IAPD Report

JAVIER F REYES COLON

CRD# 3014365

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 F REYES COLON (CRD# 3014365)

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 **04/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ARKADIOS WEALTH ADVISORS	CRD# 288863	10/08/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	ARKADIOS CAPITAL	282710	San Juan, PR	10/05/2018 - 12/31/2023
IA	HARBOR LIGHT INVESTMENT ADVISORS, LLC	154599	San Juan, PR	09/20/2017 - 06/11/2019
B	ASCENDANT ALTERNATIVE STRATEGIES, LLC	283881	WHITE PLAINS, NY	11/02/2017 - 11/02/2018

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
Financial	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ARKADIOS WEALTH ADVISORS**

Main Address: 2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305

Firm ID#: 288863

	Regulator	Registration	Status	Date
IA	Puerto Rico	Investment Adviser Representative	Approved	10/26/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	10/08/2018

Branch Office Locations

ARKADIOS WEALTH ADVISORS
322 De Diego Suite 202
San Juan, PR 00920

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, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	06/15/2009
B	General Securities Principal Examination (S24)	Series 24	06/03/2008

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/20/2003
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/26/1998

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/24/1999

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	10/05/2018 - 12/31/2023	ARKADIOS CAPITAL	CRD# 282710	San Juan, PR
IA	09/20/2017 - 06/11/2019	HARBOR LIGHT INVESTMENT ADVISORS, LLC	CRD# 154599	San Juan, PR
B	11/02/2017 - 11/02/2018	ASCENDANT ALTERNATIVE STRATEGIES, LLC	CRD# 283881	WHITE PLAINS, NY
IA	01/22/2016 - 10/09/2017	PARITER WEALTH MANAGEMENT GROUP LLC	CRD# 146622	GUAYNABO, PR
B	10/21/2008 - 10/09/2017	PARITER SECURITIES, LLC	CRD# 127836	GUAYNABO, PR
IA	01/15/2015 - 12/31/2015	PARITER WEALTH MANAGEMENT GROUP LLC	CRD# 146622	GUAYNABO, PR
IA	08/13/2009 - 12/31/2014	PARITER WEALTH MANAGEMENT GROUP LLC	CRD# 146622	GUAYNABO, PR
B	03/02/2001 - 09/02/2009	SIGNATOR INVESTORS, INC.	CRD# 468	GUAYNABO, PR
B	10/05/1998 - 02/14/2001	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	03/02/1998 - 10/13/1998	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN

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
10/2018 - Present	ARKADIOS WEALTH ADVISORS	Investment Advisor Representative	Y	Atlanta, GA, United States
10/2018 - Present	Arkadios Capital	Registered Representative	Y	Atlanta, GA, United States
09/2017 - 06/2019	HARBOR LIGHT INVESTMENT ADVISORS, LLC	Financial Advisor	Y	San Juan, PR, United States
11/2017 - 10/2018	ASCENDANT ALTERNATIVE STRATEGIES, LLC	REFISTERED REPRESENTATIVE	Y	New York, NY, United States
10/2008 - 10/2017	PARITER SECURITIES, LLC	REFISTERED REPRESENTATIVE	Y	Guaynabo, PR, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location

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. Mass Mutual, 25 Ave Ponce De Leon, Suite 1400, San Juan PR 00917, Investment related, Commission, Nature of business: Life an annuity, Title: agent, Started 11/17, 20hrs/month about 10hrs/month is during securities trading hrs, Duties: Estate planning, IRA business, annuity business.
2. Universal Life Insurance, 33 Calle Bolivia, San Juan PR 00930 Investment related, Commission, Nature of business: Life an annuity, Title: agent, Started 11/17, 20hrs/month about 10hrs/month is during securities trading hrs, Duties: Estate planning, IRA business, annuity business.
3. Select Wealth Advisors, 322 De Deigo Ave, Suite 202, San Juan, PR 00920, Investment related, DBA for advisory business, CEO started April 2018, devote 5 hours per month 0 hours per month during securities trading hours, Duties: Advisory business.
4. Smart Insurance, Non-Investment related, San Juan PR 00911, Life Insurance Agent started 1/2/2020, 10 hours/month outside of securities trading hours.
5. SWA Consulting LLC, Investment related, San Juan PR 00911, Nature of Business: Consultant, President started 10/1/2020, 40 hours/month outside of securities trading hours. Business Development, due diligence,
research and analysis.

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
Financial	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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ARKADIOS WEALTH ADVISORS
Allegations:	Client since 2009 alleges unsuitable Insurance Product
Product Type:	Insurance
Alleged Damages:	$15,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	24-00002
Date Notice/Process Served:	01/08/2024
Arbitration Pending?	No
Disposition:	Dismissed
Disposition Date:	03/21/2025

Civil Litigation Information

Type of Court:	Federal Court
Name of Court:	United States District Court of Puerto Rico

Location of Court:	Puerto Rico
Docket/Case #:	25-cv-1098 ADC
Date Notice/Process Served:	03/03/2025
Litigation Pending?	Yes

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	08/01/2016
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	08/01/2016
If a compromise with creditor, provide:	
Name of Creditor:	Select Portfolio Servicing
Original Amount Owed:	$963,000.00
Terms Reached with Creditor:	Short sale of $405,000.00
Broker Statement	Delay in updating disclosures due to Hurricane Maria hitting Puerto Rico

End of Report

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