

BrokerCheck Report

DANIEL JORGE RICHMOND

CRD# 4704875

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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



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.

**DANIEL J. RICHMOND**

CRD# 4704875

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

IA RICHMOND CAPITAL
 2333 BRICKELL AVE
 SUITE D1
 MIAMI, FL 33129
 CRD# 327060
 Registered with this firm since: 07/17/2023

IA BOREAL CAPITAL MANAGEMENT LLC
 1450 BRICKELL AVENUE
 SUITE 2900
 MIAMI, FL 33131
 CRD# 112221
 Registered with this firm since: 12/10/2012

B BOREAL CAPITAL SECURITIES LLC
 1450 Brickell Avenue
 Suite 2900
 Miami, FL 33131
 CRD# 158599
 Registered with this firm since: 08/27/2014

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:

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

Registration History

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

- IA LPL FINANCIAL LLC**
 CRD# 6413
 FORT MILL, SC
 08/2009 - 09/2012
- B LPL FINANCIAL LLC**
 CRD# 6413
 MIAMI, FL
 08/2009 - 09/2012
- IA UBS INTERNATIONAL INC.**
 CRD# 107726
 NEW YORK, NY
 07/2006 - 04/2009

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**



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 3

Firm Name: **BOREAL CAPITAL MANAGEMENT LLC**
 Main Office Address: **1450 BRICKELL AVENUE
 SUITE 2900
 MIAMI, FL 33131**
 Firm CRD#: **112221**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	12/10/2012

Branch Office Locations

1450 BRICKELL AVENUE
 SUITE 2900
 MIAMI, FL 33131

Employment 2 of 3

Firm Name: **BOREAL CAPITAL SECURITIES LLC**
 Main Office Address: **1450 BRICKELL AVENUE, SUITE 2900
 MIAMI, FL 33131**
 Firm CRD#: **158599**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	08/27/2014

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	02/04/2015



Broker Qualifications

Employment 2 of 3, continued

Branch Office Locations

BOREAL CAPITAL SECURITIES LLC
1450 BRICKELL AVENUE, SUITE 2900
MIAMI, FL 33131

BOREAL CAPITAL SECURITIES LLC
1450 Brickell Avenue
Suite 2900
Miami, FL 33131

Employment 3 of 3

Firm Name: **RICHMOND CAPITAL**
Main Office Address: **2333 BRICKELL AVE**
SUITE D1
MIAMI, FL 33129
Firm CRD#: **327060**

U.S. State/ Territory	Category	Status	Date
IA Florida	Investment Adviser Representative	Approved	07/17/2023

Branch Office Locations

2333 BRICKELL AVE
SUITE D1
MIAMI, FL 33129



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	12/06/2003
B General Securities Representative Examination	Series 7	11/02/2003

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/03/2003

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/.

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
IA	08/2009 - 09/2012	LPL FINANCIAL LLC	6413	MIAMI, FL
B	08/2009 - 09/2012	LPL FINANCIAL LLC	6413	MIAMI, FL
IA	07/2006 - 04/2009	UBS INTERNATIONAL INC.	107726	MIAMI, FL
B	06/2006 - 04/2009	UBS INTERNATIONAL INC.	107726	NEW YORK, NY
IA	03/2005 - 06/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	MIAMI, FL
B	11/2004 - 06/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MIAMI, FL
IA	12/2003 - 08/2004	MORGAN STANLEY	7556	MIAMI, FL
B	11/2003 - 08/2004	MORGAN STANLEY DW INC.	7556	PURCHASE, NY

Employment History

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

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

Employment	Employer Name	Position	Investment Related	Employer Location
04/2023 - Present	Richmond Capital Advisors LLC	Managing Member and Chief Compliance Officer	Y	Miami, FL, United States
12/2012 - Present	Boreal Capital Management LLC	Financial Advisor	Y	Miami, FL, United States
10/2012 - Present	MORA WEALTH MANAGEMENT LLC	INDEPENDANT ADVISOR	Y	MIAMI, FL, United States



Registration and Employment History

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.

DUALLY ASSOCIATED WITH AFFILIATE RIA MORA WEALTH MANAGEMENT (IARD NO. 112221) TIME SPENT PROPORTIONALLY BETWEEN BROKER-DEALER AND RIA.

START DATE: 07/2015. Miller Eaton LLC (formerly RICHCOTT REALTY), 2333 BRICKELL AVE #2010. MIAMI, FL 33129. REAL ESTATE BROKERAGE. COMPENSATION BASED ON COMMISSIONS. APPROXIMATELY 5 HOURS SPENT PER WEEK DURING NON TRADING HOURS.

Mr. Richmond is the sole owner of RICHMOND CAPITAL ADVISORS LLC (incorporated April 10, 2023) located at 2333 BRICKELL AVE STE D1, MIAMI FL 33129. RCA is an investment advisory firm registered with the U.S. Securities & Exchange Commission (SEC) and appears in the Investment Adviser Public Disclosure (IAPD) database under CRD#327060 / SEC #801-128302. RCA is a Robo-Advisor who custodies with Interactive Brokers and caters to clients with small balances (less than \$100K). Mr. Richmonds dedicates 10 hours a week to RCA and will receive compensation depending on the amount of assets under management (based on a fixed percentage). Investment decisions for these clients are made by pre-determined algorithms. This is an investment-related business. Mr Richmond introduces clients to the on-line platform.

End of Report



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