



IAPD Report

SERGIO ALFREDO URRUTIA

CRD# 2254948

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i 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

SERGIO ALFREDO URRUTIA (CRD# 2254948)

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 **11/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KNIGHTS OF COLUMBUS ASSET ADVISORS LLC	CRD# 174129	05/06/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **22** 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	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL	09/06/2001 - 10/02/2003
B	WHARTON CAPITAL MARKETS LLC	44632	NORTH HILLS, NY	04/11/1999 - 07/08/1999
B	JANSSEN-MEYERS ASSOCIATES, L.P.	34171	NEW YORK, NY	06/10/1998 - 10/27/1998

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	3
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 **22** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **KNIGHTS OF COLUMBUS ASSET ADVISORS LLC**
Main Address: ONE COLUMBUS PLAZA
NEW HAVEN, CT 06510
Firm ID#: 174129

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	05/12/2021
IA	Delaware	Investment Adviser Representative	Approved	05/13/2021
IA	District of Columbia	Investment Adviser Representative	Approved	05/20/2021
IA	Florida	Investment Adviser Representative	Approved	05/12/2021
IA	Georgia	Investment Adviser Representative	Approved	07/08/2021
IA	Kentucky	Investment Adviser Representative	Approved	11/04/2025
IA	Maine	Investment Adviser Representative	Approved	06/15/2021
IA	Maryland	Investment Adviser Representative	Approved	05/06/2021
IA	Massachusetts	Investment Adviser Representative	Approved	05/25/2021
IA	New Hampshire	Investment Adviser Representative	Approved	05/07/2021
IA	New Jersey	Investment Adviser Representative	Approved	05/26/2021
IA	New York	Investment Adviser Representative	Approved	05/16/2021
IA	North Carolina	Investment Adviser Representative	Approved	05/13/2021



Qualifications

Regulator	Registration	Status	Date
IA Oklahoma	Investment Adviser Representative	Approved	11/04/2025
IA Pennsylvania	Investment Adviser Representative	Approved	05/13/2021
IA Puerto Rico	Investment Adviser Representative	Approved	05/13/2021
IA Rhode Island	Investment Adviser Representative	Approved	05/24/2021
IA South Carolina	Investment Adviser Representative	Approved	05/20/2021
IA Texas	Investment Adviser Representative	Restricted Approval	11/04/2025
IA Vermont	Investment Adviser Representative	Approved	05/06/2021
IA Virginia	Investment Adviser Representative	Approved	05/13/2021
IA West Virginia	Investment Adviser Representative	Approved	05/17/2021

Branch Office Locations

KNIGHTS OF COLUMBUS ASSET ADVISORS LLC

8444 S Federal Hwy
Port St Lucie, FL 34952



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, 1 general industry/product exam, 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 General Securities Representative Examination (S7)	Series 7	10/17/1992
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/05/2021
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B Uniform Securities Agent State Law Examination (S63)	Series 63	10/30/1992
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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
B	09/06/2001 - 10/02/2003	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	04/11/1999 - 07/08/1999	WHARTON CAPITAL MARKETS LLC	CRD# 44632	NORTH HILLS, NY
B	06/10/1998 - 10/27/1998	JANSSEN-MEYERS ASSOCIATES, L.P.	CRD# 34171	NEW YORK, NY
B	11/02/1995 - 05/24/1996	REDSTONE SECURITIES, INC.	CRD# 19628	DALLAS, TX
B	01/19/1995 - 10/09/1995	SEABOARD SECURITIES, INC.	CRD# 755	FLORHAM PARK, NJ
B	07/08/1993 - 01/24/1995	LEW LIEBERBAUM & CO., INC.	CRD# 17341	GARDEN CITY, NY
B	01/11/1993 - 07/19/1993	COMMONWEALTH ASSOCIATES	CRD# 20833	NEW YORK, NY
B	10/19/1992 - 02/16/1993	ROBERT TODD FINANCIAL CORP.	CRD# 7423	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
01/2021 - Present	Knights of Columbus Asset Advisors	Investment Adviser	Y	New Haven, CT, United States
09/2003 - Present	Knights of Columbus Insurance	Insurance Agent	N	New Haven, CT, 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.

