



## IAPD Report

# LUIS MARCK STROHMEIER

CRD# 1930000

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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

### LUIS MARCK STROHMEIER (CRD# 1930000)

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 **05/12/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	06/12/2020
<b>IA</b>	OCTAVIA WEALTH ADVISORS LLC	CRD# 306909	06/12/2020

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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>	EQUITABLE ADVISORS, LLC	6627	CENTERVILLE, OH	01/24/2003 - 07/09/2020
<b>B</b>	EQUITABLE ADVISORS, LLC	6627	CENTERVILLE, OH	03/13/1989 - 07/09/2020
<b>B</b>	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY	03/13/1989 - 01/05/2000

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
Customer Dispute	2



## 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 **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**  
Main Address: 80 STATE STREET  
ALBANY, NY 12207  
Firm ID#: 35747

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	06/12/2020
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	06/12/2020
<b>B</b> California	Agent	Approved	06/12/2020
<b>B</b> Colorado	Agent	Approved	06/12/2020
<b>B</b> Connecticut	Agent	Approved	09/11/2023
<b>B</b> Florida	Agent	Approved	06/12/2020
<b>B</b> Georgia	Agent	Approved	06/12/2020
<b>B</b> Illinois	Agent	Approved	06/12/2020
<b>B</b> Indiana	Agent	Approved	06/18/2020
<b>B</b> Kansas	Agent	Approved	06/12/2020
<b>B</b> Kentucky	Agent	Approved	06/12/2020
<b>B</b> Massachusetts	Agent	Approved	07/13/2020
<b>B</b> Michigan	Agent	Approved	06/12/2020



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Montana	Agent	Approved	05/12/2026
<b>B</b> New Jersey	Agent	Approved	02/06/2023
<b>B</b> New Mexico	Agent	Approved	03/11/2025
<b>B</b> New York	Agent	Approved	06/12/2020
<b>B</b> North Carolina	Agent	Approved	06/15/2020
<b>B</b> Ohio	Agent	Approved	06/12/2020
<b>B</b> South Carolina	Agent	Approved	06/12/2020
<b>B</b> Texas	Agent	Approved	06/12/2020
<b>B</b> West Virginia	Agent	Approved	05/11/2023

### Branch Office Locations

12400 Wilshire Blvd  
 Suite 1440  
 Los Angeles, CA 90025

2980 McFarlane Road  
 Miami, FL 33133

### Employment 2 of 2

Firm Name: **OCTAVIA WEALTH ADVISORS LLC**  
 Main Address: 9999 CARVER ROAD  
 SUITE 130  
 CINCINNATI, OH 45242  
 Firm ID#: 306909

Regulator	Registration	Status	Date
<b>IA</b> California	Investment Adviser Representative	Approved	06/12/2020
<b>IA</b> Florida	Investment Adviser Representative	Approved	07/14/2021
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	06/12/2020



## Qualifications

Regulator	Registration	Status	Date
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### Branch Office Locations

**OCTAVIA WEALTH ADVISORS LLC**  
12400 WILSHIRE BLVD  
SUITE 1440  
LOS ANGELES, CA 90025

**OCTAVIA WEALTH ADVISORS LLC**  
3390 MARY STREET, FL, USA,  
MIAMI, FL 33133



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	11/05/1999
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<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/10/1989
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	04/20/2015
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	11/03/1995
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	01/24/2003 - 07/09/2020	EQUITABLE ADVISORS, LLC	CRD# 6627	CENTERVILLE, OH
B	03/13/1989 - 07/09/2020	EQUITABLE ADVISORS, LLC	CRD# 6627	CENTERVILLE, OH
B	03/13/1989 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
06/2020 - Present	OCTAVIA RISK MANAGEMENT, LLC	INSURANCE AGENT	N	MIAMI, FL, United States
06/2020 - Present	OCTAVIA WEALTH ADVISORS, LLC	FOUNDING PARTNER	Y	MIAMI, FL, United States
06/2020 - Present	PURSHE KAPLAN STERLING INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	MIAMI, FL, United States
09/1999 - 06/2020	AXA ADVISORS, LLC	INVESTMENT ADVISOR REPRESENTATIVE AND REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.

