



## IAPD Report

# JOSEPH A MEDINA

CRD# 2793924

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
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

### JOSEPH A MEDINA (CRD# 2793924)

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 **12/04/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	INFINITY FINANCIAL SERVICES	CRD# 144302	12/08/2022
<b>IA</b>	INFINITY FINANCIAL SERVICES ADVISORY	CRD# 304981	04/11/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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>B</b>	NEWBRIDGE SECURITIES CORPORATION	104065	NEW YORK, NY	02/06/2020 - 11/11/2022
<b>IA</b>	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	130814	NEW YORK, NY	04/24/2020 - 12/07/2021
<b>B</b>	CETERA ADVISORS LLC	10299	NEW YORK, NY	04/16/2012 - 02/07/2020

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

### Employment 1 of 2

Firm Name: **INFINITY FINANCIAL SERVICES**  
Main Address: 212 9TH STREET  
SUITE 202  
OAKLAND, CA 94607  
Firm ID#: 144302

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/08/2022
B	Florida	Agent	Approved	01/03/2023
B	Georgia	Agent	Approved	12/08/2022
B	New Jersey	Agent	Approved	01/29/2024
B	New York	Agent	Approved	12/08/2022
B	Texas	Agent	Approved	12/08/2022
B	Vermont	Agent	Approved	07/10/2025

### Branch Office Locations

**INFINITY FINANCIAL SERVICES**  
445 Park Ave  
Floor 9, STE 949  
New York, NY 10022

**INFINITY FINANCIAL SERVICES**  
Business Park, 20 Commerce Dr  
Suite 135  
Cranford, NJ 07016

### Employment 2 of 2

Firm Name: **INFINITY FINANCIAL SERVICES ADVISORY**  
Main Address: 212 9TH STREET  
SUITE 202  
OAKLAND, CA 94607  
Firm ID#: 304981



## Qualifications

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	06/25/2025
IA New York	Investment Adviser Representative	Approved	04/11/2023

## Branch Office Locations

### INFINITY FINANCIAL SERVICES ADVISORY

445 Park Ave  
Floor 9  
New York, NY 10022

### INFINITY FINANCIAL SERVICES ADVISORY

Business Park, 20 Commerce Dr  
Suite 135  
Cranford, NJ 07016



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

#### Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	02/04/1998

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	04/11/2023
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	09/08/2006
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	10/24/1996



### 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	02/06/2020 - 11/11/2022	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	NEW YORK, NY
IA	04/24/2020 - 12/07/2021	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	CRD# 130814	NEW YORK, NY
B	04/16/2012 - 02/07/2020	CETERA ADVISORS LLC	CRD# 10299	NEW YORK, NY
IA	04/16/2012 - 02/07/2020	CETERA ADVISORS LLC	CRD# 10299	NEW YORK, NY
IA	01/26/2011 - 04/20/2012	GILFORD FINANCIAL CORP.	CRD# 126593	NEW YORK, NY
B	01/26/2011 - 04/20/2012	GILFORD SECURITIES INCORPORATED	CRD# 8076	NEW YORK, NY
IA	06/14/2006 - 01/10/2011	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
B	06/08/2006 - 01/10/2011	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
B	06/21/2005 - 06/01/2006	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
IA	07/25/2002 - 10/23/2003	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	04/05/2002 - 10/23/2003	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	01/26/1999 - 01/23/2002	DREYFUS SERVICE CORPORATION	CRD# 231	NEW YORK, NY
B	09/22/1998 - 11/20/1998	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	03/13/1998 - 09/21/1998	THE J.B. SUTTON GROUP, LLC	CRD# 16191	MELVILLE, NY
B	02/05/1998 - 04/06/1998	GAINES, BERLAND INC.	CRD# 14623	BETHPAGE, NY



## Registration & Employment History

### 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
12/2022 - Present	INFINITY FINANCIAL SERVICES	FINANCIAL PROFESSIONAL	Y	OAKLAND, CA, United States
12/2022 - Present	INFINITY FINANCIAL SERVICES ADVISORY	FINANCIAL ADVISOR	Y	OAKLAND, CA, United States
02/2020 - 11/2022	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2013 - 02/2020	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE/IA R	Y	EL SEGUNDO, CA, 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.

