



IAPD Report

RODRIGO ALCAZAS JABALI

CRD# 3142075

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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

RODRIGO ALCAZAS JABALI (CRD# 3142075)

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 **01/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	02/20/2024
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	04/29/2024

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and 10 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	XP ADVISORY US, INC.	173779	MIAMI, FL	10/12/2017 - 08/30/2023
B	XP INVESTMENTS US, LLC	156691	MIAMI, FL	05/13/2014 - 08/30/2023
IA	XP ADVISORS, INC	173779	MIAMI, FL	04/10/2015 - 12/31/2016

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	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 **10** jurisdiction(s) and 10 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Address: 1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086

Firm ID#: 8174

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	02/20/2024
B	BOX Exchange LLC	General Securities Representative	Approved	02/20/2024
B	Cboe Exchange, Inc.	General Securities Principal	Approved	02/20/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/20/2024
B	FINRA	General Securities Principal	Approved	02/20/2024
B	FINRA	General Securities Representative	Approved	02/20/2024
B	NYSE American LLC	General Securities Principal	Approved	02/20/2024
B	NYSE American LLC	General Securities Representative	Approved	02/20/2024
B	NYSE Arca, Inc.	General Securities Principal	Approved	02/20/2024
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/20/2024
B	NYSE Texas, Inc.	General Securities Principal	Approved	02/20/2024
B	NYSE Texas, Inc.	General Securities Representative	Approved	02/20/2024
B	Nasdaq ISE, LLC	General Securities Principal	Approved	02/20/2024



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Representative	Approved	02/20/2024
B	Nasdaq PHLX LLC	General Securities Principal	Approved	02/20/2024
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/20/2024
B	Nasdaq Stock Market	General Securities Principal	Approved	02/20/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	02/20/2024
B	New York Stock Exchange	General Securities Principal	Approved	02/20/2024
B	New York Stock Exchange	General Securities Representative	Approved	02/20/2024
B	California	Agent	Approved	01/07/2026
B	Delaware	Agent	Approved	02/13/2025
B	Florida	Agent	Approved	04/29/2024
IA	Florida	Investment Adviser Representative	Approved	04/29/2024
B	Georgia	Agent	Approved	01/06/2026
B	Maryland	Agent	Approved	09/20/2024
B	Massachusetts	Agent	Approved	02/21/2024
B	Missouri	Agent	Approved	01/05/2026
B	New Jersey	Agent	Approved	05/02/2024
B	New York	Agent	Approved	10/21/2025
B	Virginia	Agent	Approved	05/02/2024

Branch Office Locations



Qualifications

UBS FINANCIAL SERVICES INC.

100 SE 2ND STREET

27TH FLOOR

MIAMI, FL 33131



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
B	General Securities Principal Examination (S24)	Series 24	06/06/2012

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	06/21/2011
B	General Securities Representative Examination (S7)	Series 7	04/20/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/13/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/25/2001



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	10/12/2017 - 08/30/2023	XP ADVISORY US, INC.	CRD# 173779	MIAMI, FL
B	05/13/2014 - 08/30/2023	XP INVESTMENTS US, LLC	CRD# 156691	MIAMI, FL
IA	04/10/2015 - 12/31/2016	XP ADVISORS, INC	CRD# 173779	MIAMI, FL
B	12/14/2012 - 06/17/2014	GLOBAL INVESTOR SERVICES, L.C.	CRD# 29249	MIAMI, FL
IA	07/29/2013 - 06/13/2014	ALVEO WEALTH MANAGEMENT, LLC	CRD# 166898	MIAMI, FL
B	01/05/2009 - 12/12/2012	TRADEWIRE SECURITIES LLC	CRD# 142348	CORAL GABLES, FL
B	11/02/2006 - 11/19/2008	BULLTICK SECURITIES, LLC	CRD# 132092	MIAMI, FL
B	06/15/2005 - 09/25/2008	BULLTICK, LLC	CRD# 104005	MIAMI, FL
IA	04/25/2000 - 04/21/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	MIAMI, FL
B	04/24/2000 - 04/21/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	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
02/2024 - Present	UBS Financial Services	Financial Advisor	Y	Miami, FL, United States
04/2017 - 02/2024	XP ADVISORS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	MIAMI, FL, United States
05/2014 - 02/2024	XP SECURITIES, LLC	SALES	Y	NEW YORK, NY, United States
10/2014 - 02/2021	XP ADVISORS, INC	PRESIDENT	Y	MIAMI, FL, 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.

