



## IAPD Report

# NUSHEEN RENA JAVADIZADEH

CRD# 2923770

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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

### NUSHEEN RENA JAVADIZADEH (CRD# 2923770)

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 **09/20/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	RJJ PASADENA SECURITIES, INC.	CRD# 8425	05/17/2005

### QUALIFICATIONS

This representative is currently registered in **0** 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	RJJ PASADENA SECURITIES, INC.	8425	SOUTH PASADENA, CA	09/10/1999 - 08/31/2021
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	ST. LOUIS, MO	12/10/1997 - 09/03/1999

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	2
Customer Dispute	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 **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **RJJ PASADENA SECURITIES, INC.**

Main Address: 2520 ST. ROSE PARKWAY  
SUITE 312  
HENDERSON, NV 89074

Firm ID#: 8425

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	05/17/2005
	Nevada	Investment Adviser Representative	Approved	03/21/2019
	Texas	Investment Adviser Representative	Restricted Approval	09/20/2024

### Branch Office Locations

**RJJ PASADENA SECURITIES, INC.**

2520 ST. ROSE PARKWAY  
SUITE 312  
HENDERSON, NV 89074







## 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 4 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	Compliance Officer Examination (S14)	Series 14	02/16/2024
	General Securities Principal Examination (S24)	Series 24	02/16/2024
	Municipal Securities Principal Examination (S53)	Series 53	02/16/2024
	Registered Options Principal Examination (S4)	Series 4	02/16/2024

#### General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	02/16/2024
	Operations Professional Examination (S99TO)	Series 99TO	02/16/2024
	Securities Trader Exam (S57TO)	Series 57TO	02/16/2024
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Limited Representative-Equity Trader Exam (S55)	Series 55	02/10/2003
	General Securities Representative Examination (S7)	Series 7	12/08/1997

#### State Securities Law Exams


	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	09/16/2002



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/12/1997

### 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	09/10/1999 - 08/31/2021	RJJ PASADENA SECURITIES, INC.	CRD# 8425	SOUTH PASADENA, CA
B	12/10/1997 - 09/03/1999	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	ST. LOUIS, MO

### 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
08/1999 - Present	RJJ PASADENA SECURITIES, INC.	PRINCIPAL/COMPLIANCE OFFICER	Y	PASADENA, 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.

No information reported.



## 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
Regulatory Event	2
Customer Dispute	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 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	VIRGINIA - DIVISION OF SECURITIES
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	COST OF INVESTIGATION
<b>Date Initiated:</b>	08/18/2008
<b>Docket/Case Number:</b>	SEC-2008-00039
<b>Employing firm when activity occurred which led to the regulatory action:</b>	NONE
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	THE DIVISION OF SECURITIES & RETAIL FRANCHISING ALLEGED THAT THE DEFENDANT, NUSHEEN R. JAVADIZADEH VIOLATED SECTION 13.1-504 A (I) OF THE VIRGINIA SECURITIES ACT BY EXECUTING SECURITIES TRANSACTIONS FOR VIRGINIA RESIDENTS WITHOUT BEING REGISTERED.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 08/18/2008

**Sanctions Ordered:** Monetary/Fine \$3,000.00

**Other Sanctions Ordered:** DEFENDANT AGREED TO PAY THE COST OF THE INVESTIGATION IN THE AMOUNT OF \$375.00.

**Sanction Details:** DEFENDANT TO PAY \$3,000.00 FINE AND \$375.00 FOR COST OF INVESTIGATION.

**Regulator Statement** THE INVESTIGATIVE MATTER INVOLVED DEFENDANT, NUSHEEN R. JAVADIZADEH AND THREE OTHER PERSONS; ONE OF WHICH WAS THE DEFENDANT'S ASSOCIATED FIRM, RJJ PASADENA SECURITIES, INC. DEFENDANT, NUSHEEN R. JAVADIZADEH ADMITTED TO THE VIOLATION. A COLLABORATIVE SETTLEMENT WAS ENTERED WHERE EACH DEFENDANT IN THIS INVESTIGATIVE MATTER PAID PENALTIES IN THE AMOUNT OF \$3,000.00 AND INVESTIGATIVE COSTS IN THE AMOUNT OF \$375.00. TOTAL PAYMENT RECEIVED FOR THE SANCTIONS WAS \$13,500, WHICH WAS PAID BY RJJ PASADENA SECURITIES, INC. FOR MORE INFORMATION CONTACT KEVIN FURR OR GARLAND SHARP AT 804-371-9051.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** VIRGINIA-DIVISION OF SECURITIES

