IAPD Report

HERNAN M FONSECA

CRD# 2367303

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

HERNAN M FONSECA (CRD# 2367303)

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 **07/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	04/15/2025
IA	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	04/17/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	SYMETRA SECURITIES, INC.	739	BELLEVUE, WA	04/08/2022 - 03/13/2025
B	NATIONWIDE INVESTMENT SERVICES CORPORATION	7110	COLUMBUS, OH	10/17/2001 - 03/22/2022
B	OHIO SAVINGS SECURITIES, INC.	13945	CLEVELAND, OH	11/26/1997 - 09/29/2000

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
Regulatory Event	1
Customer Dispute	2
Termination	1

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

Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

Firm ID#: 17499

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/15/2025
B	FINRA	Investment Co./Variable Contracts Prin	Approved	04/15/2025
B	Florida	Agent	Approved	04/17/2025
B	Virginia	Agent	Approved	04/21/2025

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.
TAMPA, FL

SUNTRUST INVESTMENT SERVICES, INC.
500 N WEST SHORE BLVD
TAMPA, FL 33609

SUNTRUST INVESTMENT SERVICES, INC.
1910 N TAMPA ST
TAMPA, FL 33602

SUNTRUST INVESTMENT SERVICES, INC.
4200 GEORGE J BEAN PKWY
TAMPA, FL 33607

SUNTRUST INVESTMENT SERVICES, INC.
9501 US HIGHWAY 19
PORT RICHEY, FL 34668

SUNTRUST INVESTMENT SERVICES, INC.
4807 US HIGHWAY 19
STE 101
NEW PORT RICHEY, FL 34652

SUNTRUST INVESTMENT SERVICES, INC.
4545 N HIMES AVE
TAMPA, FL 33614

SUNTRUST INVESTMENT SERVICES, INC.
6500 MASSACHUSETTS AVE
NEW PORT RICHEY, FL 34653

Employment 2 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

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Qualifications

Firm ID#: 283390

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

Branch Office Locations

TRUIST ADVISORY SERVICES, INC.
500 N WESTSHORE BLVD
SUITE 500
TAMPA, FL 33609

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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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/08/2007

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	08/09/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/21/2025
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/15/1993

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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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	04/08/2022 - 03/13/2025	SYMETRA SECURITIES, INC.	CRD# 739	BELLEVUE, WA
B	10/17/2001 - 03/22/2022	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	COLUMBUS, OH
B	11/26/1997 - 09/29/2000	OHIO SAVINGS SECURITIES, INC.	CRD# 13945	CLEVELAND, OH
B	12/20/1996 - 12/01/1997	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	08/11/1993 - 11/19/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
04/2025 - Present	TRUIST ADVISORY SERVICES, INC	ADVISORY	Y	TAMPA, FL, United States
04/2025 - Present	TRUIST INVESTMENT SERVICES, INC	FINANCIAL ADVISOR	Y	TAMPA, FL, United States
04/2022 - 04/2025	Symetra Life Insurance Company	Regional VP Retirement	N	Bellevue, WA, United States
04/2022 - 04/2025	Symetra Securities, Inc.	Registered Representative	Y	Bellevue, WA, United States
11/2000 - 03/2022	NATIONWIDE INVESTMENT SERVICES	REGIONAL MARKETING DIRECTOR, Divisional Vice President, Vice President, ELRP	Y	COLUMBUS, OH, 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.

No information reported.

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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.

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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	2
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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/06/2001
Docket/Case Number:	C07010058
Employing firm when activity occurred which led to the regulatory action:	OHIO SAVINGS SECURITIES INC.
Product Type:	Insurance
Other Product Type(s):	
Allegations:	>08/14/01 NASD CONDUCT RULE 2110 - RESPONDENT SIGNED HIS BUSINESS PARTNER'S NAME ON AN INSURANCE POLICY DELIVERY RECEIPT AND APPLICATION WITHOUT HIS AUTHORIZATION
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/06/2001
Sanctions Ordered:	Monetary/Fine $5,000.00 Suspension