1) Luis Strohmeier is dually-registered as an investment advisor representative with Octavia Wealth Advisors, LLC ("Octavia") and as a Registered Representative with Purshe Kaplan Sterling Investments, Inc. ("PKS") since 06/2020. Business is conducted from 12400 Wilshire Blvd Suite 1440, Los Angeles, CA. 90025. Approximately 90% of Luis Strohmeier's time is for services as an investment advisor representative and the balance as a registered representative. Octavia and PKS are not affiliated. 2) Shanti Investment Holdings , LLC; Not investment related; 3 Grove isle dr #C410, , Miami, FL. 33133; Holding company for family real estate and family owned businesses; Member; 2/1/2025; 2 hours per month; Managing personal illiquid investments for estate planning purposes 3) e-luca inc; Not investment related; 3 Grove isle dr #C410, , Miami, FL. 33133; Family business in Peru originated by my Father and taken over by US entity for transparency and fiscal filing consistency. It is an emerging technology/energy think tank studying and researching various applications in biological energy; Chairman of the board; 2/3/2025; 8 hours per month; Oversight of legal, fiscal, and financial activities.

2) Insurance agent; Octavia Risk Management LLC; 06/2020; implementation of insurance products; 12400 Wilshire Blvd Suite



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

1440, Los Angeles, CA. 90025; 20 hours per month

3) Cardinal Investment Properties, LLC. Not investment related. 16879 Calle de Sarah Pacific Palisades CA 90272. Rental Property. Owner. 3/1/2002. 5-10 hrs/ mnth. 5-10 hrs/ trading hrs. I own 100 percent of the units. It is an Ohio LLC that operates various real estate holdings in FL, CA and OH. Total income is around 220k. No investments outside of my own and no offerings to anyone. It is just for my personal real estate holdings. There is one checking account that is titled in its name and all transactions related to this LLC take place under that account.

4) Casa Luas Vineyards; 16879 Calle De Sarah Pacific Palisades, CA 90272; Sole Proprietorship; non-investment related;f Entity; Vineyard; 100% Owner; 5 hours/month; Marketing



## 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
Customer Dispute	2

### 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 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	AXA Advisors, LLC
<b>Allegations:</b>	Client alleges misrepresentation in a term conversion from a fixed life insurance policy to a variable life insurance policy in 2015.
<b>Product Type:</b>	Insurance
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Client did not specify a dollar amount.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/30/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	12/04/2019
<b>Settlement Amount:</b>	

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

The Firm found no basis to the customer complaint.

**Disclosure 2 of 2****Reporting Source:**

Individual

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

AXA ADVISORS

**Allegations:**

CLAIMANT ALLEGES THE RR MADE INVESTMENT DECISIONS WHICH WERE NOT SUITABLE GIVEN THE CLAIMANT'S FINANCIAL CIRCUMSTANCES AND INVESTMENT OBJECTIVES. CLAIMANT ALSO ALLEGES THAT THE RR MADE UNAUTHORIZED TRADES WITHIN THE CLAIMANT'S ACCOUNT. CLAIMANT IS REQUESTING DAMAGES IN THE AMOUNT OF \$380,000.00.

**Product Type:**

Equity Listed (Common & Preferred Stock)

**Alleged Damages:**

\$380,000.00

**Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):**

FINRA DISPUTE RESOLUTION, INC.

**Docket/Case #:**

10-05442

**Date Notice/Process Served:**

06/02/2010

**Arbitration Pending?**

No

**Disposition:**

Settled

**Disposition Date:**

04/15/2011

**Monetary Compensation Amount:**

\$14,999.00

**Individual Contribution Amount:**

\$7,499.50

**Broker Statement**

WITHOUT ADMITTING FAULT OR LIABILITY, THE PARTIES SETTLED THE FINRA ARBITRATION MATTER FOR \$14,999.00. RR LUIS STROHMEIER'S ERRORS & OMISSIONS CARRIER CONTRIBUTED 50% [\$7,499.50] TOWARD THE SETTLEMENT ON HIS BEHALF. CLAIMANT MADE SEVERAL ALLEGATIONS THAT I DO NOT BELIEVE HE WOULD HAVE BEEN ABLE TO PROVE AT THE ARBITRATION PROCEEDING.



## End of Report

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