



IAPD Report

CARLOS E SISNIEGA

CRD# 2459457

<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

CARLOS E SISNIEGA (CRD# 2459457)

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 **12/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	09/12/2018
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	01/03/2020
IA	GLOBAL ASSETS ADVISORY, LLC	CRD# 300460	01/12/2023

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
B	CETERA ADVISORS LLC	10299	EL PASO, TX	10/03/2016 - 09/14/2018
B	INVESTORS CAPITAL CORP.	30613	EL PASO, TX	04/15/2011 - 10/03/2016
B	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	EL PASO, TX	09/04/2009 - 04/19/2011

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
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 3

Firm Name: **INTERNATIONAL ASSETS ADVISORY, LLC**

Main Address: 111 N. ORANGE AVENUE
SUITE 1000
ORLANDO, FL 32801

Firm ID#: 10645

Regulator	Registration	Status	Date
 FINRA	General Securities Principal	Approved	09/12/2018
 FINRA	General Securities Representative	Approved	09/12/2018
 FINRA	Invest. Co and Variable Contracts	Approved	09/12/2018
 California	Agent	Approved	07/05/2023
 New Mexico	Agent	Approved	09/12/2018
 Texas	Agent	Approved	09/12/2018

Branch Office Locations

INTERNATIONAL ASSETS ADVISORY, LLC

4855 NORTH MESA
#114
EL PASO, TX 79912

Employment 2 of 3

Firm Name: **GLOBAL ASSETS ADVISORY, LLC**

Main Address: 111 N. ORANGE AVENUE
SUITE 1000
ORLANDO, FL 32801

Firm ID#: 300460



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/12/2023

Branch Office Locations

GLOBAL ASSETS ADVISORY, LLC

4855 NORTH MESA

#114

EL PASO, TX 79912

Employment 3 of 3

Firm Name: **INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**

Main Address: 111 NORTH ORANGE AVENUE
SUITE 1000
ORLANDO, FL 32801

Firm ID#: 144426

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/03/2020

Branch Office Locations

INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC

4855 NORTH MESA

#114

EL PASO, TX 79912



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	05/24/2001

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/21/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/24/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/16/2019
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/24/1994

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
B	10/03/2016 - 09/14/2018	CETERA ADVISORS LLC	CRD# 10299	EL PASO, TX
B	04/15/2011 - 10/03/2016	INVESTORS CAPITAL CORP.	CRD# 30613	EL PASO, TX
B	09/04/2009 - 04/19/2011	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	EL PASO, TX
B	06/24/2003 - 09/04/2009	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 3600	EL PASO, TX
B	10/29/2001 - 05/30/2003	IMS SECURITIES, INC.	CRD# 35567	HOUSTON, TX
B	05/25/1994 - 08/31/2001	NYLIFE SECURITIES INC.	CRD# 5167	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
01/2023 - Present	GLOBAL ASSETS ADVISORY, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	EL PASO, TX, United States
09/2018 - Present	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	EL PASO, TX, United States
09/2018 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ORLANDO, FL, United States
10/1993 - Present	Integral Financial Services	REGISTERED REPRESENTATIVE/ INSURANCE AGENT	Y	El Paso, TX, United States
10/2016 - 09/2018	CETERA ADVISORS LLC	REG REP	Y	DENVER, CO, United States
04/2011 - 10/2016	INVESTORS CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	LYNNFIELD, MA, United States



Registration & 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.

- 1) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC - 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS, LLC - ADVISOR SINCE 09/2018 - APPROX 160 HRS/MO - FEE BASED COMPENSATION
- 2) GLOBAL ASSETS ADVISORY, LLC 111 N ORANGE AVE STE 1000 ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS, LLC - ADVISOR SINCE 1/2023 - APPROX 160 HRS/MO - FEE BASED COMPENSATION
- 3) CARLOS SISNIEGA 4855 N. MESA, #114, EL PASO, TX 79912 - LIFE, HEALTH AND DISABILITY INSURANCE SALES AND SERVICE - AGENT SINCE 1993 - APPROX 40 HRS/MO - COMMISSIONS
- 4) INTEGRAL FINANCIAL SERVICES, INC. 4855 N. MESA, #114, EL PASO, TX 79912 - dba FOR FINANCIAL AND INSURANCE BUSINESS - 50% OWNER SINCE 10/2003 - APPROX 160 HRS/MO - COMMISSIONS
- 5) CENTER FOR CHARACTER FORMATION 302 VILLA CANTO, EL PASO, TX 79912 - COMMUNITY SERVICE ORGANIZATION - BOARD MEMBER SINCE 2015 - APPROX 10 HRS/MO - NO COMPENSATION
- 6) HUMAN INDUSTRIES, LLC5666 RIVER RUN, EL PASO, TX 79932 - INTERIOR DESIGN PROJECTS - SILENT PARTNER SINCE 2018 - APPROX 0 HRS/MO - NO COMPENSATION
- 7) TRANSPORTATION SOLUTIONS HOLDING - LOGISTICS FOR COMMERCIAL TRANSPORTATION - BOARD MEMBER SINCE 2018 - NO COMPENSATION
- 8) VIFAC - CD. JUAREZ, MEXICO - SHELTER FOR PREGNANT WOMEN - BOARD MEMBER SINCE 2011 - 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
Termination	1

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:	NEW YORK LIFE INSURANCE CO.
Termination Type:	Discharged
Termination Date:	08/28/2001
Allegations:	WAS TERMINATED FOR INVOLVEMENT IN VIOLATIONS OF THE PROCEDURES OF NEW YORK LIFE INSURANCE COMPANY (THE PARENT OF NEW YORK LIFE SECURITIES, INC.) PERTAINING TO SALES OF LIFE INSURANCE TO NON-RESIDENTS.
Product Type:	Insurance
Other Product Types:	
Broker Statement	AFTER HAVING A HIGH AMOUNT OF DEATH CLAIMS ON NON-US RESIDENTS. NEW YORK LIFE ASSUMED A GROUP OF AGENTS HAD VIOLATED INTERNAL PROCEDURES ON THE SALE OF LIFE INSURANCE TO SUCH PERSONS AND TERMINATED THEIR CONTRACTS, INCLUDING MINE, EFFECTIVE 8/28/01. I FEEL THAT I'VE NEVER VIOLATED ANY INTERNAL, NOR EXTERNAL PROCEDURES IN MY EIGHT YEARS WITH THE COMPANY (NEW YORK LIFE) NEITHER AS AN AGENT NOR AS A MANAGER.



End of Report

This page is intentionally left blank.