



IAPD Report

ANNA S SOMOZA

CRD# 1599663

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

ANNA S SOMOZA (CRD# 1599663)

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 **11/19/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INSIGNEO SECURITIES, LLC	CRD# 29249	08/10/2023
IA	INSIGNEO ADVISORY SERVICES, LLC	CRD# 282589	08/10/2023

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	MORGAN STANLEY	149777	Miami, FL	10/18/2010 - 08/11/2023
B	MORGAN STANLEY	149777	Miami, FL	06/01/2009 - 08/11/2023
IA	MORGAN STANLEY SMITH BARNEY LLC	149777	Miami, FL	06/01/2009 - 08/25/2010

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
Termination	1



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 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **INSIGNEO ADVISORY SERVICES, LLC**
Main Address: 1221 BRICKELL AVENUE
27TH FLOOR
MIAMI, FL 33131
Firm ID#: 282589

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	08/14/2023
IA	New York	Investment Adviser Representative	Approved	08/15/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	08/10/2023

Branch Office Locations

INSIGNEO ADVISORY SERVICES, LLC
1221 BRICKELL AVENUE
27TH FLOOR
MIAMI, FL 33131

INSIGNEO ADVISORY SERVICES, LLC
KEY BISCAVNE, FL

Employment 2 of 2

Firm Name: **INSIGNEO SECURITIES, LLC**
Main Address: 1221 BRICKELL AVE
27TH FLOOR
MIAMI, FL 33131
Firm ID#: 29249

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/10/2023
B	Florida	Agent	Approved	08/11/2023
B	New York	Agent	Approved	08/10/2023



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	08/10/2023

Branch Office Locations

1221 Brickell Ave
27th Floor
MIAMI, FL 33131

KEY BISCAYNE, FL



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	09/19/1987
B National Commodity Futures Examination (S3)	Series 3	12/16/1986

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/23/1993



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	10/18/2010 - 08/11/2023	MORGAN STANLEY	CRD# 149777	Miami, FL
B	06/01/2009 - 08/11/2023	MORGAN STANLEY	CRD# 149777	Miami, FL
IA	06/01/2009 - 08/25/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	Miami, FL
IA	09/11/2008 - 06/11/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	MIAMI, FL
B	09/10/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	MIAMI, FL
B	06/03/2002 - 09/29/2008	UBS INTERNATIONAL INC.	CRD# 107726	CORAL GABLES, FL
IA	06/03/2002 - 09/29/2008	UBS INTERNATIONAL INC.	CRD# 107726	CORAL GABLES, FL
B	01/27/1995 - 06/03/2002	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
IA	01/27/1995 - 06/01/2002	UBS PAINWEBBER INC.	CRD# 8174	CORAL GABLES, FL
B	09/24/1987 - 02/22/1995	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY

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
08/2023 - Present	INSIGNEO ADVISORY SERVICES LLC	INVESTMENT ADVISOR	Y	MIAMI, FL, United States
08/2023 - Present	INSIGNEO SECURITIES LLC	INVESTMENT PROFESSIONAL	Y	MIAMI, FL, United States
01/2015 - 08/2023	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 08/2023	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	MIAMI, FL, United States
09/2008 - 08/2023	MORGAN STANLEY	SVP - FINANCIAL ADVISOR	Y	MIAMI, FL, United States



Registration & Employment History



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.

-ISLAND MICE (FL, US); Start date 07/2012_OWNER; ORDERING MATERIAL ONLINE, APPROVING QUALITY OF PRODUCTION; Dedication: 5hrs/month and 0hrs/month during trading hours.

-INSIGNEO ADVISORY SERVICES LLC_Affiliate, devote to the business 40 hrs/month during trading hours.



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
Termination	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: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 07/22/2010

Docket/Case Number: [2008015103701](#)

Employing firm when activity occurred which led to the regulatory action: UBS INTERNATIONAL INC.

