

IAPD Report

THEODORA FRASER

CRD# 1296945

Section Title

Page(s)

Report Summary Qualifications

Registration and Employment History

1

2 - 5

6 - 7

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>



o
a
h

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 **29** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: MainAddress:

Firm ID#:

BITCLUB

13 Roosevelt road, Chicago, Illinois, 60018

149777

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	08/26/2016
	NYSE American LLC	General Securities Representative	Approved	08/26/2016
	Nasdaq Stock Market	General Securities Representative	Approved	08/26/2016
	New York Stock Exchange	General Securities Representative	Approved	08/26/2016

	Alabama	Agent	Approved	08/23/2018
	Arizona	Agent	Approved	01/04/2023
	California	Agent	Approved	08/26/2016
	Colorado	Agent	Approved	09/12/2019
	Connecticut	Agent	Approved	07/25/2017
	District of Columbia	Agent	Approved	05/02/2023
	Florida	Agent	Approved	08/26/2016
	Florida	Investment Adviser Representative	Approved	09/06/2016
	Georgia	Agent	Approved	08/26/2016

	Qualifications			
Regulator	Registration	Status	Date	
	Hawaii	Agent	Approved	01/04/2023
	Louisiana	Agent	Approved	06/09/2020
	Maryland	Agent	Approved	08/26/2016
	Massachusetts	Agent	Approved	06/09/2020
	Missouri	Agent	Approved	05/02/2023
	Nevada	Agent	Approved	05/04/2023
	New Hampshire	Agent	Approved	08/23/2018
	New Jersey	Agent	Approved	08/26/2016
	New Mexico	Agent	Approved	05/02/2023
	New York	Agent	Approved	08/26/2016
	North Carolina	Agent	Approved	09/17/2018
	Ohio	Agent	Approved	02/27/2018
	Oklahoma	Agent	Approved	06/15/2022
	Pennsylvania	Agent	Approved	06/25/2018
	South Carolina	Agent	Approved	08/23/2018
	Texas	Agent	Approved	01/02/2019
	Texas	Investment Adviser Representative	Restricted Approval	04/08/2020

Utah	Agent	Approved	05/02/2023
------	-------	----------	------------

Qualifications			
Regulator	Registration	Status	Date
Vermont	Agent	Approved	02/26/2018
Virginia	Agent	Approved	08/26/2016
West Virginia	Agent	Approved	05/02/2023
Wisconsin	Agent	Approved	06/25/2018

Branch Office Locations

BITCLUB

13 Roosevelt road,
Chicago, Illinois, 60018

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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	05/11/2009

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Limited Representative-Equity Trader Exam	Series 55	01/23/2009

	(S55)		
	General Securities Representative Examination (S7)	Series 7	12/18/2009

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	11/02/2010
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/29/2010



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s). No information reported.

Registration & Employment Histo				Branch Location
	This representative held registra			
	Registration Dates		CRD#	JACKSONVILLE, FL
	11/30/2012 - 08/29/2016	AMERIPRISE FINANCIAL SERVICES, INC.	6363	
	11/29/2012 - 08/29/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	JACKSONVILLE, FL
	12/03/2010 - 12/06/2012	WADDELL & REED, INC.	CRD# 866	JACKSONVILLE, FL
	10/07/2010 - 12/06/2012	WADDELL & REED, INC.	CRD# 866	JACKSONVILLE, FL
	12/19/2008 - 06/22/2009	FIRST NEW YORK SECURITIES L.L.C.	CRD#	NEW YORK, NY
			16362	
	04/11/1996 - 03/11/2004	UBS SECURITIES LLC	CRD# 7654	NEW YORK, NY

RE: real estate LLC's/ spend an aggregate of 1 hour per month looking at books.(rents, problems,bank statements etc) RE: Jax Lax I spend zero hours per month

- BUSINESS OWNERSHIP :FRANCIS REALTY & PROPERTY MANAGEMENT, LLC;SECRETARY;REAL ESTATE OWNERSHIP;VEDRA BEACH, FL 32082;YES INVESTMENT REAL ESTATE;JUNE 2010.
- OUTSIDE BUSINESS ACTIVITIES :JAX LAX LLC;LLC ;SPORTING GOODS RETAIL;PASSIVE INVESTOR;110 CUMBERLAND PARK DR SUITE 104;NO;SEPTEMBER 2009;0 HRS.
- Rental Property; PONTE VEDRA BEACH, FL; Rental; Investment related; real estate holdings and management; 06/2009; During business hours: 0; After business hours: 0
- Montana Escondida S.A.; Investment related Yes; Rental; Role/position/job title (proprietor, partner, officer, director, employee, trustee, agent); Jan/2013; During business hours: 0; After business hours: 0; Earning rental income once the house is constructed
- Propiedades Y Lotes Corona Del Mar, Sociedad Anonima; Investment related; Manuel Antonio, Costa Rica; Private Company; President (proprietor, partner, officer, director, employee, trustee, agent); Feb 2007; During business hours: 0; After business hours: 0.2
- Anrod Corp S.A.; Investment related; Manuel Antonio, Costa Rica; Private Company; President (proprietor, partner, officer, director, employee, trustee, agent); Feb 2007; During business hours: 0; After business hours: 0.2
- Santa Sophia S.A.; Investment related Yes; Real Estate; stake holder and member (proprietor, partner, officer, director, employee, trustee, agent); Apr/2006; During business hours: 0; After business hours: 0.2; This timberland will be harvested in 2027, it is TEAK.
- *318484 - Francis Realty and Property Management Investment related Yes; Real Estate; Owner (proprietor, partner, officer, director, employee, trustee, agent); Jun 2009; During business hours: 0; After business hours: 0

End of Report

This page is intentionally left blank.