1. DBA: MEDINA PRIVATE WEALTH MANAGEMENT, INVESTMENT RELATED, ADDRESS SAME AS REGISTERED BRANCH, START SEPTEMBER 2013, SECURITIES AND INVESTMENT ADVISORY SERVICES, 40 HOURS PER WEEK - DURING TRADING HOURS, FINANCIAL ADVISOR.
2. DBA: MEDINA PRIVATE INSURANCE, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, START DATE: 2016, INSURANCE SALES VIA S-CORP, INDEPENDENT INSURANCE AGENT, APX NUMBER OF HOURS PER WEEK: VARIES, APX NUMBER OF HOURS DURING TRADING HOURS: VARIES, SELLS LIFE
3. S-Corp EAT DRINK AND MOVE MONEY; INVESTMENT RELATED; ADDRESS IS THE REGISTERED LOCATION; Used for tax purposes only; START 10/2013; 40 HOURS/WEEK DURING TRADING HOURS; PRESIDENT
4. NAME OF OTHER BUSINESS: Charles Rutenberg; INVESTMENT RELATED: NO; ADDRESS: 445 PARK AVE FLOOR 9, NEW YORK, NY 10022; NATURE OF BUSINESS: REAL ESTATE SALES; START DATE: 11/2018; POSITION/TITLE/RELATIONSHIP: REAL ESTATE AGENT; APX NUMBER OF HOURS PER WEEK: 5; APX NUMBER OF HOURS DURING TRADING HOURS: 5; BRIEF DESCRIPTION OF DUTIES: COMMERCIAL AND RESIDENTIAL REAL ESTATE SALES
5. LEGAL SHIELD LOCATED AT 445 PARK AVE FLR9, NY NY 10022. NOT INVESTMENT RELATED. START DATE: 05/01/2023, POSITION: SALESMAN, SELL LEGAL SUBSCRIPTION PLANS WHICH ARE CANCELABLE AT ANY TIME, APPROXIMATELY 1-2 HOURS MONTHLY, WITH NONE DURING SECURITIES TRADING HOURS.
6. JOSEPH MEDINA PUBLIC NOTARY, 445 PARK AVE, FLOOR 9, NEW YORK, NY 10022, NOT INVESTMENT RELATED, NATURE OF BUSINESS: PROVIDE PUBLIC NOTARY SERVICES FOR VERIFYING SIGNATURES, POSITION TITLE: INDEPENDENT PUBLIC NOTARY, START DATE: 12/2024, HOURS: 5 HOURS PER WEEK, OCCUR DURING BUSINESS HOURS: YES
7. MOMMY'S BAR, NOT INVESTMENT RELATED, 323 GRAHAM AVE, BROOKLYN NY 11211, NATURE OF BUSINESS: BAR, RELATIONSHIP: LIMITED PARTNER, START DATE: 05/28/2025, HOURS: 1-2 HOURS PER MONTH, NOT DURING SECURITIES TRADING HOURS
8. THE MALLARD DRAKE, NOT INVESTMENT RELATED, 43 FRANKLIN AVE BROOKLYN, NY 11222, NATURE OF BUSINESS: BAR, RELATIONSHIP: LIMITED PARTNER, START DATE: 05/28/2025, HOURS: 1-2 HOURS PER MONTH, NOT DURING SECURITIES TRADING HOURS
9. THE LESS DEAD, NOT INVESTMENT RELATED, 949 GRAND ST, BROOKLYN NY 11211, NATURE OF BUSINESS: BAR, RELATIONSHIP: LIMITED PARTNER, START DATE: 05/28/2025, HOURS: 1-2 HOURS PER MONTH, NOT DURING SECURITIES TRADING HOURS





## 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	1
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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Cetera Advisors LLC
<b>Allegations:</b>	Unsuitable investments.
<b>Product Type:</b>	Annuity-Variable Direct Investment-DPP & LP Interests
<b>Alleged Damages:</b>	\$53,060.86
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/01/2020
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	02/05/2021
<b>Settlement Amount:</b>	\$19,000.00
<b>Individual Contribution Amount:</b>	\$0.00



**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CETERA ADVISORS LLC

**Allegations:** UNSUITABLE INVESTMENTS

**Product Type:** Annuity-Variable  
Direct Investment-DPP & LP Interests

**Alleged Damages:** \$53,060.86

**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:** 05/01/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/05/2021

**Settlement Amount:** \$19,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** "To the best of my knowledge this complaint was initially addressed to my Broker Dealer in 2017 and was denied by them in its entirety. To reiterate I also deny it in its entirety. "



## 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:** Firm  
**Firm Name:** CHASE INVESTMENT SERVICES CORP  
**Termination Type:** Discharged  
**Termination Date:** 01/03/2011  
**Allegations:** LOSS OF CONFIDENCE. MULTIPLE CUSTOMER COMPLAINTS.  
**Product Type:** No Product

.....

**Reporting Source:** Individual  
**Firm Name:** JP MORGAN CHASE  
**Termination Type:** Discharged  
**Termination Date:** 01/03/2011  
**Allegations:** LOSS OF CONFIDENCE. MULTIPLE CUSTOMER COMPLAINTS  
**Product Type:** Other: WRAP ACCOUNT

**Broker Statement** I DISPUTE THE CHARACTERIZATION OF MY FORMER FIRM THAT I HAVE HAD "MULTIPLE" COMPLAINTS. I AM AWARE OF ONLY TWO COMPLAINTS WHILE AT CHASE. ONE WAS RESOLVED WHILE I WAS AT CHASE. THE SECOND COMPLAINT AROSE AFTER I LEFT MY FORMER FIRM AND WAS FROM AN ACCOUNT THAT ONCE WAS MINE BUT HAD BEEN RE-ASSIGNED TO ANOTHER REPRESENTATIVE.



## End of Report

This page is intentionally left blank.