Name: 1002 Real Estate Development LLC / Not investment related / address: 7901 Kingspointe Pkwy, Orlando, FL 32819 / nature of business: buy real estate / position-title: partner in LLC, just investor / start date: 03/2021 / 1hr per month.



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	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 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 12/13/2011

Docket/Case Number: 2009015969503

Employing firm when activity occurred which led to the regulatory action: BULLTICK SECURITIES, LLC

Product Type: Other: COLLATERALIZED MORTGAGE OBLIGATIONS

Allegations: NASD RULES 2110, 2150(B): JABALI ACCEPTED TRADING INSTRUCTIONS FROM A THIRD-PARTY FOR CUSTOMER ACCOUNTS WITHOUT OBTAINING WRITTEN AUTHORIZATION FROM THE CUSTOMERS AND APPROVAL OF THE ACCOUNTS AS DISCRETIONARY BY HIS MEMBER FIRM. HIS FIRM'S SOLE BUSINESS ENTAILED EXECUTING SECURITIES TRANSACTIONS ON BEHALF OF LATIN AMERICAN CUSTOMERS REFERRED TO IT BY FOREIGN FINDERS. JABALI RECEIVED DAILY TRADING INSTRUCTIONS FOR THE REFERRED ACCOUNTS OF A NON-REGISTERED FOREIGN FINDER FROM A NON-REGISTERED AFFILIATE OF THE FOREIGN FINDER. HE ALSO ACCEPTED TRADE ORDERS FROM A PURPORTED CONSULTANT WITH THE NON-REGISTERED AFFILIATE. JABALI, HOWEVER, NEVER OBTAINED WRITTEN TRADING AUTHORIZATION FROM THE FOREIGN FINDER GRANTING PERMISSION TO THE CONSULTANT, AFFILIATE OR ANY OF ITS EMPLOYEES TO PROVIDE TRADING INSTRUCTIONS FOR THE FOREIGN FINDER'S REFERRED ACCOUNTS. MOREOVER, ALTHOUGH HIS FIRM WAS AWARE OF THIS ARRANGEMENT, IT HAD NOT ACCEPTED THE DISCRETIONARY ARRANGEMENTS IN WRITING.



Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	12/13/2011
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 01/04/2012

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, JABALI CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS CENSURED AND FINED \$7,500. FINE PAID IN FULL JANUARY 4, 2012.

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Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 12/13/2011

Docket/Case Number: 2009015969503

Employing firm when activity occurred which led to the regulatory action: BULLTICK SECURITIES LLC

Product Type: Other: COLLATERALIZED MORTGAGE OBLIGATIONS

Allegations: NASD RULES 2110, 2150(B): JABALI ACCEPTED TRADING INSTRUCTIONS FROM A THIRD-PARTY FOR CUSTOMER ACCOUNTS WITHOUT OBTAINING



WRITTEN AUTHORIZATION FROM THE CUSTOMERS AND APPROVAL OF THE ACCOUNTS AS DISCRETIONARY BY HIS MEMBER FIRM. HIS FIRM'S SOLE BUSINESS ENTAILED EXECUTING SECURITIES TRANSACTIONS ON BEHALF OF LATIN AMERICAN CUSTOMERS REFERRED TO IT BY FOREIGN FINDERS. JABALI RECEIVED DAILY TRADING INSTRUCTIONS FOR THE REFERRED ACCOUNTS OF A NON-REGISTERED FOREIGN FINDER FROM A NON-REGISTERED AFFILIATE OF THE FOREIGN FINDER. HE ALSO ACCEPTED TRADE ORDERS FROM A PURPORTED CONSULTANT WITH THE NON-REGISTERED AFFILIATE. JABALI, HOWEVER, NEVER OBTAINED WRITTEN TRADING AUTHORIZATION FROM THE FOREIGN FINDER GRANTING PERMISSION TO THE CONSULTANT, AFFILIATE OR ANY OF ITS EMPLOYEES TO PROVIDE TRADING INSTRUCTIONS FOR THE FOREIGN FINDER'S REFERRED ACCOUNTS. MOREOVER, ALTHOUGH HIS FIRM WAS AWARE OF THE ARRANGEMENT, IT HAD NOT ACCEPTED THE DISCRETIONARY ARRANGEMENTS IN WRITING.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 12/13/2011

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan: PAYMENT OF FULL AMOUNT BY CHECK

Is Payment Plan Current: Yes

Date Paid by individual: 01/04/2012

Was any portion of penalty waived? No

Amount Waived:



End of Report

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