Knights of Columbus Insurance General Agent Non-Investment Related. General Agent - Selling Life Insurance & Annuities, Long Term Care Insurance, and Disability Insurance. Started 09/2003 80 hours monthly. New Haven, CT
My wife and I jointly own SAU Luxury Transport, LLC - I am a Managing Member of this LLC
My wife and I jointly own SAU Luxury Transport, LLC - 50/50 ownership interest



Registration & Employment History



OTHER BUSINESS ACTIVITIES

SAU Luxury Transportation DBA Eagle Luxury Transportation is a Black Car Service Company. It provides passenger transportation to airports and private affairs.

www.eltlimo.com

My wife runs the day to day business operations. My responsibilities are strictly processing chauffeur and office staff payroll every other week. I derive no compensation.



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	3
Termination	1

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: Regulator

Employing firm when activities occurred which led to the complaint: LEW LIEBERBAUM & CO., INC.

Allegations: CHURNING; UNAUTHORIZED TRADING; MISREPRESENTATION; OMISSION OF FACTS

Product Type:

Alleged Damages: \$105,546.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #96-00235

Date Notice/Process Served: 01/23/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/10/1996

Disposition Detail: CASE CLOSED, SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST



IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY;
 ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LEW LIEBERBAUM & CO., INC.

Allegations: ALLEGED UNSUITABILITY CHURNING, UNAUTHORIZED TRADING ALLEGED DAMAGES \$105,546.00 COMPENSATORY

Product Type:

Alleged Damages: \$105,546.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/10/1996

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 96-00235

Date Notice/Process Served: 01/23/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/10/1996

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$1,500.00

Firm Statement: LEW LIEBERBAUM & CO INC PAID \$20,000.00 AND WAS REIMBURSED \$1500.00 BY SERGIO URRUTIA
Not Provided

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: LEW LIEBERBAUM & CO., INC.

Allegations: ALLEGED UNSUITABILITY, CHURNING, UNAUTHORIZED TRADING. ALLEGED DAMAGES \$105,546 COMPENSATORY

Product Type:

Alleged Damages: \$105,546.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/10/1996

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 96-00235

Date Notice/Process Served: 01/23/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/10/1996

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$1,500.00

Broker Statement LEW LIEBERBAUM & CO. PAID \$20,000 AND WAS REIMBURSED \$1500 BY SERGIO URRUTIA NOT PROVIDED

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERIVET DYMALLY SECURITIES INC.

Allegations:

REP OPENED A CUSTOMER ACCOUNT FOR A MR JOHN OBERLE WITHOUT THE PROPER NEW ACCOUTN DOCUMENTATION AND EXECUTED AN UNAUTHORIZED TRADE.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/16/1995



Complaint Pending? No
Status: Settled
Status Date: 01/01/1996
Settlement Amount:
Individual Contribution Amount:
Firm Statement TO BE DETERMINED
 Not Provided

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AMERIVET DYMALLY SECURITIES INC.
Allegations: NEW ACCOUNT OPENED WITHOUT PROPER DOCUMENTATION AND EXECUTION OF UNAUTHORIZED TRADE

Product Type:
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/16/1995
Complaint Pending? No
Status: Settled
Status Date: 01/01/1996

Settlement Amount:
Individual Contribution Amount:

Broker Statement UNKNOWN
 CUSTOMER TRANSFERRED HIS ACCOUNT WHEN I MOVED FROM SEABOARD SECURITIES TO AMERIVET DYMALLY (CLEARED U.S. CLEARING), AMERIVET CHANGED CLEARING FIRMS TO PERSHING. ACTING ON THE CLIENTS INSTRUCTIONS. I PURCHASED SHARES TO ADD TO AN EXISTING POSITION. PRIOR TO RETURNING THE NEW PAPERWORK HE WAS PERSUADED TO CANCE HIS PREVIOUSLY AUTHORIZED ACAT. THE CLIENT NEVER RECOVERED ANY MONEY. THE DEBIT WAS CHARGED TO ME. MY EMPLOYER INITIATED THIS COMPLAINT OUT OF SPITE BECAUSE I LEFT.

