



IAPD Report

JAVIER ENRIQUE MARTINEZ SR

CRD# 2540413

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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

JAVIER ENRIQUE MARTINEZ SR (CRD# 2540413)

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 **05/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	02/22/2011
IA	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	08/19/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **47** 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	SUNTRUST INVESTMENT SERVICES, INC.	17499	CORAL GABLES, FL	02/25/2011 - 12/31/2016
IA	WELLS FARGO ADVISORS, LLC	19616	CORAL GABLES, FL	12/05/2003 - 02/23/2011
B	WELLS FARGO ADVISORS, LLC	19616	CORAL GABLES, FL	11/26/2003 - 02/23/2011

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
Customer Dispute	2
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 **47** 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	02/22/2011
B	FINRA	General Securities Sales Supervisor	Approved	02/22/2011
B	Alabama	Agent	Approved	06/17/2024
B	Alaska	Agent	Approved	08/23/2021
B	Arizona	Agent	Approved	05/02/2017
B	Arkansas	Agent	Approved	06/13/2024
B	California	Agent	Approved	05/10/2012
B	Colorado	Agent	Approved	06/13/2024
B	Connecticut	Agent	Approved	06/13/2024
B	Delaware	Agent	Approved	07/01/2024
B	Florida	Agent	Approved	02/25/2011
B	Georgia	Agent	Approved	02/25/2011
B	Idaho	Agent	Approved	06/12/2024



Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	06/13/2024
B	Iowa	Agent	Approved	06/14/2024
B	Kansas	Agent	Approved	06/12/2024
B	Kentucky	Agent	Approved	06/12/2024
B	Louisiana	Agent	Approved	06/14/2024
B	Maine	Agent	Approved	06/13/2024
B	Maryland	Agent	Approved	08/09/2012
B	Michigan	Agent	Approved	06/14/2024
B	Minnesota	Agent	Approved	12/17/2012
B	Mississippi	Agent	Approved	06/19/2024
B	Montana	Agent	Approved	06/12/2024
B	Nebraska	Agent	Approved	06/12/2024
B	Nevada	Agent	Approved	06/12/2024
B	New Hampshire	Agent	Approved	06/19/2024
B	New Jersey	Agent	Approved	06/16/2016
B	New Mexico	Agent	Approved	06/13/2024
B	New York	Agent	Approved	08/03/2012
B	North Carolina	Agent	Approved	08/03/2012
B	North Dakota	Agent	Approved	06/17/2024



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	04/25/2023
B Oklahoma	Agent	Approved	06/13/2024
B Oregon	Agent	Approved	06/14/2024
B Pennsylvania	Agent	Approved	06/13/2024
B Puerto Rico	Agent	Approved	03/26/2012
B Rhode Island	Agent	Approved	06/13/2024
B South Carolina	Agent	Approved	06/13/2024
B South Dakota	Agent	Approved	06/13/2024
B Tennessee	Agent	Approved	07/11/2016
B Texas	Agent	Approved	05/04/2023
B Utah	Agent	Approved	06/14/2024
B Vermont	Agent	Approved	06/12/2024
B Virginia	Agent	Approved	08/06/2012
B Washington	Agent	Approved	04/26/2023
B West Virginia	Agent	Approved	06/18/2024
B Wisconsin	Agent	Approved	05/25/2018
B Wyoming	Agent	Approved	06/18/2024

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.



Qualifications

201 ALHAMBRA CIR
FL 1 & 14
CORAL GABLES, FL 33134

SUNTRUST INVESTMENT SERVICES, INC.
CORAL GABLES, FL

SUNTRUST INVESTMENT SERVICES, INC.
201 ALHAMBRA CIR
FL 14
CORAL GABLES, FL 33134

Employment 2 of 2

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

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

Firm ID#: 283390

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	08/19/2016

Branch Office Locations

TRUIST ADVISORY SERVICES, INC.
201 ALHAMBRA CIR
FL 14
CORAL GABLES, FL 33134



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/04/2008
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/05/2008

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/01/1994

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	12/18/2004
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/10/1994

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	02/25/2011 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	CORAL GABLES, FL
IA	12/05/2003 - 02/23/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	CORAL GABLES, FL
B	11/26/2003 - 02/23/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	CORAL GABLES, FL
IA	08/25/1997 - 11/25/2003	A. G. EDWARDS & SONS, INC.	CRD# 4	CORAL GABLES, FL
B	08/08/1997 - 11/25/2003	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	04/17/1995 - 05/28/1997	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	CRD# 14229	NORTHRIDGE, CA
B	11/02/1994 - 04/17/1995	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
08/2016 - Present	SunTrust Advisory Services	Investment Advisory Representative	Y	Atlanta, GA, United States
02/2011 - Present	SUNTRUST INVESTMENT SERVICES, INC.	PRIVATE FINANCIAL ADVISER	Y	ATLANTA, GA, 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.