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:** COST OF INVESTIGATION

**Date Initiated:** 08/18/2008

**Docket/Case Number:** SEC-2008-00039

**Employing firm when activity occurred which led to the regulatory action:** RJJ PASADENA SECURITIES INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** THE DIVISION OF SECURITIES AND RETAIL FRANCHISING ALLEGED THAT THE DEFENDENT VIOLATED SECTION 13.1-504 A (1) OF THE VIRGINIA SECURITIES ACT BY EXECUTING SECURITIES TRANSACTION FOR VIRGINIA RESIDENTS WITHOUT BEING REGISTERED

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 08/18/2008

**Sanctions Ordered:** Monetary/Fine \$3,000.00

**Other Sanctions Ordered:** DEFENDENT AGREED TO PAY THE COST OF THE INVESTIGATION IN THE AMOUNT OF \$375.00



**Sanction Details:** DEFENDENT TO PAY \$3,000 FINE AND \$375 FOR OF INVESTIGATION

**Broker Statement** WE HAD A CLIENT THAT MOVED FROM CA TO VA AND WE WERE UNDER THE ASSUMPTION THAT THE STATE HAD A DI MINIMUS EXEMPTION SINCE WE HAD JUST ONE CLIENT IN VA. WE FOUND THIS NOT TO BE THE CAE. VA DOES NOT HAVE A DI MINIMUS EXEMPTION

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** ILLINOIS

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** N/A

**Date Initiated:** 04/15/2008

**Docket/Case Number:** 0800066

**Employing firm when activity occurred which led to the regulatory action:** RJJ PASADENA SECURITIES INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** RESPONDENT'S PENDING APPLICATION FOR REGISTRATION AS A SLAESPERSIN IN THE STATE OF ILLINOIS IS SUBJECT TO DENIAL PURSUANT TO SECTIONS 12.A., 12.C. AND 8.E(1)(G) OF THE ILLINOIS SECURITIES LAW.

**Current Status:** Final

**Resolution:** Order

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 05/13/2008

**Sanctions Ordered:** Monetary/Fine \$1,500.00

**Other Sanctions Ordered:**

**Sanction Details:** CONSENT ORDER OF FINE

**Regulator Statement** CONSENT ORDER OF FINE WAS ISSUED ON MAY 13, 2008. IF YOU HAVE ANY QUESTIONS PLEASE CONTACT DAN TUNICK AT 312-793-3380

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** ILLINOIS

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** N/A



<b>Date Initiated:</b>	04/15/2008
<b>Docket/Case Number:</b>	0800066
<b>Employing firm when activity occurred which led to the regulatory action:</b>	RJJ PASADENA SECURITIES, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	RESPONDENT'S PENDING APPLICATION FOR REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO DENIAL PURSUANT TO SECTIONS 12.A., 12. C. AND 8.E (1) (G) OF THE ILLINOIS SECURITIES LAW
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	05/13/2008
<b>Sanctions Ordered:</b>	Monetary/Fine \$1,500.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	CONSENT ORDER OF FINE
<b>Broker Statement</b>	WE SIMPLY DID NOT REALIZE THAT WE HAD TO REGISTER. WE THOUGHT WE FELL UNDER A DE MINIMUS EXCEMPTION SINCE WE ONLY HAVE 3 CLIENTS IN THE STATE.



## 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>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	RJJ PASADENA SECURITIES, INC
<b>Allegations:</b>	CUSTOMER OPENED ACCOUNT ON 6/11/09 AND TRANSFERRED OUT THE ACCOUNT ON 2/28/12. HE ALLEGES HE WAS A NOVICE INVESTOR AND DIDN'T UNDERSTAND OPTIONS AND CLAIMS HE LOST MONEY.
<b>Product Type:</b>	Options
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	THE CUSTOMER ALLEGES THAT HE LOST MONEY BUT HIS OWN CALCULATION SHOWS A NET OVERALL PROFIT OF \$11,663
<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>	06/17/2013
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	08/02/2013
<b>Settlement Amount:</b>	\$29,368.00
<b>Individual Contribution Amount:</b>	\$29,368.00

<b>Broker Statement</b>	CLIENT STARTED WITH \$500K. THIS WAS A FEE BASED MANAGED ACCOUNT. HE TOOK OUT MORE THAN 20% PER YEAR AND WAS SURPRISED WHY HIS ACCOUNT WAS DEPLETED. HIS OWN CALCULATION SHOWS A TOTAL NET GAIN OF \$11,663. AS A GESTURE OF GOOD FAITH WE HAVE OFFERED TO RETURN HIS FEES WHICH WOULD MAKE HIS TOTAL PROFIT IN EXCESS OF \$30,000. WE ARE SETTLEMENT TALKS. SETTLED FOR A RETURN OF FEES PLUS \$10,000 OF GOODWILL.
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## End of Report

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