



IAPD Report

JUAN MANUEL DORIA

CRD# 3157084

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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

JUAN MANUEL DORIA (CRD# 3157084)

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 **04/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BOREAL CAPITAL SECURITIES LLC	CRD# 158599	05/17/2018
IA	BOREAL CAPITAL MANAGEMENT LLC	CRD# 112221	06/07/2018

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	UCAP ASSET MANAGEMENT LLC	170846	NEW YORK, NY	11/07/2017 - 06/21/2018
B	UCAP SECURITIES LLC	173643	Miami, FL	03/21/2017 - 05/21/2018
IA	UCAP ASSET MANAGEMENT LLC	170846	Miami, FL	11/07/2017 - 12/31/2017

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
Criminal	1
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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **BOREAL CAPITAL SECURITIES LLC**
Main Address: 1450 BRICKELL AVENUE, SUITE 2900
MIAMI, FL 33131
Firm ID#: 158599

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	05/17/2018
	FINRA	Municipal Securities Representative	Approved	03/11/2019
	FINRA	Municipal Securities Principal	Approved	07/02/2019
	Florida	Agent	Approved	05/17/2018
	New York	Agent	Approved	05/17/2018


Branch Office Locations

1450 Brickell Avenue
Suite 2900
Miami, FL 33131

1450 BRICKELL AVENUE, SUITE 2900
MIAMI, FL 33131

Employment 2 of 2

Firm Name: **BOREAL CAPITAL MANAGEMENT LLC**
Main Address: 1450 BRICKELL AVENUE
SUITE 2900
MIAMI, FL 33131
Firm ID#: 112221

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	06/07/2018



Qualifications

Branch Office Locations

BOREAL CAPITAL MANAGEMENT LLC

1450 BRICKELL AVENUE

SUITE 2900

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 1 state securities law exam.



Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	07/02/2019

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/23/1998

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	12/08/2009

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
IA	11/07/2017 - 06/21/2018	UCAP ASSET MANAGEMENT LLC	CRD# 170846	NEW YORK, NY
B	03/21/2017 - 05/21/2018	UCAP SECURITIES LLC	CRD# 173643	Miami, FL
IA	11/07/2017 - 12/31/2017	UCAP ASSET MANAGEMENT LLC	CRD# 170846	Miami, FL
IA	12/14/2009 - 03/14/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MIAMI, FL
B	05/07/2001 - 03/14/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MIAMI, FL
B	01/01/1999 - 05/05/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
05/2018 - Present	MORA WEALTH MANAGEMENT LLC	INVESTMENT ADVISOR	Y	MIAMI, FL, United States
05/2018 - Present	MORA WM SECURITIES	REGISTERED REPRESENTATIVE	Y	MIAMI, FL, United States
03/2017 - 05/2018	UCAP ASSET MANAGEMENT LLC	INVESTMENT ADVISOR	Y	MIAMI, FL, United States
03/2017 - 05/2018	UCAP SECURITIES LLC	DIRECTOR OF TRADING	Y	MIAMI, FL, United States
07/2011 - 03/2017	BANK OF AMERICA, N.A.	INVESTMENT ASSOCIATE (FP)	Y	MIAMI, FL, United States
04/2001 - 03/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	FINANCIAL ADVISOR	Y	NEW YORK,, NY, 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.

Boreal Capital Management, LLC. (SEC Registered Investment Advisor) Affiliate of Boreal Capital Securities, LLC (FINRA Registered Broker Dealer) located at 1450 Brickell Ave, 29th Floor Miami, FL. 33131. Providing general advisory and investment services to customers.

Mr. Doria will potentially cross referrals from ProviCapital (<https://provicapital.com/>). His compensation will be 15% of revenues generated by these client referrals. He has no personal financial investment in this activity. 1 hour per week he expects to devote to this activity.



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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	DADE COUNTY, FLORIDA SHERRIFF`S OFFICE 93-40327
Charge Date:	11/28/1993
Charge Details:	ARRESTED FOR POSSESSION OF A FORGED ARIZONA DRIVER`S LICENSE, A FELONY.
Felony?	Yes
Current Status:	Final
Status Date:	05/12/1994
Disposition Details:	ON 2-9-94, I ENTERED A PRE-TRIAL INTERVENTION PROGRAM, WHICH I SUCCESSFULLY COMPLETED ON 5-12-94, AND WAS \$300.00 AND HAD TO SERVE COMMUNITY SERVICE.
Broker Statement	I USED THE FAKE LICENSE SO I COULD GET INTO CLUBS WHILE I WAS IN COLLEGE. I HAVE A VALID FLORIDA DRIVER`S LICENSE. I MISTAKENLY TOOK THE WRONG LICENSE FROM MY WALLET WHEN I REALIZED MY MISTAKE BEFORE PRESENTING THE LICENSE TO THE TO THE OFFICER ADN TRIED TO PLACE IT BACK INTO MY WALLET. I WAS FINED \$300.00 AND HAD TO SERVE 8 HOURS OF COMMUNITY SERVICE.



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:	Firm
Employing firm when activities occurred which led to the complaint:	Merrill Lynch, Pierce, Fenner & Smith, Incorporated
Allegations:	The Customer alleges failure to follow instructions in March 2017.
Product Type:	Debt-Corporate
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages are not specified
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:	03/13/2017
Complaint Pending?	No
Status:	Withdrawn
Status Date:	05/10/2017
Settlement Amount:	

Individual Contribution Amount:

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Merrill Lynch
Allegations:	RR did not timely act on an email request to sell a bond. Email was sent on 03/06/2017 for 200,000 of Noble Group 6% perpetual. Client expressed disappointment but did not intended to escalate to a complaint level according to industry standards. Client accordingly officially withdrawn his grievance. Letter 05/10/2017 confirming this from Merrill Lynch to client has been received and archived.
Product Type:	Debt-Corporate
Alleged Damages:	\$18,000.00



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: 03/13/2017

Complaint Pending? No

Status: Withdrawn

Status Date: 05/10/2017

Settlement Amount:

Individual Contribution
Amount:

Arbitration Information

Disposition: Withdrawn

Disposition Date: 05/10/2017



End of Report

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