Product Type: No Product

Allegations: NASD RULES 2110, 3110: SOMOZA, SHORTLY AFTER DECIDING TO RESIGN FROM HER MEMBER FIRM TO JOIN ANOTHER FINRA MEMBER FIRM, USED HER BROKER WORKSTATION TO CHANGE CERTAIN OF HER CUSTOMERS' TELEPHONE NUMBERS AND E-MAIL ADDRESSES IN HER FIRM'S ELECTRONIC DATABASE CAUSING THE FIRM'S BOOKS AND RECORDS TO BECOME INACCURATE FOR CUSTOMER ACCOUNTS. SOMOZA MADE THESE CHANGES WITHOUT THE KNOWLEDGE OR AUTHORIZATION OF HER CUSTOMERS AND SHE WAS AWARE THAT THE FIRM'S POLICIES PROHIBITED FIRM EMPLOYEES FROM MAKING FALSE AND MISLEADING ENTRIES IN ITS BOOKS AND RECORDS. SOMOZA ADMITTED TO THE FIRM THAT SHE MADE THE CHANGES BECAUSE SHE DID NOT WANT ANYONE TO THE FIRM CALLING HER CLIENTS AFTER SHE LEFT THE FIRM. THE FIRM IMMEDIATELY TERMINATED SOMOZA'S EMPLOYMENT.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

07/22/2010

Sanctions Ordered:

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

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: 30 DAYS
Start Date: 08/16/2010
End Date: 09/14/2010

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current: Yes
Date Paid by individual: 05/16/2011
Was any portion of penalty waived? No

Amount Waived:**Regulator Statement**

WITHOUT ADMITTING OR DENYING THE FINDINGS, SOMOZA CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, SHE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 DAYS. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING HER SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM AUGUST 16, 2010, THROUGH SEPTEMBER 14, 2010.

.....

Reporting Source: Individual



Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/22/2010
Docket/Case Number:	2008015103701
Employing firm when activity occurred which led to the regulatory action:	UBS INTERNATIONAL INC
Product Type:	No Product
Allegations:	NASD RULES 2110, 3110: SOMOZA, SHORTLY AFTER DECIDING TO RESIGN FROM HER MEMBER FIRM TO JOIN ANOTHER FINRA MEMBER FIRM, USED HER BROKER WORKSTATION TO CHANGE CERTAIN OF HER CUSTOMERS' TELEPHONE NUMBERS AND E-MAIL ADDRESSES IN HER FIRM'S ELECTRONIC DATABASE CAUSING THE FIRM'S BOOKS AND RECORDS TO BECOME INACCURATE FOR CUSTOMER ACCOUNTS. SOMOZA MADE THESE CHANGES WITHOUT THE KNOWLEDGE OR AUTHORIZATION OF HER CUSTOMERS AND SHE WAS AWARE THAT THE FIRM'S POLICIES PROHIBITED FIRM EMPLOYEES FROM MAKING FALSE AND MISLEADING ENTRIES IN ITS BOOKS AND RECORDS. SOMOZA ADMITTED TO THE FIRM THAT SHE MADE THE CHANGES BECAUSE SHE DID NOT WANT ANYONE TO THE FIRM CALLING HER CLIENTS AFTER SHE LEFT THE FIRM. THE FIRM IMMEDIATELY TERMINATED SOMOZA'S EMPLOYMENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/22/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	30 DAYS
Start Date:	08/16/2010
End Date:	09/14/2010
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	



Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, SOMOZA CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, SHE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 DAYS. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING HER SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM AUGUST 16, 2010, THROUGH SEPTEMBER 14, 2010.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: UBS INTERNATIONAL INC.

Termination Type: Discharged

Termination Date: 09/09/2008

Allegations: PRIOR TO TERMINATION, FINANCIAL ADVISOR WAS CONFRONTED WITH THE ALLEGATIONS THAT SHE WAS CHANGING THE PHONE NUMBERS AND EMAIL ADDRESSES FOR A NUMBER OF UBS INTERNATIONAL INC. CLIENTS SERVICED BY HER.

Product Type: No Product

Other Product Types:

.....

Reporting Source: Individual

Firm Name: UBS INTERNATIONAL INC.

Termination Type: Discharged

Termination Date: 09/09/2008

Allegations: PRIOR TO TERMINATION, FINANCIAL ADVISOR WAS CONFRONTED WITH THE ALLEGATIONS THAT SHE WAS CHANGING THE PHONE NUMBERS AND EMAIL ADDRESSES FOR A NUMBER OF UBS INTERNATIONAL INC. CLIENTS SERVICES BY HER.

Product Type: No Product

Other Product Types:



End of Report

This page is intentionally left blank.