

BrokerCheck Report

FELIPE NERY ARRIETA

CRD# 4142123

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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:

- o 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
- o 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



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

FELIPE N. ARRIETA

CRD# 4142123

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

1295 WALT WHITMAN RD.

SUITE A

MELVILLE, NY 11747

CRD# 145012

Registered with this firm since: 07/31/2018

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
- 2 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****DAKOTA SECURITIES INTERNATIONAL, INC.**

CRD# 132700

MIAMI, FL

07/2016 - 08/2018

REVERE SECURITIES LLC

CRD# 14178

BOCA RATON, FL

08/2014 - 08/2016

WESTPARK CAPITAL, INC.

CRD# 39914

BOCA RATON, FL

06/2014 - 07/2014

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	4

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>



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 2 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SW FINANCIAL**
 Main Office Address: **1295 WALT WHITMAN RD.
 SUITE A
 MELVILLE, NY 11747**
 Firm CRD#: **145012**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	07/31/2018

U.S. State/ Territory	Category	Status	Date
Florida	Agent	APPROVED	07/31/2018
New York	Agent	APPROVED	08/02/2018

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	04/04/2000

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination	Series 66	11/10/2012
Uniform Securities Agent State Law Examination	Series 63	04/10/2000

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
07/2016 - 08/2018	DAKOTA SECURITIES INTERNATIONAL, INC.	132700	MIAMI, FL
08/2014 - 08/2016	REVERE SECURITIES LLC	14178	BOCA RATON, FL
06/2014 - 07/2014	WESTPARK CAPITAL, INC.	39914	BOCA RATON, FL
05/2013 - 01/2014	BOLTON GLOBAL CAPITAL	15650	MIAMI, FL
08/2010 - 02/2012	CAPITAL GUARDIAN, LLC	137919	MIAMI, FL
08/2009 - 07/2010	JESUP & LAMONT SECURITIES CORP	39056	FT. LAUDERDALE, FL
07/2007 - 05/2008	VFINANCE INVESTMENTS, INC	44962	BOCA RATON, FL
11/2005 - 07/2007	DAKOTA SECURITIES INTERNATIONAL, INC.	132700	MIAMI, FL
06/2002 - 11/2005	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL
06/2002 - 06/2002	AXA ADVISORS, LLC	6627	NEW YORK, NY
04/2000 - 04/2002	J.B. OXFORD & COMPANY	14343	SHERMAN OAKS, CA

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 Dates	Employer Name	Employer Location
07/2018 - Present	SW Financial	Melville, NY
07/2016 - 04/2018	DAKOTA SECURITIES INTERNATIONAL, INC	MIAMI, FL
08/2014 - 07/2016	REVERE SECURITIES LLC	BOCA RATON, FL
06/2014 - 07/2014	WESTPARK CAPITAL INC	BOCA RATON, FL
01/2014 - 05/2014	UNEMPLOYED	BOCA RATON, FL
01/2014 - 05/2014	UNEMPLOYED	BOCA RATON, FL
05/2013 - 12/2013	BOLTON GLOBAL ASSET MANAGEMENT	BOLTON, MA



Registration and Employment History

Employment History, continued

Employment Dates	Employer Name	Employer Location
05/2013 - 12/2013	BOLTON GLOBAL CAPITAL	BOLTON, MA
08/2010 - 04/2013	CAPITAL GUARDIAN, LLC	MIAMI, FL
08/2009 - 07/2010	JESUP & LAMONT SECURITIES CORP	FT LAUDERDALE, FL
03/2008 - 08/2009	UNEMPLOYED	UNEMPLOYED, FL

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.

No information reported.



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	4	N/A





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.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Revere Securities LLC
Allegations:	Breach of fiduciary duty, breach of contract, unauthorized trading.
Product Type:	Mutual Fund Options
Alleged Damages:	\$200,000.00
Alleged Damages Amount Explanation (if amount not exact):	Stated as approximate in statement of claim.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Disput Resolution
Docket/Case #:	17-00866



Filing date of arbitration/CFTC reparation or civil litigation: 04/06/2017

Customer Complaint Information

Date Complaint Received: 04/06/2017

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Revere Securities

Allegations: misuse of margin, losses, negligence. Occurred and 2015 and 2016

Product Type: Equity Listed (Common & Preferred Stock)
Options

Alleged Damages: \$210,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): Finra

Docket/Case #: 17-00866

Date Notice/Process Served: 04/06/2017

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/29/2018

Monetary Compensation Amount: \$90,000.00

Individual Contribution Amount: \$0.00



Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	SUITABILITY, USE OF MARGIN, UNAUTHORIZED TRADING, AND BREACH OF FIDUCIARY DUTY.
Product Type:	Equity - OTC
Alleged Damages:	\$750,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION NO. 06-03360
Date Notice/Process Served:	07/24/2006
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/17/2007
Monetary Compensation Amount:	\$60,000.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: SUITABILITY, USE OF MARGIN, UNAUTHORIZED TRADING, AND BREACH OF FIDUCIARY DUTY.

Product Type: Equity - OTC

Alleged Damages: \$750,000.00

Customer Complaint Information

Date Complaint Received: 07/24/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/24/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION - NO. 06-03360

Date Notice/Process Served: 07/24/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/17/2007

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$0.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CAPITAL GUARDIAN LLC
Allegations:	UNAUTHORIZED TARDING
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	\$15,000.00
Alleged Damages Amount Explanation (if amount not exact):	AMOUNT OF LOSSES EXCEED \$15,000.0
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/29/2011
Complaint Pending?	No
Status:	Denied
Status Date:	02/29/2012
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: CAPITAL GUARDIAN LLC

Allegations: UNAUTHORIZED TRADING

Product Type: Equity Listed (Common & Preferred Stock)
Options

Alleged Damages: \$15,000.00

Alleged Damages Amount Explanation (if amount not exact): AMOUNT OF LOSSES EXCEEDS \$15K - EXACT AMOUNT UNDETERMINED.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/29/2011

Complaint Pending? No

Status: Denied

Status Date: 02/29/2012

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: VFINANCE INVESTMENTS, INC.

Allegations: CUSTOMER ALLEGES UNAUTHORIZED TRADING, POOR MANAGEMENT, AND MANIPULATION OF INFORMATION.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,001.00



Customer Complaint Information

Date Complaint Received: 02/05/2008

Complaint Pending? No

Status: Denied

Status Date: 03/04/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement

AFTER A GOOD FAITH ATTEMPT WE CANNOT DETERMINE THE AMOUNT OF ALLEGED DAMAGES, BUT BELIEVE IT TO BE OVER \$5000.
REP'S POSITION IS THAT THE ALLEGATIONS ARE NOT TRUE

End of Report



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