



IAPD Report

DIEGO ALEJANDRO VELASQUEZ

CRD# 4336308

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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

DIEGO ALEJANDRO VELASQUEZ (CRD# 4336308)

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 **06/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	08/03/2023
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	08/03/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	AMERIPRISE FINANCIAL SERVICES, LLC	6363	CORAL SPRINGS, FL	02/17/2012 - 08/08/2023
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	CORAL SPRINGS, FL	02/17/2012 - 08/08/2023
B	MORGAN STANLEY SMITH BARNEY	149777	PLANTATION, FL	06/01/2009 - 02/27/2012

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



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

Employment 1 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735
Firm ID#: 42046

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/03/2023
B	California	Agent	Approved	08/03/2023
B	Colorado	Agent	Approved	08/03/2023
B	Delaware	Agent	Approved	08/03/2023
B	Florida	Agent	Approved	08/03/2023
B	Georgia	Agent	Approved	08/07/2023
B	Illinois	Agent	Approved	08/08/2023
B	Iowa	Agent	Approved	11/12/2024
B	Maryland	Agent	Approved	08/03/2023
B	Michigan	Agent	Approved	02/24/2026
B	New Jersey	Agent	Approved	08/03/2023
B	New York	Agent	Approved	08/03/2023
B	North Carolina	Agent	Approved	06/11/2026



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	08/03/2023
B Texas	Agent	Approved	08/03/2023
B Virginia	Agent	Approved	08/03/2023

Branch Office Locations

NFP ADVISOR SERVICES, LLC

2900 N University Dr
Suite 40
Coral Springs, FL 33065

NFP ADVISOR SERVICES, LLC

11555 Heron Bay Blvd, suite 200
Coral Springs, FL 33076

Employment 2 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**

Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735

Firm ID#: 283330

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	08/07/2023
IA Texas	Investment Adviser Representative	Restricted Approval	08/03/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC

11555 Heron Bay Blvd
Suite 200
Coral Springs, FL 33076



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	03/14/2002
	General Securities Representative Examination (S7)	Series 7	04/12/2001

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	04/05/2002
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/12/2001

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
B	02/17/2012 - 08/08/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	CORAL SPRINGS, FL
IA	02/17/2012 - 08/08/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	CORAL SPRINGS, FL
B	06/01/2009 - 02/27/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	PLANTATION, FL
IA	06/01/2009 - 02/27/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	PLANTATION, FL
IA	01/06/2009 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	FT. LAUDERDALE, FL
B	12/19/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	FT. LAUDERDALE, FL
IA	07/20/2004 - 12/22/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	CORAL SPRINGS, FL
B	07/08/2004 - 12/22/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	CORAL SPRINGS, FL
IA	02/06/2002 - 07/02/2004	MORGAN STANLEY	CRD# 7556	CORALSPRINGS, FL
B	02/06/2002 - 07/02/2004	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	05/01/2001 - 11/07/2001	J.P. MORGAN SECURITIES INC.	CRD# 18718	NEW YORK, NY
B	04/16/2001 - 05/01/2001	J.P. MORGAN SECURITIES INC.	CRD# 15733	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
08/2023 - Present	Kestra Advisory Services, LLC	Investment Advisor Representative	Y	Coral Springs, FL, United States
08/2023 - Present	Kestra Investment Services, LLC	Registered Representative	Y	Coral Springs, FL, United States
02/2012 - 08/2023	Ameriprise Financial Services, Inc.	Registered Rep	Y	Coral Springs, 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.

Business Name: KESTRA ADVISORY SERVICES POSITION: FINANCIAL PLANNER NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 08/03/2023 ADDRESS: 5707 SW Parkway, Austin TX 78735 DESCRIPTION: RETIREMENT PLANNING

Business Name: D&L VELASQUEZ LLC POSITION: Manager/owner NATURE: Tax/Accounting/CPA INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 02/17/2012 ADDRESS: 11555 Heron Bay Blvd, Suite 200, Coral Springs FL 33076 DESCRIPTION: LLC was created for tax purposes

Business Name: VELASQUEZ WEALTH MANAGMENT POSITION: na NATURE: Registered rep activities through Kestra Investment Services INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 120 START DATE: 08/03/2023 ADDRESS: 11555 Heron Bay Blvd, Suite 200, Coral Springs FL 33076 DESCRIPTION: na