ARGENX

POSITION: Ambassador NATURE: Argenx SE is a global immunology company, which engages in improving the lives of people suffering from severe autoimmune diseases. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2026

ADDRESS: Boston MA, United States

DESCRIPTION: My role includes providing education and peer support to patients diagnosed with Chronic Inflammatory Demyelinating Polyneuropathy (CIDP). I engage with patients both one-on-one and in group seminar settings, drawing on my own experience with CIDP to offer practical insight and encouragement.



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
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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC, WACHOVIA SECURITIES, LLC
Allegations:	CLAIMANTS ALLEGE UNAUTHORIZED TRADING IN ETF'S BETWEEN NOVEMBER 2005 THROUGH FEBRUARY 2011 AGAINST FA. CLAIMANTS SEEK UNSPECIFIED DAMAGES, BUT ARE BELIEVED TO BE IN EXCESS OF \$1,000,000.00.
Product Type:	Other: EXCHANGE TRADED FUNDS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS SEEK UNSPECIFIED DAMAGES, BUT ARE BELIEVED TO BE IN EXCESS OF \$1,000,000.00.

Customer Complaint Information

Date Complaint Received: 03/26/2012

Complaint Pending?

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-00970
Date Notice/Process Served:	03/26/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/30/2013
Monetary Compensation Amount:	\$375,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER FOR \$375,000.00 TO AVOID THE EXPENSE AND UNCERTAINTY OF FURTHER ARBITRATION AND LITIGATION.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC WACHOVIA SECURITIES, LLC
Allegations:	CLAIMANTS ALLEGE UNAUTHORIZED TRADING IN ETF'S BETWEEN NOVEMBER 2005 THROUGH FEBRUARY 2011 AGAINST FA. CLAIMANTS SEEK UNSPECIFIED DAMAGES, BUT ARE BELIEVED TO BE IN EXCESS OF \$1,000,000.00.
Product Type:	Other: EXCHANGE TRADED FUNDS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS SEEK UNSPECIFIED DAMAGES, BUT ARE BELIEVED TO BE IN EXCESS OF \$1,000, 000.00

Customer Complaint Information

Date Complaint Received:	03/26/2012
Complaint Pending?	
Settlement Amount:	

Individual Contribution Amount:	
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Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-00970
Date Notice/Process Served:	03/26/2012
Arbitration Pending?	No
Disposition:	Settled



Disposition Date: 12/30/2013

Monetary Compensation Amount: \$375,000.00

Individual Contribution Amount: \$0.00

Broker Statement CLIENTS WERE AWARE OF TRANSACTIONS AND UNDERSTOOD THE RISK INVOLVED. TRANSACTIONS/LOSSES TOOK PLACE BETWEEN AUG 2008 AND FEBRUARY 2009 DURING MKT DOWNTURN. TRANSACTIONS WERE WITHIN CLIENTS PROFILE REGARDING OBJECTIVE/RISK/NETWORTH/LIQUID NETWORTH. FIRM DECIDED TO SETTLE WITHOUT CONSULTING ME AND I WAS NOT ASKED TO CONTRIBUTE/PARTICIPATE IN ANY AMOUNT OF THE SETTLEMENT. AS STATED ABOVE, THE CLIENT UNDERSTOOD THE RISK AND ALL INVESTMENTS WERE MADE WITH THEIR CONSENT WITHIN THEIR INVESTMENT PROFILE/OBJECTIVES/NET WORTH.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: ATTORNEY NOW CLAIMS THAT DAUGHTER OF CLIENT SPOKE WITH FA AND ASKED ABOUT CANCELLING CONTRACT WITHIN 10-DAY FREE LOOK PERIOD, AND WAS NOT GIVEN OPTION TO FREE LOOK THE CONTRACT.

Product Type: Annuity-Variable

Alleged Damages: \$17,500.00

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: 12/14/2007

Complaint Pending? No

Status: Settled

Status Date: 01/03/2008

Settlement Amount: \$17,500.00

Individual Contribution Amount: \$17,500.00

Broker Statement ON VERBAL CLAIM, HARTFORD ALLOWED CLIENT TO 10-DAY FREE LOOK CONTRACT. FA STATES: MET WITH THE DAUGHTER OF THE CLIENT 12 DAYS AFTER THE ISSUANCE OF THE CONTRACT BY HARTFORD. I WAS UNAWARE THAT HARTFORD ALLOWS A TOTAL OF 15 DAYS TO EXERCISE THE FREE LOOK OPTION.



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:	GREAT WESTERN FINANCIAL SECURITIES CORPORATION
Termination Type:	Permitted to Resign
Termination Date:	05/12/1997
Allegations:	ALLEGED VIOLATION OF COMPANY POLICY REGARDING CHANGE OF INVESTMENTS
Product Type:	No Product
Broker Statement	TERMINATION CLIENTS LIQUIDATED THEIR PROPRIETARY FUNDS DIRECTLY WITH SIERRA & BROUGHT IN THE PROCEEDS FOR A NEW INVESTMENT. THIS WAS DONE ON A NON-SOLICITED BASIS. ACCORDING TO GREAT WESTERN IT FELL UNDER THEIR CHARGE OF INVESTMENT POLICY



End of Report

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