IAPD Report

Fabrizio Sanchez

CRD# 4146936

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

Fabrizio Sanchez (CRD# 4146936)

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 **06/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FIFTH THIRD SECURITIES, INC.	CRD# 628	08/04/2022
IA	FIFTH THIRD SECURITIES, INC.	CRD# 628	08/05/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	SYNOVUS SECURITIES, INC.	14023	DELRAY BEACH, FL	08/08/2019 - 08/02/2022
IA	SYNOVUS SECURITIES, INC.	14023	DELRAY BEACH, FL	08/08/2019 - 08/02/2022
IA	LPL FINANCIAL LLC	6413	HOLLYWOOD, FL	10/30/2014 - 08/12/2019

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	3
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 **14** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FIFTH THIRD SECURITIES, INC.**

Main Address: 34 FOUNTAIN SQUARE PLAZA
MD 1090XB
CINCINNATI, OH 45263

Firm ID#: 628

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/04/2022
B	Florida	Agent	Approved	08/05/2022
IA	Florida	Investment Adviser Representative	Approved	08/05/2022
B	Georgia	Agent	Approved	09/09/2022
B	Illinois	Agent	Approved	09/09/2022
B	Indiana	Agent	Approved	09/06/2022
B	Kentucky	Agent	Approved	08/30/2024
B	Michigan	Agent	Approved	09/07/2022
B	Nevada	Agent	Approved	09/14/2022
B	New York	Agent	Approved	08/26/2022
B	North Carolina	Agent	Approved	09/07/2022
B	Ohio	Agent	Approved	09/06/2022
B	Oregon	Agent	Approved	07/02/2026

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	09/07/2022
B	Tennessee	Agent	Approved	09/07/2022
B	Texas	Agent	Approved	08/05/2022

Branch Office Locations

FIFTH THIRD SECURITIES, INC.
120 E. PALMETTO PARK ROAD
SUITE 100
BOCA RATON, FL 33432

FIFTH THIRD SECURITIES, INC.
9035 LAFONTANA BLVD
BOCA RATON, FL 33434

FIFTH THIRD SECURITIES, INC.
7028 W Palmetto Park Rd #101
Boca Raton, FL 33433

FIFTH THIRD SECURITIES, INC.
3800 N FEDERAL HWY
LIGHTHOUSE POINT, FL 33064

FIFTH THIRD SECURITIES, INC.
1189 W. LANTANA ROAD
LANTANA, FL 33462

FIFTH THIRD SECURITIES, INC.
4687 HYPOLUXO ROAD
LAKE WORTH, FL 33463

FIFTH THIRD SECURITIES, INC.
16725 Persimmon Blvd
Westlake, FL 33470

FIFTH THIRD SECURITIES, INC.
6261 PGA BLVD
PALM BEACH GARDENS, FL 33418

FIFTH THIRD SECURITIES, INC.
10891 SOUTH JOG ROAD
BOYNTON BEACH, FL 33437

FIFTH THIRD SECURITIES, INC.
6651 LAKE WORTH ROAD
LAKE WORTH, FL 33467

FIFTH THIRD SECURITIES, INC.
600 N CONGRESS
BOYNTON BEACH, FL 33426

FIFTH THIRD SECURITIES, INC.
900 STATE ROAD 7
WELLINGTON, FL 33411

FIFTH THIRD SECURITIES, INC.
5090 W ATLANTIC AVE
DELRAY BEACH, FL 33484

FIFTH THIRD SECURITIES, INC.
8819 Hypoluxo Road
Lake Worth, FL 33467

FIFTH THIRD SECURITIES, INC.
3305 NORTHLAKE BOULEVARD
PALM BEACH GARDENS, FL 33403

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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/09/2000

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/07/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/29/2003

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
B	08/08/2019 - 08/02/2022	SYNOVUS SECURITIES, INC.	CRD# 14023	DELRAY BEACH, FL
IA	08/08/2019 - 08/02/2022	SYNOVUS SECURITIES, INC.	CRD# 14023	DELRAY BEACH, FL
IA	10/30/2014 - 08/12/2019	LPL FINANCIAL LLC	CRD# 6413	HOLLYWOOD, FL
B	10/29/2014 - 08/12/2019	LPL FINANCIAL LLC	CRD# 6413	HOLLYWOOD, FL
IA	11/04/2013 - 10/30/2014	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BOCA RATON, FL
B	10/31/2013 - 10/30/2014	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BOCA RATON, FL
IA	01/10/2013 - 10/29/2013	HSBC SECURITIES (USA) INC.	CRD# 19585	BOCA RATON, FL
B	12/11/2009 - 10/29/2013	HSBC SECURITIES (USA) INC.	CRD# 19585	BOCA RATON, FL
B	01/21/2009 - 10/30/2009	COLONIAL BROKERAGE, INC.	CRD# 111668	BOCA RATON, FL
IA	01/27/2009 - 10/29/2009	COLONIAL ASSET MANAGEMENT INC	CRD# 108950	BOCA RATON, FL
IA	04/11/2007 - 01/16/2009	WAMU INVESTMENTS, INC.	CRD# 599	BOCA RATON, FL
B	04/10/2007 - 01/16/2009	WAMU INVESTMENTS, INC.	CRD# 599	BOCA RATON, FL
IA	11/02/2004 - 04/26/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	BOCA RATON, FL
B	09/05/2003 - 04/26/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	BOCA RATON, FL
B	08/11/2000 - 08/29/2003	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA

