



## IAPD Report

# ARTURO JESUS RODRIGUEZ DIAZ

CRD# 1301783

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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

### ARTURO JESUS RODRIGUEZ DIAZ (CRD# 1301783)

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 **02/10/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AEGIS CAPITAL CORP.	CRD# 15007	06/11/2015
<b>IA</b>	AEGIS CAPITAL CORP.	CRD# 15007	06/11/2015
<b>IA</b>	RIWM, LLC	CRD# 160536	04/17/2025

### QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and 3 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
<b>IA</b>	RIWM, LLC	160536	CORAL GABLES, FL	04/26/2012 - 12/31/2024
<b>IA</b>	CAPITAL GUARDIAN WEALTH MANAGEMENT, LLC	131631	MIAMI, FL	12/02/2013 - 07/10/2015
<b>B</b>	CAPITAL GUARDIAN, LLC	137919	MIAMI, FL	08/31/2012 - 07/10/2015

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
Customer Dispute	3



## Report Summary



## 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 3 jurisdiction(s) and 3 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **RIWM, LLC**  
Main Address: 2655 S LE JEUNE RD  
SUITE 916  
CORAL GABLES, FL 33134  
Firm ID#: 160536

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	04/17/2025

#### Branch Office Locations

**RIWM, LLC**  
2655 S LE JEUNE RD  
SUITE 916  
CORAL GABLES, FL 33134

#### Employment 2 of 2

Firm Name: **AEGIS CAPITAL CORP.**  
Main Address: 1345 AVENUE OF THE AMERICAS  
27TH FLOOR  
NEW YORK, NY 10105  
Firm ID#: 15007

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	06/11/2015
B FINRA	General Securities Sales Supervisor	Approved	06/11/2015
B NYSE Arca, Inc.	General Securities Representative	Approved	06/11/2015
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/11/2015
B Nasdaq Stock Market	General Securities Representative	Approved	06/11/2015



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/11/2015
<b>B</b> Delaware	Agent	Approved	06/11/2015
<b>B</b> Florida	Agent	Approved	07/13/2015
<b>IA</b> Florida	Investment Adviser Representative	Approved	07/13/2015
<b>B</b> Puerto Rico	Agent	Approved	06/11/2015
<b>IA</b> Puerto Rico	Investment Adviser Representative	Approved	06/11/2015

### Branch Office Locations

**AEGIS CAPITAL CORP.**  
2655 Le Jeune Road  
Suite 916  
CORAL GABLES, FL 33134



## 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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	02/25/1993

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	09/21/1995
General Securities Representative Examination (S7)	Series 7	09/15/1984

#### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	09/06/2005
Uniform Securities Agent State Law Examination (S63)	Series 63	10/02/1992

### 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	04/26/2012 - 12/31/2024	RIWM, LLC	CRD# 160536	CORAL GABLES, FL
IA	12/02/2013 - 07/10/2015	CAPITAL GUARDIAN WEALTH MANAGEMENT, LLC	CRD# 131631	MIAMI, FL
B	08/31/2012 - 07/10/2015	CAPITAL GUARDIAN, LLC	CRD# 137919	MIAMI, FL
IA	08/02/2010 - 09/06/2012	REHMANN FINANCIAL	CRD# 123047	MIAMI, FL
B	01/10/2011 - 08/31/2012	GLOBAL INVESTOR SERVICES, L.C.	CRD# 29249	MIAMI, FL
B	04/16/2010 - 01/12/2011	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	MIAMI, FL
IA	03/27/2009 - 04/20/2010	OPPENHEIMER & CO. INC.	CRD# 249	MIAMI, FL
B	03/20/2009 - 04/20/2010	OPPENHEIMER & CO. INC.	CRD# 249	MIAMI, FL
IA	03/20/2009 - 03/20/2009	OPPENHEIMER & CO. INC.	CRD# 249	MIAMI, FL
IA	03/14/2006 - 03/16/2009	STANFORD GROUP COMPANY	CRD# 39285	MIAMI, FL
B	02/24/2006 - 03/16/2009	STANFORD GROUP COMPANY	CRD# 39285	MIAMI, FL
IA	02/28/2003 - 02/21/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	MIAMI, FL
B	02/20/2003 - 02/21/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
IA	01/03/1997 - 02/19/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	MIAMI, FL
B	03/21/1996 - 02/19/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	09/25/1990 - 03/05/1996	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	02/15/1988 - 10/11/1990	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY





## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
<b>B</b>	02/26/1987 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
<b>B</b>	09/24/1984 - 01/27/1987	PAINWEBBER INCORPORATED	CRD# 8174	

### 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
06/2015 - Present	AEGIS CAPITAL CORP	BRANCH MANAGER	Y	MIAMI, FL, United States
02/2012 - Present	RIWM, LLC	CHIEF COMPLIANCE OFFICER	Y	MIAMI, FL, 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.

RIA BUSINESS THROUGH RIWM LLC, 2655 LE JEUNE RD. STE 916 CORAL GABLES, FL 33134



## 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.



## 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
Customer Dispute	3

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Florida Office of Financial Regulation
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	07/10/2015
<b>Docket/Case Number:</b>	58409-S
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	No Product
<b>Allegations:</b>	N/A
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	07/10/2015
<b>Sanctions Ordered:</b>	Cease and Desist



Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$8,001.00

**Portion Levied against individual:** \$8,001.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 07/10/2015

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement**

On July 10, 2015, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Arturo R. Diaz. Mr. Diaz neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that Mr. Diaz engaged in prohibited business practices by failing to send clients itemized invoices. Mr. Diaz agreed to pay an administrative fine of \$8,001 jointly and severally with RIWM d/b/a Rehmann International Wealth Managers, LLC.



### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** CUSTOMER ALLEGES THAT HER MONEY WAS INVESTED IN INAPPORPRIATE SHARES

**Product Type:** Other

**Other Product Type(s):** MANAGED ACCOUNT

**Alleged Damages:** \$12,000.00

#### Customer Complaint Information

**Date Complaint Received:** 09/30/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/26/2004

#### Settlement Amount:

#### Individual Contribution Amount:

**Firm Statement** THIS MATTER WAS DENIED

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** CUSTOMER ALLEGES THAT HER MONEY WAS INVESTED IN INAPPROPRIATE SHARES.

**Product Type:** Other

**Other Product Type(s):** MANAGED ACCOUNT

**Alleged Damages:** \$12,000.00

#### Customer Complaint Information

**Date Complaint Received:** 09/30/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/26/2004



**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THIS MATTER WAS DENIED.

**Disclosure 2 of 3**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** CUSTOMER ALLEGES THAT HIS INSTRUCTIONS WERE NOT FOLLOWED IN A TIMELY MANNER, CAUSING HIM TO LOSE MONEY.

**Product Type:** Other

**Other Product Type(s):** EQUITIES

**Alleged Damages:** \$250,000.00

**Customer Complaint Information**

**Date Complaint Received:** 04/03/2003

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** THIS MATTER IS PENDING.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** CUSTOMER ALLEGES THAT HIS INSTRUCTIONS WERE NOT FOLLOWED IN A TIMELY MANNER, CAUSING HIM TO LOSE MONEY.

**Product Type:** Other: MANAGED PRODUCTS

**Alleged Damages:** \$250,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 04/03/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/03/2003

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

IN 2003 PSI RECEIVED AN EMAIL COMPLAINT FROM THIS CLIENT. THE EMAIL COMPLAINT WAS DENIED IMMEDIATELY BY THE REP. THIS COMPLAINT SHOULD HAVE BEEN CLOSED WITH NO ACTION BACK IN 2003.

**Disclosure 3 of 3****Reporting Source:**

Regulator

**Employing firm when activities occurred which led to the complaint:**

SHEARSON LEHMAN HUTTON, INC.

**Allegations:**

CLAIMANTS, CUSTOMERS ALLEGE CHURNING AND UNSUITABLE TRADING IN THEIR ACCOUNTS OF UNSPECIFIED SECURITIES.

**Product Type:****Alleged Damages:**

\$180,280.00

**Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:**

NYSE - CASE #1990-000791

**Date Notice/Process Served:**

04/23/1990

**Arbitration Pending?**

No

**Disposition:**

Other

**Disposition Date:**

04/23/1991

**Disposition Detail:**

AWARD AGAINST PARTY  
THE UNDERSIGNED ARBITRATORS HAVE DECIDED AND DETERMINED IN FULL AND FINAL SETTLEMENT OF ALL CLAIMS BETWEEN THE PARTIES THAT: CLAIM IN FAVOR OF CLAIMANTS IN THE AMOUNT OF \$47,500.00 PLUS ATTORNEY'S FEES OF \$15,000.00, JOINTLY AND SEVERALLY AGAINST THE RESPONDENTS. COSTS ASSESSED AGAINST RESPONDENT SHEARSON LEHMAN HUTTON, INC. IN THE AMOUNT OF \$6,000

**Reporting Source:**

Firm

**Employing firm when activities occurred which led to the complaint:**

SHEARSON LEHMAN HUTTON, INC.

**Allegations:**

UNAUTHORIZED TRADING, UNSUITABILITY, AND CHURNING; CLAIMANTS SOUGHT DAMAGES OF \$180,000 PLUS \$60,000.00 IN ATTORNEY'S FEES, PLUS UNSPECIFIED AMOUNT FOR EMOTIONAL DISTRESS.

**Product Type:****Alleged Damages:**

\$180,280.00



### Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

### Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: New York Stock Exchange; 1990-000791

Date Notice/Process Served: 04/23/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 04/23/1991

Monetary Compensation Amount: \$62,500.00

Individual Contribution Amount:

Firm Statement \$47,500.00 TO CLAIMANTS, PLUS \$15,000.00 IN LEGAL FEES AND \$6,000.00 FOR COST WERE ASSESSED AGAINST RESPONDENTS. NO OPTIONS OR COMMODITIES INVOLVED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN HUTTON, INC.

Allegations: UNAUTHORIZED TRADING, UNSUITABILITY, AND CHURNING. CLAIMANTS SOUGHT DAMAGES OF \$180,000 PLUS \$60,000.00 IN ATTORNEY'S FEES, PLUS UNSPECIFIED AMOUNT OF EMOTIONAL DISTRESS

Product Type:

Alleged Damages: \$180,280.00

### Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:





## Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	New York Stock Exchange; 1990-000791
<b>Date Notice/Process Served:</b>	04/23/1990
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award to Customer
<b>Disposition Date:</b>	04/23/1991
<b>Monetary Compensation Amount:</b>	\$62,500.00
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	\$47,500.00 CLAIMANTS, PLUS \$15,000.00 IN LEGAL FEES AND \$6,000.00 FOR THE COST WERE ASSESSED AGAINST RESPONDENTS. Not Provided



## End of Report

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