IAPD Report

JOSEPH THOMAS ARSENIO II

CRD# 7817

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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.

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

JOSEPH THOMAS ARSENIO II (CRD# 7817)

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 **01/09/2019**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ARSENIO CAPITAL MANAGEMENT LLC	CRD# 135923	01/23/2019

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	ARSENIO CAPITAL MANAGEMENT LLC	135923	SAN RAFAEL, CA	02/16/2018 - 12/31/2018
IA	ARSENIO CAPITAL MANAGEMENT LLC	135923	LARKSPUR, CA	06/24/2004 - 12/31/2017
B	J.P. MORGAN SECURITIES INC.	18718	NEW YORK, NY	05/01/2001 - 04/18/2002

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
Regulatory Event	1

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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 1

Firm Name: **ARSENIO CAPITAL MANAGEMENT LLC**

Main Address: 75 ESTATES DR.
75
SAN ANSELMO, CA 94960

Firm ID#: 135923

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	01/23/2019

Branch Office Locations

ARSENIO CAPITAL MANAGEMENT LLC
75 ESTATES DR.
75
SAN ANSELMO, CA 94960

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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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Financial Principal Examination (F04)	F04	06/06/1974
B	General Securities Principal Examination (S00)	Series 00	04/02/1973

General Industry/Product Exams

	Exam	Category	Date
B	Foreign Currency Options Examination (S15)	Series 15	06/06/1984
B	Interest Rate Options Examination (S5)	Series 5	10/09/1981
B	General Securities Representative Examination (S7)	Series 7	04/16/1977
B	Registered Representative Examination (S1)	Series 1	09/04/1969

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/18/1979

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	02/16/2018 - 12/31/2018	ARSENIO CAPITAL MANAGEMENT LLC	CRD# 135923	SAN RAFAEL, CA
IA	06/24/2004 - 12/31/2017	ARSENIO CAPITAL MANAGEMENT LLC	CRD# 135923	LARKSPUR, CA
B	05/01/2001 - 04/18/2002	J.P. MORGAN SECURITIES INC.	CRD# 18718	NEW YORK, NY
B	02/05/2001 - 05/01/2001	J.P. MORGAN SECURITIES INC.	CRD# 15733	NEW YORK, NY
B	02/01/2000 - 02/05/2001	CHASE SECURITIES INC.	CRD# 18718	NEW YORK, NY
B	11/14/1989 - 02/01/2000	HAMBRECHT & QUIST LLC	CRD# 940	SAN FRANCISCO, CA
B	02/28/1989 - 09/12/1989	HENRY F. SWIFT & CO.	CRD# 3548	SAN FRANCISCO, CA
B	08/12/1988 - 12/21/1988	BIRR WILSON, INC.	CRD# 12997	
B	02/01/1977 - 11/14/1988	BIRR, WILSON & CO., INC.	CRD# 93	SAN FRANCISCO, CA
B	02/19/1986 - 08/17/1988	BWS, INC.	CRD# 17569	
B	09/10/1973 - 08/19/1977	STARR & KUEHL, INC.	CRD# 3486	
B	09/10/1969 - 10/24/1973	C. A. BOTZUM & CO.	CRD# 123	

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
04/2004 - Present	ARSENIO CAPITAL MANAGEMENT, LLC	MANAGING Member	Y	LARKSPUR, CA, United States

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Registration & Employment History

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.

Arsenio Capital Management,LLC Not investment related. Address: 1623 5th Ave. Ste A, San Rafael, CA. 94901 Business of project management for Sonoma fire clean-up. Title: Project Manager. Hours vary but average less than 20 hours per month. Fewer than 1 hour may be devoted to project management during securities trading hours. Duties include on site management and interaction with County regulators.

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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.

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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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	CENSURE
Date Initiated:	07/27/1977
Docket/Case Number:	CA-649
Employing firm when activity occurred which led to the regulatory action:	BIRR WILSON
Product Type:	No Product
Other Product Type(s):	
Allegations:	VIOLATIONS OF SEC 1, NASD FORM SL-1 AND APPENDIX D OF SEC RULE 15C3-1.
Current Status:	Final
Resolution:	Decision
Resolution Date:	01/06/1978
Sanctions Ordered:	Censure Monetary/Fine $500.00
Other Sanctions Ordered:	NONE
Sanction Details:	CENSURE AND FINE $500

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End of Report

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