



RIA · SEC

SEC File No: 801-112847 | Form ADV on file

Registered Investment Adviser Certificate

Investment Advisers Act of 1940, Section 203 · 17 CFR Part 275

This certifies that **Traced Capital LLC**, operating as a Registered Investment Adviser (RIA), has met all registration requirements under the Investment Advisers Act of 1940. Traced Capital LLC is authorized to provide investment advisory services, including discretionary and non-discretionary portfolio management, financial planning, and fiduciary asset management to retail and institutional clients on its proprietary digital platform.

SEC FILE NUMBER
801-112847

CRD NUMBER
CRD#: 319204

REGISTRATION DATE
January 22, 2024

ANNUAL REVIEW DUE
March 31, 2026

AUM THRESHOLD
\$100M+ (Federal)

CLIENT TYPE
Retail & Institutional

FIDUCIARY STANDARD
Full Fiduciary Duty

CUSTODY STATUS
Non-Custodial

FIDUCIARY OBLIGATIONS & AUTHORIZED ACTIVITIES

- Discretionary portfolio management and execution via Traced Capital digital platform
- Comprehensive financial planning and retirement advisory for platform-registered clients
- Annual Form ADV Part 1 & 2 filing and full disclosure of material conflicts of interest
- Compliance with SEC Regulation Best Interest (Reg BI) and fiduciary duty requirements

Gary Gensler

Chair, SEC

Benjamin Holt

CEO, Traced Capital LLC

U.S. Securities
& Exchange
Commission

Investment
Advisers
Act of 1940

★ SEC ★