Business Name: RENTAL PROPERTY POSITION: Landlord NATURE: Real Estate INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2020 ADDRESS: 3426 Sans Pereil St, Jacksonville FL 32224 DESCRIPTION: LANDLORD



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

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:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLAIMANT, A RESIDENT OF FLORIDA, ALLEGES BEGINNING IN 2007 MISREPRESENTATIONS WERE MADE REGARDING HER INVESTMENTS. CLAIMANT IS SEEKING DAMAGES OF \$25,000.
Product Type:	Other: WRAP ACCOUNTS
Alleged Damages:	\$25,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-03013
Filing date of arbitration/CFTC reparation or civil litigation:	07/06/2010

Customer Complaint Information

Date Complaint Received:	07/09/2010
Complaint Pending?	No



Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 01/13/2011

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: CLAIMANT, A RESIDENT OF FLORIDA, ALLEGES BEGINNING IN 2007 MISREPRESENTATIONS WERE MADE REGARDING HER INVESTMENTS. CLAIMANT IS SEEKING DAMAGES OF \$25,000.

Product Type: Other: WRAP ACCOUNTS

Alleged Damages: \$25,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-03013

Filing date of arbitration/CFTC reparation or civil litigation: 07/06/2010

Customer Complaint Information

Date Complaint Received: 07/09/2010

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 01/13/2011

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: FLORIDA RESIDENT CLAIMANTS, ALLEGE BETWEEN 2002 AND 2009 FOUR FA'S MISREPRESENTED THE NATURE OF RECOMMENDED INVESTMENTS. FURTHER, CLAIMANTS ALLEGE THOSE INVESTMENTS WERE UNSUITABLE. CLAIMANTS ARE REQUESTING COMPENSATORY DAMAGES IN THE



AMOUNT OF \$50,000.

Product Type: Other: MISCELLANEOUS

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 09-05940

Filing date of arbitration/CFTC reparation or civil litigation: 10/22/2009

Customer Complaint Information

Date Complaint Received: 10/27/2009

Complaint Pending? No

Status: Settled

Status Date: 07/12/2010

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Firm Statement WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER FOR \$10,000 TO AVOID THE EXPENSE AND UNCERTAINTY OF ARBITRATION.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: FLORIDA RESIDENT CLAIMANTS, ALLEGE BETWEEN 2002 AND 2009 FOUR FA'S MISREPRESENTED THE NATURE OF RECOMMENDED INVESTMENTS. FURTHER, CLAIMANTS ALLEGE THOSE INVESTMENTS WERE UNSUITABLE. CLAIMANTS ARE REQUESTING COMPENSATORY DAMAGES IN THE AMOUNT OF \$50,000.

Product Type: Other: MISCELLANEOUS

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 09-05940



Filing date of arbitration/CFTC reparation or civil litigation: 10/22/2009

Customer Complaint Information

Date Complaint Received: 10/27/2009
Complaint Pending? No
Status: Settled
Status Date: 07/12/2010
Settlement Amount: \$10,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: CLIENT ALLEGES THAT THE FA MISLED THEM AND TOLD THEM THAT THEY PURCHASED A MINIMAL RISK ANNUITY. ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE OVER \$5,000.00. (03/19/2008)

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/29/2008
Complaint Pending? No
Status: Withdrawn
Status Date: 01/08/2009
Settlement Amount:

Individual Contribution Amount:

Firm Statement ON JANUARY 7, 2009 THE CLIENT CONTACTED WACHOVIA SECURITIES AND WITHDREW THEIR COMPLAINT.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: CLIENT ALLEGES THAT THE FA MISLED THEM AND TOLD THEM THAT THEY PURCHASED A MINIMAL RISK ANNUITY. ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE OVER \$5,000.00. (03/19/2008)

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00



Customer Complaint Information

Date Complaint Received: 12/29/2008

Complaint Pending? No

Status: Withdrawn

Status Date: 01/08/2009

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement ON JANUARY 7,2009 THE CLIENT CONTACTED WACHOVIA SECURITIES AND WITHDREW THEIR COMPLAINT.



End of Report

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