



IAPD Report

JIMMY ROMAN CASTRILLON

CRD# 2446996

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

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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

JIMMY ROMAN CASTRILLON (CRD# 2446996)

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 **01/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/19/2022
IA	LPL FINANCIAL LLC	CRD# 6413	08/02/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	09/22/2017 - 07/18/2022
B	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	09/11/2017 - 07/18/2022
IA	HSBC SECURITIES (USA) INC.	19585	NEW YORK, NY	08/09/2013 - 09/27/2017

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	4



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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/19/2022
B	FINRA	Investment Co./Variable Contracts Prin	Approved	07/19/2022
B	California	Agent	Approved	07/29/2022
B	Connecticut	Agent	Approved	07/19/2022
B	Florida	Agent	Approved	07/19/2022
B	Georgia	Agent	Approved	10/04/2022
B	Kentucky	Agent	Approved	07/29/2022
B	Massachusetts	Agent	Approved	08/01/2022
B	Nevada	Agent	Approved	07/29/2022
B	New Jersey	Agent	Approved	07/19/2022
B	New York	Agent	Approved	07/19/2022
IA	New York	Investment Adviser Representative	Approved	08/02/2022
B	Pennsylvania	Agent	Approved	08/08/2022



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	10/04/2022
B Utah	Agent	Approved	07/29/2022
B Virginia	Agent	Approved	05/21/2024

Branch Office Locations

LPL FINANCIAL LLC
 210 W. MERRICK ROAD
 FREEPORT, NY 11520

LPL FINANCIAL LLC
 1644 DUTCH BROADWAY
 ELMONT, NY 11003

LPL FINANCIAL LLC
 170 FULTON AVENUE
 HEMPSTEAD, NY 11550

LPL FINANCIAL LLC
 233 SOUTH RESEARCH PL
 CENTRAL ISLIP, NY 11722

LPL FINANCIAL LLC
 BELLMORE, NY

LPL FINANCIAL LLC
 1033 ROUTE 109
 FARMINGDALE, NY 11735

LPL FINANCIAL LLC
 750 OLD COUNTRY ROAD
 WESTBURY, NY 11590

LPL FINANCIAL LLC
 613 SUNRISE HWY.
 LYNBROOK, NY 11563

LPL FINANCIAL LLC
 899 S OYSTER BAY RD
 BETHPAGE, NY 11714




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
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	06/18/1999

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/03/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/17/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/21/1994

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	09/22/2017 - 07/18/2022	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	09/11/2017 - 07/18/2022	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
IA	08/09/2013 - 09/27/2017	HSBC SECURITIES (USA) INC.	CRD# 19585	NEW YORK, NY
B	08/02/2013 - 09/27/2017	HSBC SECURITIES (USA) INC.	CRD# 19585	NEW YORK, NY
IA	03/29/2012 - 05/21/2013	CAPITAL ONE FINANCIAL ADVISORS LLC	CRD# 127236	MELVILLE, NY
B	02/17/2012 - 05/21/2013	CAPITAL ONE INVESTMENT SERVICES LLC	CRD# 25658	HUNTINGTON, NY
IA	07/14/2010 - 11/28/2011	ESSEX NATIONAL SECURITIES, INC.	CRD# 25454	NEW YORK, NY
B	07/09/2010 - 11/28/2011	ESSEX NATIONAL SECURITIES, INC.	CRD# 25454	NEW YORK, NY
IA	05/11/1998 - 08/18/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
B	08/21/1996 - 08/18/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
B	06/13/1995 - 08/21/1996	BHCM INC.	CRD# 34637	HOUSTON, TX
B	03/04/1994 - 06/20/1995	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, 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
07/2022 - Present	BETHPAGE FEDERAL CU	Financial Consultant	Y	FREEPORT, NY, United States
07/2022 - Present	LPL Financial	Registered Representative	Y	FREEPORT, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2017 - 07/2022	CITIGROUP GLOBAL MARKETS	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
08/2016 - 09/2017	HSBC BANK USA, N.A	PREMIER RELATIONSHIP ADVISOR	Y	NEW YORK, NY, United States
07/2013 - 08/2016	HSBC SECURITIES (USA) INC.	PREMIER RELATIONSHIP ADVISOR	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.

- 09/16/2022 - Bethpage Financial Group - Investment related - At reported business location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 07/05/2022 -200 Hours Per Month/8 Hours During Securities Trading
- 11/10/2022 - Bethpage Financial Group - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date: 11/02/2022 - 40 Hours Per Month/8 Hours During Securities Trading.
- 12/18/2024 - FourLeaf Financial Group - Investment Related - Registered Investment Advisor DBA - Bethpage NY - Start Date: 02/28/2025 - 200 Hours Per Month - 8 Hours During Trading.



