

## BrokerCheck Report

# FELIPE NERY ARRIETA

CRD# 4142123

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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.

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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)

**FELIPE N. ARRIETA**

CRD# 4142123

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

- B** **MOLONEY SECURITIES CO., INC.**  
13537 BARRETT PARKWAY DRIVE  
#300  
MANCHESTER, MO 63021  
CRD# 38535  
Registered with this firm since: 12/06/2022

## 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
- 2 State Securities Law Exams

### Registration History

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

- B** **SAN BLAS SECURITIES LLC**  
CRD# 290605  
ATLANTA, GA  
10/2022 - 12/2022
- B** **SW FINANCIAL**  
CRD# 145012  
MELVILLE, NY  
07/2018 - 10/2022
- B** **DAKOTA SECURITIES INTERNATIONAL, INC.**  
CRD# 132700  
MIAMI, FL  
07/2016 - 08/2018

### 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? **Yes**

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

Type	Count
Customer Dispute	5



## 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 1

Firm Name: **MOLONEY SECURITIES CO., INC.**  
 Main Office Address: **13537 BARRETT PARKWAY DRIVE  
 #300  
 MANCHESTER, MO 63021**  
 Firm CRD#: **38535**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	12/06/2022
B	FINRA	Investment Banking Representative	Approved	12/06/2022

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	12/06/2022

### 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, 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>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/04/2000

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	11/10/2012
<b>B</b> 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/](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> 10/2022 - 12/2022	SAN BLAS SECURITIES LLC	290605	ATLANTA, GA
<b>B</b> 07/2018 - 10/2022	SW FINANCIAL	145012	MELVILLE, NY
<b>B</b> 07/2016 - 08/2018	DAKOTA SECURITIES INTERNATIONAL, INC.	132700	MIAMI, FL
<b>IA</b> 10/2014 - 08/2016	REVERE WEALTH MANAGEMENT LLC	170560	BOCA RATON, FL
<b>B</b> 08/2014 - 08/2016	REVERE SECURITIES LLC	14178	BOCA RATON, FL
<b>B</b> 06/2014 - 07/2014	WESTPARK CAPITAL, INC.	39914	BOCA RATON, FL
<b>IA</b> 09/2013 - 01/2014	BOLTON GLOBAL ASSET MANAGEMENT	129376	BOLTON, MA
<b>B</b> 05/2013 - 01/2014	BOLTON GLOBAL CAPITAL	15650	MIAMI, FL
<b>IA</b> 01/2013 - 04/2013	AROCHE CAPITAL MANAGEMENT & CONSULTING, INC.	154466	CORAL GABLES, FL
<b>B</b> 08/2010 - 02/2012	CAPITAL GUARDIAN, LLC	137919	MIAMI, FL
<b>B</b> 08/2009 - 07/2010	JESUP & LAMONT SECURITIES CORP	39056	FT. LAUDERDALE, FL
<b>B</b> 07/2007 - 05/2008	VFINANCE INVESTMENTS, INC	44962	BOCA RATON, FL
<b>B</b> 11/2005 - 07/2007	DAKOTA SECURITIES INTERNATIONAL, INC.	132700	MIAMI, FL
<b>B</b> 06/2002 - 11/2005	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL
<b>B</b> 06/2002 - 06/2002	AXA ADVISORS, LLC	6627	NEW YORK, NY
<b>B</b> 04/2000 - 04/2002	J.B. OXFORD & COMPANY	14343	SHERMAN OAKS, CA

### 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
12/2022 - Present	Moloney Securities Co., Inc.	Registered Representative	Y	Manchester, MO, United States
07/2018 - 12/2022	SW Financial	REGISTERED REPRESENTATIVE	Y	Melville, NY, United States
07/2016 - 04/2018	DAKOTA SECURITIES INTERNATIONAL, INC	REGISTERED REPRESENTATIVE	Y	MIAMI, FL, United States
08/2014 - 07/2016	REVERE SECURITIES LLC	SENIOR REGISTERED REP	Y	BOCA RATON, FL, United States
06/2014 - 07/2014	WESTPARK CAPITAL INC	REGISTERED REP	Y	BOCA RATON, FL, United States
01/2014 - 05/2014	UNEMPLOYED	N/A	N	BOCA RATON, FL, United States
01/2014 - 05/2014	UNEMPLOYED	N/A	N	BOCA RATON, FL, United States
05/2013 - 12/2013	BOLTON GLOBAL ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	BOLTON, MA, United States
05/2013 - 12/2013	BOLTON GLOBAL CAPITAL	REGISTERED REPRESENTATIVE	Y	BOLTON, MA, United States
08/2010 - 04/2013	CAPITAL GUARDIAN, LLC	REGISTERED REP	Y	MIAMI, FL, 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.

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:**
  - 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.
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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	1	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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Revere Securities LLC
<b>Allegations:</b>	Breach of fiduciary duty, breach of contract, unauthorized trading. Misuse of margin, losses, negligence. Occurred in 2015 and 2016.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock) Options
<b>Alleged Damages:</b>	\$210,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA Disput Resolution
<b>Docket/Case #:</b>	17-00866
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	04/06/2017

### Customer Complaint Information

**Date Complaint Received:** 04/06/2017



**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 11/29/2018  
**Settlement Amount:** \$90,000.00  
**Individual Contribution Amount:** \$0.00

### 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

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**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

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#### 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

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**Reporting Source:** Broker  
**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



<b>Monetary Compensation Amount:</b>	\$60,000.00
<b>Individual Contribution Amount:</b>	\$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

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

### Customer Complaint Information

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

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

### Customer Complaint Information

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

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	VFINANCE INVESTMENTS, INC.
<b>Allegations:</b>	CUSTOMER ALLEGES UNAUTHORIZED TRADING, POOR MANAGEMENT, AND MANIPULATION OF INFORMATION.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$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



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	SW FINANCIAL
<b>Allegations:</b>	Overconcentration, excessive risk, misrepresentation, inadequate due diligence, excessive commissions
<b>Product Type:</b>	Other: Private Placement
<b>Alleged Damages:</b>	\$747,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	\$ 747,000 was total investment. No damage amount was was alleged on Statement of Claim
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	22-02403
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	11/02/2022

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/02/2022
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** SW FINANCIAL

**Allegations:** Overconcentration, excessive risk, misrepresentation, inadequate due diligence, excessive commissions

**Product Type:** Other: Private Placement

**Alleged Damages:** \$747,000.00

**Alleged Damages Amount Explanation (if amount not exact):** \$747,000 was total investment. No damage amount was alleged on 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

**Docket/Case #:** 22-02403

**Filing date of arbitration/CFTC reparation or civil litigation:** 11/02/2022

### Customer Complaint Information

**Date Complaint Received:** 01/03/2023

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

## End of Report



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