



IAPD Report

PETER JOSE' D'ARRUDA

CRD# 2756672

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i Please be aware that fraudsters may link to Investment Adviser Public Disclosure 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.



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

PETER JOSE' D'ARRUDA (CRD# 2756672)

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 **06/29/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAPITAL FINANCIAL ADVISORY GROUP, LLC	CRD# 144374	11/27/2012
IA	EQIS CAPITAL MANAGEMENT	CRD# 126052	08/23/2016
IA	FOUNDATIONS INVESTMENT ADVISORS LLC	CRD# 175083	10/17/2018
IA	FINANCIAL GRAVITY ASSET MANAGEMENT, INC.	CRD# 144008	07/30/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
IA	PAYNE CAPITAL MANAGEMENT, LLC	147119	Apex, NC	07/18/2016 - 11/08/2016
IA	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	CARY, NC	03/17/2010 - 12/10/2010
IA	CAPITAL FINANCIAL ADVISORY GROUP, LLC	144374	CARY, NC	10/20/2008 - 12/31/2008

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?

No



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 4

Firm Name: **FINANCIAL GRAVITY ASSET MANAGEMENT, INC.**
Main Address: 825 WATTERS CREEK BLVD.
BLDG. M, STE. 250
ALLEN, TX 75013
Firm ID#: 144008

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	07/30/2020

Branch Office Locations

FINANCIAL GRAVITY ASSET MANAGEMENT, INC.
1500 Town Side Drive
Suite 201
Apex, NC 27502

Employment 2 of 4

Firm Name: **FOUNDATIONS INVESTMENT ADVISORS LLC**
Main Address: 4310 E. COTTON CENTER BLVD.
SUITE 120
PHOENIX, AZ 85040
Firm ID#: 175083

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Restricted Approval	10/17/2018

Branch Office Locations

FOUNDATIONS INVESTMENT ADVISORS LLC
1500 TOWN SIDE DRIVE
SUITE 201
APEX, NC 27502

Employment 3 of 4

Firm Name: **EQIS CAPITAL MANAGEMENT**



Qualifications

Main Address: 1000 4TH ST., STE 650
SAN RAFAEL, CA 94901
Firm ID#: 126052

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	08/23/2016

Branch Office Locations

EQIS CAPITAL MANAGEMENT

1500 Town Side Drive
Suite 201
Apex, NC 27502

Employment 4 of 4

Firm Name: CAPITAL FINANCIAL ADVISORY GROUP, LLC
Main Address: 1500 TOWN SIDE DRIVE
SUITE 201
APEX, NC 27502
Firm ID#: 144374

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	11/27/2012

Branch Office Locations

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



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/06/2007
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/18/2016 - 11/08/2016	PAYNE CAPITAL MANAGEMENT, LLC	CRD# 147119	Apex, NC
IA	03/17/2010 - 12/10/2010	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	CARY, NC
IA	10/20/2008 - 12/31/2008	CAPITAL FINANCIAL ADVISORY GROUP, LLC	CRD# 144374	CARY, NC
IA	06/06/2008 - 08/25/2008	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	CARY, NC
IA	02/28/2008 - 06/05/2008	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	MINNEAPOLIS, MN
IA	12/11/2007 - 02/11/2008	CAPITAL FINANCIAL ADVISORY GROUP, LLC	CRD# 144374	CARY, NC

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
06/2020 - Present	Sofos Investments, Inc.	Investment Advisor Representative	Y	Allen, TX, United States
08/2016 - Present	EQIS Capital Management, Inc.	Investment Adviser Representative	Y	San Rafael, CA, United States
07/2016 - Present	PAYNE CAPITAL MANAGEMENT, LLC	SOLICITOR	Y	APEX, NC, United States
03/2010 - Present	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SARASOTA, FL, United States
05/2007 - Present	CAPITAL FINANCIAL ADVISORY GROUP, LLC	PRESIDENT	Y	CARY, NC, 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.

FINANCIAL RADIO SHOWS OFFERED TO OTHER FINANCIAL REPS AS WELL AS CPAS AND OTHER SHOWS ON



Registration & Employment History



OTHER BUSINESS ACTIVITIES

SUBJECTS OTHER THAN FINANCIAL. I spend about half my business time each week working on the show and other media related activities.

I've also been a licensed Life insurance agent in the state of North Carolina since July 1992. My insurance firm is known as Capital Financial & Insurance, LLC. I spend about 35% of my time in this capacity. I offer life insurance & annuities as a way to add proper balance to my client's portfolios and income & life planning decisions.

Foundations Investment Advisors, LLC; Scottsdale, AZ; 8/2018; refer clients for business according to solicitor's agreement.



End of Report

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