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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP.(CURRENTLY KNOWN AS JPMORGAN SECURITIES LLC)
Allegations:	CLIENT ALLEGES MISREPRESENTATION REGARDING VARIABLE ANNUITY INVESTMENT. ACTIVITY DATES 10/03/2007-10/03/2007.
Product Type:	Annuity-Variable
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM HAS MADE A GOOD FAITH DETERMINATION ALLEGED DAMAGES WILL BE GREATER THAN \$5,000.00.
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:	09/21/2014
Complaint Pending?	No
Status:	Denied
Status Date:	12/16/2014
Settlement Amount:	\$0.00



Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.(CURRENTLY KNOWN AS JPMORGAN SECURITIES LLC)

Allegations: CLIENT ALLEGES MISREPRESENTATION REGARDING VARIABLE ANNUITY INVESTMENT. ACTIVITY DATES 10/03/2007-10/03/2007.

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): FIRM HAS MADE A GOOD FAITH DETERMINATION ALLEGED DAMAGES WILL BE GREATER THAN \$5,000.00.

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: 09/21/2014

Complaint Pending? No

Status: Denied

Status Date: 12/16/2014

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement I SPOKE WITH THE CLIENT ON NUMEROUS OCCASIONS PRIOR TO ESTABLISHING HER ACCOUNT AND I EXPLAINED IN DETAIL THE FEATURES OF THE PRODUCT AT ISSUE. THE CLIENT SIGNED AND RETURNED ALL THE PAPERWORK REQUIRED BY CHASE INVESTMENT SERVICES PRIOR TO AUTHORIZING THE TRANSACTION. THIS PAPERWORK FULLY DISCLOSED THE PRODUCT'S TERMS, FEATURES, COSTS AND RISKS. THE CLIENT MADE AN INFORMED DECISION TO PURCHASE THE PRODUCT AND THERE IS NO BASIS FOR HER COMPLAINT.

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES POOR RECOMMENDATION/POOR ADVICE REGARDING VARIABLE ANNUITY INVESTMENT. ACTIVITY DATES 12/13/2006-12/05/2007.

Product Type: Annuity-Variable

Alleged Damages: \$26,663.00



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: 01/03/2012
 Complaint Pending? No
 Status: Denied
 Status Date: 03/02/2012
 Settlement Amount: \$0.00
 Individual Contribution Amount: \$0.00

Reporting Source: Individual
 Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT UPSET ABOUT THE UNREALIZED LOSS ON HIS ACCOUNT. I ESTABLISHED THE ACCOUNT ON HIS BEHALF ON JANUARY 5TH 2007 FOLLOWING ALL CHASE INVESTMENT SERVICES CORPORATION PROTOCOL.

Product Type: Annuity-Variable
 Alleged Damages: \$26,663.00

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: 01/03/2012
 Complaint Pending? No
 Status: Denied
 Status Date: 03/02/2012
 Settlement Amount:
 Individual Contribution Amount:

Broker Statement CLIENT HAS INVESTED IN MUTUAL FUNDS PREVIOUSLY AND IS AWARE OF THEIR POTENTIAL RISKS. THE ALLOCATION IN THE SUBACCOUNTS WERE SELECTED JOINTLY BY CLIENT AND MYSELF. WE SPOKE ON A COUPLE OF OCCASIONS PRIOR TO ME LEAVING IN AUGUST OF 2009 AND WAS SATISFIED WITH ACCOUNT. CLIENT WAS AWARE OF 5 YEAR SURRENDER.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP

Allegations: CLIENT ALLEGES THAT THE SALE OF A VARIABLE ANNUITY AND MANAGED PORODUCT WAS AN UNSUITABLE INVESTMENT.

Product Type: Annuity(ies) - Variable

Other Product Type(s): MMFP ADVISORY/MANAGED

Alleged Damages: \$6,867.43

Customer Complaint Information

Date Complaint Received: 03/05/2007

Complaint Pending? No

Status: Denied

Status Date: 03/27/2007

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES UNSUITABILITY AND FAILURE TO DISCLOSE RISKS AND FEES IN CONNECTION WITH MUTUAL FUND PURCHASE.

Product Type: Mutual Fund(s)

Alleged Damages: \$56,000.00

Customer Complaint Information

Date Complaint Received: 07/13/2005

Complaint Pending? No

Status: Denied

Status Date: 10/04/2005

Settlement Amount:

Individual Contribution Amount:



End of Report

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