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Other Sanctions Ordered:	N/A
Sanction Details:	FINED $5,000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER FIRM IN ALL CAPACITIES FOR A PERIOD OF 10 DAYS. SUSPENSION EFFECTIVE SEPTEMBER 17, 2001, TO CLOSE OF BUSINESS SEPTEMBER 26, 2001.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	10 DAY SUSPENSION , LETTER OF ACCEPTANCE, WAIVER CONSENT AND A $5000 FINE.
Date Initiated:	09/17/2001
Docket/Case Number:	CO7010058
Employing firm when activity occurred which led to the regulatory action:	OHIO SAVINGS SECURITIES
Product Type:	Other
Other Product Type(s):	LONG TERM CARE
Allegations:	SIGNED COLLEAGUES NAME TO AN LTC APPLICATION
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	09/17/2001
Sanctions Ordered:	Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENSION SEPTEMBER 17-SEPTEMBER 26 2001
Broker Statement	THE CUSTOMERS WERE INTERESTED IN THEIR LONG TERM CARE POLICY. I OFFERED TO DRIVE THEM TO OUR INSURANCE AGENCY WHICH IS IN ANOTHER CITY FROM MY MAIN OFFICE. THE DEDICATED INSURANCE AGENT FOR FLORIDA SPOKE WITH THEM AND TOOK THE APPLICATION DURING THIS TIME I WAS SPEAKING WITH THE BRANCH MANAGER . ONCE INA FINISHED THE APPLICATION SHE WROTE MY NAME AND ASKED ME TO SIGN IT. I TOLD HER I WAS NOT LICENSED AND THAT WAS THE REASON I HAD DRIVEN THE CLIENTS TO THE AGENCY. SHE TOLD ME THAT THEY HAD TO PROCESS THE PAPERWORK THAT DAY IN ORDER FOR THE CUSTOMERS TO AVOID PAYING THE PREMIUM ON THEIR POLICY. I TOLD INA I WOULD BE GLAD TO WIRTE MY COLLEAGUES INFORMATION UNTIL HE GOT BACK IN TWO DAYS FOR THEM TO START THE PAPERWORK, SHE TOLD ME THAT WOULD BE FINE.

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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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OHIO SAVINGS SECURITIES
Allegations:	SIGNED COLLEAGUE'S NAME TO LTC APPLICATION 09/29/2000
Product Type:	Other
Other Product Type(s):	LONG TERM CARE
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	06/06/2001
Complaint Pending?	No
Status:	Settled
Status Date:	08/06/2001
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	OHIO SAVINGS SECURITIES, INC.
Allegations:	CUSTOMER ALLEGES HE ASKED FOR FEDERAL HOME LOAN BONDS AND WAS SOLD MUTUAL FUNDS INSTEAD. CUSTOMER SIGNED DISCLOSURES THAT HE UNDERSTOOD WHAT HE WAS BUYING. SEC COMPLAINT #M 105616 IS PENDING.
Product Type:	Mutual Fund(s)
Alleged Damages:	$28,255.00

Customer Complaint Information

Date Complaint Received:	06/06/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/09/2003
Settlement Amount:	

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Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE 02-00809
Date Notice/Process Served:	04/22/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/09/2003
Monetary Compensation Amount:	$17,000.00
Individual Contribution Amount:	$6,000.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OHIO SAVINGS SECURITIES, INC.
Allegations:	CUSTOMER ALLEGES HE ASKED FOR FEDERAL HOME LOAN BONDS AND WAS SOLD MUTUAL FUNDS INSTEAD. CUSTOMER SIGNED DISCLOSURES THAT HE UNDERSTOOD WHAT HE WAS BUYING. SEC COMPLAINT # M 105616 IS PENDING
Product Type:	Mutual Fund(s)
Alleged Damages:	$28,255.00

Customer Complaint Information

Date Complaint Received:	06/06/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	04/22/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE NUMBER 02-00809
Date Notice/Process Served:	04/22/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/09/2003
Monetary Compensation Amount:	$17,000.00

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Individual Contribution Amount:	$6,000.00

Civil Litigation Information

Disposition:	
Disposition Date:	05/09/2003

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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:	OHIO SAVINGS SECURITIES INC
Termination Type:	Discharged
Termination Date:	09/29/2000
Allegations:	SIGNED A COLLEAGUES NAME TO A LONG TERM CARE APPLICATION
Product Type:	Other
Other Product Types:	LONG TERM CARE
Broker Statement	THE CUSTOMERS WERE INTERESTED IN REPLACING THEIR LONG TERM CARE POLICY. I OFFERED TO DRIVE THEM TO OUR INSURANCE AGENCY WHICH IS IN ANOTHER CITY FROM MY MAIN OFFICE. INQ, THE DEDICATED INSURANCE AGENT FOR FLORIDA SPOKE WITH THEM AND TOOK THE APPLICATION DURING THIS TIME I WAS SPEAKING WITH THE BRANCH MANAGER . ONCE INA FINISHED THE APPLICAITONS SHE WROTE MY NAME AND ASKED ME TO SIGN IT. I TOLD HER I WAS NOT LICENSED AND THAT WAS THE REASON I HAD DRIVEN THE CLIENTS TO THE AGENCY. SHE TOLD ME THAT THEY HAD TO PROCESS THE PAPERWORK THAT DAY IN ORDER FOR THE CUSTOMERS TO AVOID PAYING THE PREMIUM ON THEIR OTHER POLICY. I TOLD INA I WOULD BE GLAD TO WRITE MY COLLEAGUES INFORMATION UNTIL HE GOT BACK IN TWO DAYS FOR THEM TO START THE PAPERWORK, SHE TOLD ME THAT WOULD BE FINE.

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End of Report

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