



IAPD Report

HARRY MICHAEL BARTH

CRD# 13891

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IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

HARRY MICHAEL BARTH (CRD# 13891)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/03/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SECURA FINANCIAL	CRD# 137324	11/28/2006
B	ARKADIOS CAPITAL	CRD# 282710	03/07/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	CROWN CAPITAL SECURITIES, L.P.	6312	ORANGE, CA	01/02/2015 - 04/03/2024
IA	J. W. COLE ADVISORS, INC.	112294	ORANGE, CA	01/06/2014 - 12/31/2014
B	J.W. COLE FINANCIAL, INC.	124583	ORANGE, CA	05/10/2013 - 12/31/2014

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ARKADIOS CAPITAL**
Main Address: 2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305
Firm ID#: 282710

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	03/07/2024
B	FINRA	General Securities Representative	Approved	03/07/2024
B	FINRA	Municipal Securities Principal	Approved	03/07/2024
B	FINRA	Municipal Securities Representative	Approved	03/07/2024
B	Alaska	Agent	Approved	03/07/2024
B	Arizona	Agent	Approved	03/07/2024
B	California	Agent	Approved	03/07/2024
B	Florida	Agent	Approved	05/01/2024
B	Louisiana	Agent	Approved	04/09/2024
B	Montana	Agent	Approved	03/28/2024
B	Nevada	Agent	Approved	03/07/2024
B	Oregon	Agent	Approved	04/15/2024
B	South Carolina	Agent	Approved	03/15/2024



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	03/07/2024
B Utah	Agent	Approved	03/07/2024
B Washington	Agent	Approved	03/07/2024

Branch Office Locations

333 CITY BLVD WEST SUITE 2050
ORANGE, CA 92868

Employment 2 of 2

Firm Name: **SECURA FINANCIAL**
 Main Address: 333 CITY BOULEVARD WEST,
 SUITE 2050
 ORANGE, CA 92868-2944
 Firm ID#: 137324

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/28/2006

Branch Office Locations

SECURA FINANCIAL
 333 CITY BOULEVARD WEST,
 SUITE 2050
 ORANGE, CA 92868-2944





Qualifications

PASSED INDUSTRY EXAMS





This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	11/18/1986
 General Securities Principal Examination (S24)	Series 24	04/12/1985

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Registered Representative Examination (S1)	Series 1	02/14/1969

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/30/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/26/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/02/2015 - 04/03/2024	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	ORANGE, CA
IA	01/06/2014 - 12/31/2014	J. W. COLE ADVISORS, INC.	CRD# 112294	ORANGE, CA
B	05/10/2013 - 12/31/2014	J.W. COLE FINANCIAL, INC.	CRD# 124583	ORANGE, CA
B	06/01/2012 - 05/10/2013	FINANCIAL ADVISERS OF AMERICA, LLC	CRD# 142170	ORANGE, CA
B	06/24/1993 - 06/08/2012	LPL FINANCIAL LLC	CRD# 6413	ORANGE, CA
IA	10/04/1994 - 12/21/2011	LPL FINANCIAL LLC	CRD# 6413	ORANGE, CA
B	02/10/1989 - 07/09/1993	SENTRA SECURITIES CORPORATION	CRD# 10249	
B	04/08/1987 - 07/09/1993	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	04/30/1984 - 02/14/1989	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	10/08/1985 - 02/06/1989	PROFILE INVESTMENTS CORPORATION	CRD# 16478	
B	01/13/1988 - 10/12/1988	PAINWEBBER INCORPORATED	CRD# 8174	
B	04/10/1986 - 10/20/1987	GLOBAL INVESTOR SECURITIES, INC.	CRD# 7514	
B	03/07/1983 - 02/18/1986	GLOBAL INVESTOR SECURITIES, INC.	CRD# 7514	
B	04/07/1983 - 04/23/1984	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	
B	04/11/1976 - 02/09/1983	SUNCAN EQUITY SERVICES COMPANY	CRD# 5496	
B	11/25/1974 - 05/02/1976	MACCABEES MUTUAL EQUITY SALES COMPANY	CRD# 6704	
B	06/12/1970 - 09/06/1973	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	



Registration & Employment History

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2024 - Present	ARKADIOS CAPITAL	Registered Representative	Y	ATLANTA, GA, United States
01/2008 - Present	BENTLEY FINANCIAL & INSURANCE SERVICES, INC.	PRESIDENT/AGENT	Y	ORANGE, CA, United States
01/2003 - Present	BARTHCALDERON, LLP	ATTORNEY/SENIOR PARTNER	N	SANTA ANA, CA, United States
07/1997 - Present	Secura Financial, LLC	MANAGING MEMBER/CHIEF COMPLIANCE OFFICER	Y	ORANGE, CA, United States
01/2015 - 03/2024	CROWN CAPITAL SECURITIES, LP	REGISTERED REPRESENTATIVE	Y	ORANGE, CA, United States
01/1997 - 12/2021	FORTRESS EQUITY MORTGAGE	REAL ESTATE BROKER	N	ORANGE, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) START DATE 01/1997 I DEVOTE 80 HRS/MO (60 HRS DURING TRADING) AS MANAGING PARTNER OF BARTH CALDERON LLP. THIS IS A LAW FIRM AND IS NOT AN INVESTMENTRELATED ACTIVITY.
- (2) START DATE 01/1985 I DEVOTE 50 HRS/MO (40 HRS DURING TRADING) AS MANAGING MEMBER OF SECURA LLC. THIS IS AN INVESTMENT RELATED ACTIVITYAND MY DUTIES TO THIS INDEPENDENT RIA RELATE TO COMPLIANCE AND MANAGEMENT.
- (3) START DATE 01/1997 I DEVOTE 10 HRS/MO (2 HRS DURING TRADING) ASPRESIDENT OF BENTLEY FINANCIAL INC. THIS IS NOT AN INVESTMENT RELATED ACTIVITY AND MY DUTIES INCLUDE INSURANCE SALES. BUSINESS ADDRESS FOR ALL OF THEABOVE IS THE SAME AS THE BRANCH ADDRESS.
- (4)ARKADIOS CAPITAL; Yes; Orange, CA; Broker-dealer; Registered Representative; 03/2024; 25/ HRS MO; 25/ HRS MO;



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	H.M. BARTH FINANCIAL PLANNERS INC (FL CORP) & PROFILE INVESTMENTS INC.
Allegations:	BREACH OF CONTRACT, NEGLIGENCE, GROSS NEGLIGENCE, WAS TO HARRY M BARTH VICARIOUSLY
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	09/21/1987
Complaint Pending?	No
Status:	Litigation
Status Date:	09/21/1987

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details:	DADE COUNTY CIRCUIT COURT; MIAMI, FL; 87-41022(CA11)
Date Notice/Process Served:	09/21/1987
Litigation Pending?	No
Disposition:	Settled



Disposition Date:	01/01/1989
Monetary Compensation Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	THIS ACTION WAS VICARIOUS TO ME. I WAS SERVED AS THE OWNER OF THE COMPANY, NOT AS THE CAUSING REPRESENTATIVE.



End of Report

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