FinOp	Y	Shelton, CT, United States
03/2026 - Present	GLADE POINT SECURITIES, LLC	FINOP	Y	CHICAGO, IL, United States
02/2026 - Present	E.F. HUTTON & CO. LLC	FINOP	Y	New York, NY, United States
11/2025 - Present	BG Worldwide Securities, Inc.	FinOp	Y	Westlake Village, CA, United States
11/2025 - Present	CAPCONNECT+ EMARKETS	FinOp	Y	Westlake Village, CA, United States
11/2025 - Present	Deceker & Co. LLC	FinOp	Y	Menlo Park, CA, United States
11/2025 - Present	Decker & Co. LLC	FinOp	Y	Menlo Park, CA, United States
11/2025 - Present	Great Pacific Securities	FinOp	Y	Costa Mesa, CA, United States
11/2025 - Present	HRN Research Capital LLC	FinOp	Y	Chicago, IL, United States
11/2025 - Present	Honey Badger Investment Securities, LLC	FinOp	Y	Irvine, CA, United States
11/2025 - Present	L.M. KOHN & COMPANY	FINOP	Y	CINCINNATI, OH, United States

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2025 - Present	Opal Securities, Inc.	FinOp	Y	New York, NY, United States
07/2025 - Present	Barramundi Capital	FINOP	Y	Boca Raton, FL, United States
07/2025 - Present	Xorro LLC	FINOP	Y	Toms River, NJ, United States
06/2025 - Present	Eastgate Securities LLC	FINOP	Y	NEW YORK, NY, United States
05/2025 - Present	American Trust Investment Services, Inc.	Principal	Y	Lisle, IL, United States
05/2025 - Present	Sigma Americas Securities LLC	FINOP	Y	NEW YORK, NY, United States
04/2025 - Present	Ninth Eternity Securities	FINOP	Y	Cambridge, MA, United States
03/2025 - Present	KINDLING MBD LLC	FINOP/GENERAL SECURITIES PRINCIPAL	Y	Essex Fells, NJ, United States
02/2025 - Present	RAM FINANCIAL LLC	FINOP	Y	Palo Alto, CA, United States
06/2024 - Present	Captivex Securities LLC	FINOP	Y	Greenwich, CT, United States
01/2024 - Present	ALTITUDE CAPITAL GROUP LLC	FINOP	Y	IRVINE, CA, United States
01/2024 - Present	TRITAURIAN CAPITAL, INCORPORATED	FINOP	Y	New York, NY, United States
09/2023 - Present	BALLAST ROCK CAPITAL LLC	FINOP	Y	Charleston, SC, United States
09/2023 - Present	CRUSH SECURITIES LLC	FINOP	Y	Boca Raton, FL, United States
09/2023 - Present	Finop Solutions, Inc	Independent Contractor	N	Lawrence, NY, United States
09/2023 - Present	Harley Capital	FINOP	Y	Westport, CT, United States
06/2022 - Present	Weild & Co.	CFO/FinOp	Y	Boulder, CO, United States
03/2024 - 10/2025	Xnergy Financial	FINOP	Y	Los Angeles, CA, United States
09/2023 - 07/2025	VIENNA CAPITAL PARTNERS LLC	FINOP	Y	Tierea Verde, FL, United States
09/2023 - 06/2025	COLLECTABLE SECURITIES	FINOP	Y	WHITE PLAINS, NY, United States

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2016 - 06/2022	WestPark Capital Inc	Registered Rep	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.

I'm a Financial Operations Principal ("Finop") and Compliance Consultant who provides to multiple FINRA Member Firms (Onesto Consulting LLC) . These services are provided on an as-needed basis both during standard working hours as well as after hours. From time to time, I may become engaged by a member Firm or leave an engagement. As such, this notice on my Form U4 will fulfill my reporting obligations under Rule 3270 and any Firm that I register with has access to and will be notified through the FINRA CRD system anytime that my license is processed by another Firm or a U5 is Issued for me from another Member Firm. The Firm Acknowledges that it has made the considerations under Rule 3270 that a customer of the Firm will not be confused by my associations and that my working with multiple Firms does not inhibit my ability to attend to the Firm's needs.

9/2023; Finop Solutions, Inc; Lawrence, NY; Independent Contractor; 3 hours/week; Consulting for broker dealers on compliance and FinOp matters and issues; Not Investment Related.
3/2024; Rich Onesto Consultant; Tierra Verde, FL; Sole Proprietor; 25 hours/week; FinOp Consulting; Not investment related

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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.
   -
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
Customer Dispute	0	1	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NEWPORT COAST SECURITIES, INC.
Allegations:	The client is claiming failure to supervise
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$3,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	Client is claiming damages of 2000000 - 3000000

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-02421
Date Notice/Process Served:	08/07/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/22/2019

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Monetary Compensation Amount:	$3,000.00
Individual Contribution Amount:	$3,000.00
Broker Statement	I had no supervisory responsibilities of the clients broker. I was the acting CEO and named as a control person.

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End of Report

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