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
08/2022 - Present	FIFTH THIRD SECURITIES	Registered Representative	Y	BOCA RATON, FL, United States
08/2022 - Present	Fifth Third Bank	Investment Executive	Y	Boca Raton, FL, United States
07/2021 - Present	SYNOVUS BANK	FINANCIAL ADVISOR	Y	DELRAY BEACH, FL, United States
11/2019 - Present	SYNOVUS BANK	FINANCIAL ADVISOR	Y	DAVIE, FL, United States
11/2019 - Present	SYNOVUS SECURITIES	FINANCIAL ADVISOR	Y	DAVIE, FL, United States
08/2019 - 08/2022	SYNOVUS SECURITIES	FINANCIAL ADVISOR	Y	DAVIE, FL, United States
07/2021 - 07/2021	SYNOVUS SECURITIES INC	FINANCIAL ADVISOR	Y	DELRAY BEACH, FL, United States
08/2019 - 11/2019	SYNOVUS BANK	FINANCIAL CONSULTANT	Y	WELLINGTON, FL, United States
08/2019 - 11/2019	SYNOVUS SECURITIES	FINANCIAL CONSULTANT	Y	WELLINGTON, FL, United States
08/2019 - 08/2019	Synovus Bank	Financial Consultant	Y	Delray Beach, FL, United States
08/2019 - 08/2019	Synovus Securities Inc.	Financial Consultant	Y	Delray Beach, FL, United States
11/2014 - 08/2019	LPL FINANCIAL	FINANCIAL ADVISOR	Y	PEMBROKE PINES, FL, United States
10/2014 - 08/2019	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	PEMBROKE PINES, FL, United States
10/2014 - 08/2019	SPACE COAST CREDIT UNION	REGISTERED REP	Y	PEMBROKE PINES, FL, 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
Customer Dispute	3
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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	CUSTOMER ALLEGED UNSUITABLE VARIABLE ANNUITY INVESTMENT. ACTIVITY PERIOD - 9/18/12 TO 6/24/16.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED BUT BELIEVED TO EXCEED $5,000
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:	06/24/2016
Complaint Pending?	No
Status:	Denied
Status Date:	07/12/2016

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS COMPLAINT WAS MISTAKENLY IDENTIFIES THE REPRESENTATIVE AS BEING THE PERSON WHO SOLD THE INVESTMENT AT ISSUE. TO THE CONTRARY, THE INVESTMENT WAS SOLICITED AND PURCHASED YEARS BEFORE THE REPRESENTATIVE BECAME ASSOCIATED WITH THE ACCOUNT. WHILE THE MATTER IS REQUIRED TO BE REPORTED PURSUANT TO FINRA RULES, REPRESENTATIVE CATEGORICALLY DENIES BEING INVOLVED IN THE SOLICITATION OR SALE OF THE INVESTMENT AT ISSUE.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: CUSTOMER ALLEGED THE FINANCIAL REPRESENTATIVE DID NOT EXPLAIN THERE WOULD BE PENALTIES FOR EARLY WITHDRAWALS FROM AN ANNUITY. ACTIVITY PERIOD - 12/11/15 TO 1/17/18.

Product Type: Annuity-Variable

Alleged Damages: $6,134.92

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: 01/17/2018

Complaint Pending? No

Status: Denied

Status Date: 02/02/2018

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS COMPLAINT WAS PROMPTLY DENIED AND THE INVESTOR INCURRED NO LOSSES.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES, INC.

Allegations: CLIENT ALLEGES THAT THE WM WEST COAST EQUITY FUND (B) PURCHASED ON 5/30/02 WAS MISREPRESENTED AND WAS NOT PROPERLY EXPLAINED.

Product Type:	Mutual Fund(s)
Alleged Damages:	$5,279.17

Customer Complaint Information

Date Complaint Received:	07/19/2002
Complaint Pending?	No
Status:	Denied
Status Date:	08/15/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	BASED UPON OUR INVESTIGATION, IT APPEARS CLIENT WAS FULLY INFORMED AS TO THE DETAILS OF THE PRODUCT PURCHASED. CLIENT'S SIGNED MULTIPLE FORMS ACKNOWLEDGING THEIR UNDERSTANDING, AS WELL AS THEIR RECEIPT OF A PROSPECTUS. PURCHASE OF THE MUTUAL FUND APPEARS SUITABLE BASED UPON FINANCIAL AND SUITABILITY INFORMATION PROVIDED BY CLIENTS.

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:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	10/28/2022
Organization Investment-Related?	No
Type of Court:	Federal Court
Name of Court:	Southern District of Florida
Location of Court:	West Palm Beach, FL
Docket/Case #:	2218365
Action Pending?	No
Disposition:	Discharged
Disposition Date:	04/12/2023

End of Report

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