

Cover Page



Emiliano Rios Caban

Fruitful, Inc.

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This Brochure Supplement provides information about Emiliano Rios Caban that supplements the Fruitful, Inc. Brochure. You should have received a copy of that Brochure. Please contact us at (703) 997-2993 or [support@fruitful.com](mailto:support@fruitful.com) if you did not receive our Brochure or if you have any questions about the contents of this supplement.

## Educational Background and Business Experience

Emiliano Rios Caban is an investment adviser representative of Fruitful, Inc. and its Chief Compliance Officer. Prior to Fruitful, he served as Chief Compliance Officer at Secfi, Inc. and Head of Compliance at M1 Finance. Mr. Rios Caban earned a bachelor of science in business administration from Franklin University in Columbus, Ohio.

Mr. Rios Caban has attained the Certified Regulatory Compliance Manager (CRCM) designation from the American Bankers Association and has previously held active securities industry licenses and registrations. He has deep expertise in securities and investment industry regulatory compliance leadership, focused in both FinTech and traditional firms over 15 years.

### Employment History

| Employer       | Title                    | From date to date  |
|----------------|--------------------------|--------------------|
| Fruitful, Inc. | Chief Compliance Officer | Apr 2023 - current |
| Secfi, Inc.    | Chief Compliance Officer | 2021 - 2023        |
| M1 Finance     | Head of Compliance       | 2019 - 2020        |

## Disciplinary Information

Mr. Rios Caban, as Chief Compliance Officer of Fruitful, Inc., is required to disclose all material facts regarding any legal or disciplinary event that would be material to your evaluation of their services. Mr. Rios Caban has no applicable legal or disciplinary events required to be disclosed under this item.

## Other Business Activities

Mr. Rios Caban, as Chief Compliance Officer of Fruitful, Inc., is required to disclose any additional outside business activities. As of the date of this supplement, that includes his role as Co-founder of Specifically Vague Co, LLC, a legal and compliance thought leadership platform. Specifically Vague is not investment related, is not affiliated with Fruitful, Inc. or any of its affiliates, and hours worked per month are approximately 10, none of which are during trading hours.

## Additional Compensation

Mr. Rios Caban does not receive income from any sources not disclosed in this supplement.

## Supervision

Mr. Rios Caban is supervised by Sam Lewis, the Chief Executive Officer of Fruitful, Inc. Mr. Rios Caban is subject to the Fruitful Code of Ethics as well as the firm's Compliance Policies & Procedures.