

BrokerCheck Report

RICARDO QUIROS

CRD# 4917867

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

RICARDO QUIROS

CRD# 4917867

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

IA BOLTON GLOBAL ASSET MANAGEMENT
 1441 BRICKELL AVENUE
 SUITE 1700
 Miami, FL 33131
 CRD# 129376
 Registered with this firm since: 02/01/2019

B BOLTON GLOBAL CAPITAL
 1441 Brickell Avenue
 Suite 1700
 Miami, FL 33131
 CRD# 15650
 Registered with this firm since: 01/03/2019

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 6 U.S. states and territories

This broker has passed:

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

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

- IA BOLTON GLOBAL ASSET MANAGEMENT**
 CRD# 129376
 BOLTON, MA
 05/2018 - 12/2018
- B BOLTON GLOBAL CAPITAL**
 CRD# 15650
 Weston, FL
 04/2018 - 12/2018
- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 06/2012 - 04/2018

**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 6 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **BOLTON GLOBAL CAPITAL**

Main Office Address: **579 MAIN STREET
BOLTON, MA 01740**

Firm CRD#: **15650**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	01/03/2019

U.S. State/ Territory	Category	Status	Date
B Delaware	Agent	Approved	02/12/2019
B Florida	Agent	Approved	01/03/2019
B Georgia	Agent	Approved	10/31/2019
B New York	Agent	Approved	01/03/2019
B Texas	Agent	Approved	03/21/2019
B Utah	Agent	Approved	04/09/2026

Branch Office Locations

BOLTON GLOBAL CAPITAL

1441 Brickell Avenue
Suite 1700
Miami, FL 33131

Employment 2 of 2

Firm Name: **BOLTON SECURITIES CORPORATION**



Broker Qualifications

Employment 2 of 2, continued

Main Office Address: **579 MAIN STREET
BOLTON, MA 01740**

Firm CRD#: **129376**

U.S. State/ Territory	Category	Status	Date
IA Florida	Investment Adviser Representative	Approved	02/01/2019

Branch Office Locations

BOLTON SECURITIES CORPORATION

579 MAIN STREET
BOLTON, MA 01740

BOLTON SECURITIES CORPORATION

1441 BRICKELL AVENUE
SUITE 1700
Miami, FL 33131



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 2 state securities law exams.

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 National Commodity Futures Examination	Series 3	03/03/2008
B General Securities Representative Examination	Series 7	04/12/2005

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/07/2005
B Uniform Securities Agent State Law Examination	Series 63	02/17/2005

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 05/2018 - 12/2018	BOLTON GLOBAL ASSET MANAGEMENT	129376	Weston, FL
B 04/2018 - 12/2018	BOLTON GLOBAL CAPITAL	15650	Weston, FL
IA 06/2012 - 04/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	WESTON, FL
B 05/2012 - 04/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	WESTON, FL
B 06/2009 - 06/2012	MORGAN STANLEY SMITH BARNEY	149777	PLANTATION, FL
IA 06/2009 - 06/2012	MORGAN STANLEY SMITH BARNEY LLC	149777	PLANTATION, FL
B 04/2005 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	PLANTATION, FL
IA 03/2005 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	PLANTATION, FL

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
04/2018 - Present	BOLTON GLOBAL ASSET MANAGEMENT	INVESTMENT ADVISOR	Y	BOLTON, MA, United States
04/2018 - Present	BOLTON GLOBAL CAPITAL	REGISTERED REPRESENTATIVE	Y	BOLTON, MA, United States
04/2015 - 04/2018	BANK OF AMERICA, N.A.	SENIOR INTL FINANCIAL ADVISOR	Y	WESTON, FL, United States
05/2012 - 04/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR INTL FINANCIAL ADVISOR	Y	WESTON, 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.

1) REGISTERED WITH BOLTON SECURITIES CORPORATION AS AN INVESTMENT ADVISOR REPRESENTATIVE. DOING BUSINESS AS CAOBA CAPITAL WEALTH MANAGEMENT AND ACTING AS 'INVESTMENT PORTFOLIO MANAGER'. INVESTMENT RELATED AND CONDUCTED FROM BRANCH LOCATION. IA BUSINESS REPRESENTS APPROXIMATELY 15%-20% OF BUSINESS. 2) OWNER AND MANAGING DIRECTOR OF CAOBA CAPITAL WEALTH MANAGEMENT, LLC, ENTITY CREATED TO FACILITATE SECURITIES AND INVESTMENT ADVISORY BUSINESS. CONDUCTED FROM BRANCH LOCATION. BRANCH MANAGEMENT DUTIES BALANCED WITH SECURITIES AND ADVISORY SERVICES. 3) LICENSED TO SELL FIXED INSURANCE PRODUCTS. INVESTMENT RELATED TO THE EXTENT IN HOW AN INSURANCE PRODUCT FITS INTO A CLIENT'S OVERALL FINANCIAL PICTURE. SOLD UNDER PERSONAL NAME AND CONDUCTED FROM BRANCH LOCATION. NOMINAL AMOUNT OF TIME SPENT PER YEAR ON ACTIVITY, SELLING 5-7 INSURANCE PLANS A YEAR. 4) RICARDO IS THE PLAN ADMINISTRATOR FOR CAOBA CAPITAL WEALTH MANAGEMENT'S 401K PLAN WHICH ONLY INCLUDES BRANCH STAFF AND HIMSELF. NO INVESTMENT DECISIONS ARE MADE BY RICARDO ON BEHALF OF OTHER PARTICIPANTS. ADMINISTRATIVE DUTIES ONLY AND RICARDO DOES NOT SPEND MORE THAN 1-HOUR PER MONTH. 5) CO-OWNER WITH SPOUSE OF RESIDENTIAL RENTAL PROPERTY. NOT INVESTMENT RELATED AND NOT CONDUCTED AT BRANCH LOCATION.

End of Report



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