Disclosure 3 of 3

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: SEABOARD SECURITIES, INC.
Allegations: ACCOUNT RELATED-ERRORS-CHARGES; UNAUTHORIZED TRADING
Product Type:



Alleged Damages:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #95-04515](#)

Date Notice/Process Served: 11/03/1995

Arbitration Pending? No

Disposition: Other

Disposition Date: 03/28/1996

Disposition Detail: AWARD AGAINST PARTY
SERGIO URRATIA WAS JOINTLY AND SEVERALLY LIABLE FOR \$7,562.50 IN ACTUAL DAMAGES, AND JOINTLY AND SEVERALLY LIABLE FOR SIMPLE INTEREST AT THE RATE OF 10% PER ANNUM FROM APRIL 28, 1995 UNTIL THE DATE OF PAYMENT OF THE AWARD

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SEABOARD SECURITIES, INC.

Allegations: THE BEILENSONS ALLEGE THAT MR. URRUTIA PURCHASED 10,000 SHARES OF WINNERS ALL INTL WITHOUT THEIR CONSENT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/25/1995

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/28/1996

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 95-04515](#)

Date Notice/Process Served: 11/03/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/28/1996

Monetary Compensation Amount: \$7,562.50

**Individual Contribution
Amount:****Firm Statement**

THE FIRM HAS RESPONDED TO THE SEC'S REQUEST OF INFORMATION PERTAINING TO THIS COMPLAINT ON 8/23/95. MR. URRUTIA HAS DENIED ALL ALLEGATIONS.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

SEABOARD SECURITIES, INC.

Allegations:

ALLEDGED UNAUTHORIZED TRADING

Product Type:**Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 07/25/1995**Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 03/28/1996**Settlement Amount:****Individual Contribution
Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD; 95-04515](#)**Date Notice/Process Served:** 11/03/1995**Arbitration Pending?** No**Disposition:** Award to Customer**Disposition Date:** 03/28/1996**Monetary Compensation Amount:** \$7,562.50**Individual Contribution
Amount:****Broker Statement**

PAYMENT TO CLIENT OF \$7,562.00 + 10% INTEREST
CLIENT GAVE ME AN ORDER TO BUY 10,000 SHARES OF
WINA - SENT A PERSONAL CHECK IN FOR \$18,460.00 TO PAY FOR THE
TRADE, THE CHECK BOUNCED (NON-SUFFICIENT FUNDS). THIS CAUSED
THE SELL OUT OF THE SECURITIES IN THEIR ACCOUNT (WINA AND KM)
AND A DEBIT BALANCE OF \$3,100.00 WHICH WAS REPAID TO SEABOARD
SECURITIES OUT OF MY COMMISSIONS.



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: Individual

Firm Name: AMERIVET DYMALLY SECURITIES INC.

Termination Type: Voluntary Resignation

Termination Date: 10/16/1995

Allegations: NA
NEW ACCOUNT OPENED WITHOUT PROPER
DOCUMENTATION ON FILE AND EXECUTION OF UNAUTHORIZED TRADE

Product Type:

Other Product Types:

Broker Statement UNKNOWN
CUSTOMER AGREED TO TRANSFER HIS ACCOUNT WHEN I
MOVED FROM SEABOARD SECURITIES TO AMERIVET DYMALLY (CLEARED
US
CLEARING). AMERIVET CHANGED CLEARING FIRMS TO PERSHING. ACTING
ON THE CLIENT'S INSTRUCTIONS AND LOOKING OUT FOR HIS BEST
INTEREST, SHARES OF JAVC WERE PURCHASED IN HIS NEW ACCOUNT IN
ORDER TO PROVIDE A LOWER AVERAGE COST TO HIS EXISTING JAVC
POSITION. PRIOR TO RETURNING THE NEW PAPERWORK HE WAS
PERSUADED
BY A BROKER AT SEABOARD SECURITIES TO CANCEL THE PREVIOUSLY
AUTHORIZED ACDT AND NOT PAY FOR THE TRADE. THE TRADE WAS
CANCELLED, THE CLIENT DID NOT LOSE ANY MONEY AND THE DEBIT
BALANCE IN THAT ACCOUNT WAS CHARGED TO ME. I RESIGNED FROM
AMERIVET DUE TO THE UNPROFESSIONALISM OF MANAGEMENT. OUT OF
SPITE THEY INITIATED THIS COMPLAINT.



End of Report

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