



IAPD Report

NOLAN FARHY

CRD# 4354549

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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

NOLAN FARHY (CRD# 4354549)

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 **03/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KOMOREBI GLOBAL	CRD# 310437	05/19/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	STANFORD GROUP COMPANY	39285	MIAMI, FL	04/28/2006 - 03/23/2009
B	STANFORD GROUP COMPANY	39285	MIAMI, FL	02/02/2006 - 03/23/2009
IA	UBS INTERNATIONAL INC.	107726	MIAMI, FL	02/04/2004 - 09/22/2005

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
Termination	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **KOMOREBI GLOBAL**
Main Address: MIAMI BEACH, FL
Firm ID#: 310437

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	05/19/2023

Branch Office Locations

KOMOREBI GLOBAL
MIAMI BEACH, FL



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B	General Securities Representative Examination (S7)	Series 7	03/29/2018
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B	Securities Industry Essentials Examination (SIE)	SIE	03/29/2018
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/25/2023
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IA	B	Uniform Combined State Law Examination (S66)	Series 66	01/21/2004
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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	04/28/2006 - 03/23/2009	STANFORD GROUP COMPANY	CRD# 39285	MIAMI, FL
B	02/02/2006 - 03/23/2009	STANFORD GROUP COMPANY	CRD# 39285	MIAMI, FL
IA	02/04/2004 - 09/22/2005	UBS INTERNATIONAL INC.	CRD# 107726	MIAMI, FL
B	10/20/2003 - 09/22/2005	UBS INTERNATIONAL INC.	CRD# 107726	NEW YORK, NY
B	02/23/2001 - 09/11/2003	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, 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
07/2020 - Present	Komorebi Global LLC	Managing Director / CCO	Y	Miami Beach, FL, United States
02/2018 - 06/2020	SSA Americas Inc	RR/RA	Y	Miami, FL, United States
08/2015 - 02/2018	Banque SYZ SA	Senior Private Banker	Y	Miami, 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.

TWIN RIVERS ADVISORS LLC - 90 Alton Rd Ste 12MI AMI BEACH, FL 33139. Personal Investment Company. Non-Financial. AMBR. 01/17/2020. 1 HR PER MONTH.
VANGA PARTNERS LLC- 90 Alton Rd Ste 12MI AMI BEACH, FL 33139. Personal Investment Company. Non-Financial. AMBR. 01/17/2020. 1 HR 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
Termination	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:	Individual
Regulatory Action Initiated By:	NASD: 14E(2) Florida Office of Financial Regulation: 14D(1)(e)
Sanction(s) Sought:	Undertaking Other: NASD: Finding of Violation of Conduct Rule 2110
Date Initiated:	04/03/2006
Docket/Case Number:	NASD : TC-20050026177
Employing firm when activity occurred which led to the regulatory action:	UBS
Product Type:	No Product
Allegations:	Registered representative violated firm policy specifically he knowingly permitted unapproved correspondence containing false statements to be sent to two third parties
Current Status:	Final
Resolution:	Complied with restrictions until this firm went into bankruptcy
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:	03/06/2009



Sanctions Ordered:

Undertaking

Broker Statement

This arises out of my dismissal on September 20, 2005 as an employee of UBS International Inc for the reason disclosed in the DRP Item 4. This was disclosed in a U5 dated September 21, 2005. This matter was reviewed by the NASD (TC-20050026177) and I received a letter date August 11, 2006 from NASD in which they found that no rule had been violated but that I had been held responsible for this action. On January 11, 2006, I became an employee of Stanford Group Company. I disclosed this matter in my U4 dated February 2, 2006 when joining that firm. The State of Florida reviewed this and my U4 disclosures and imposed restrictions upon me in letter dated April 3, 2006 pursuant to Section 517.161, Florida Statute. I complied with all of the restrictions imposed upon me. On February 16, 2009, this company went into administration. On April 21, 2009, the trustee in bankruptcy filed a Complaint Case No. 3:09-CV-0724-N RALPH S. JANVEY, IN HIS CAPACITY AS COURT-APPOINTED RECEIVER FOR THE STANFORD INTERNATIONAL BANK, LTD., ET AL. v. JAMES R. ALGUIRE, ET AL. suing all of the former employees of this company in an effort to recover amounts of money from each employee, including me. This court case did not relate to any investment-related activities and was only to recover monies. It was a civil suit, but not involving customer complaints or sales practices. A third amended complaint was filed on June 15, 2017 Case No. 3:09-CV-0724-N-BQ. I have offered to settle this case by making a cash payment and without admitting any liability. I undertake to provide all additional information to FINRA in connection with my U4, all disclosures herein and these DRPs.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: UBS INTERNATIONAL INC.

Termination Type: Discharged

Termination Date: 09/20/2005

Allegations: "REGISTERED REPRESENTATIVE VIOLATED FIRM POLICY. SPECIFICALLY, HE KNOWINGLY PERMITTED UNAPPROVED CORRESPONDENCE CONTAINING FALSE STATEMENTS TO BE SENT TO TWO THIRD PARTIES."

Product Type: Other

Other Product Types: NO PRODUCT INVOLVED

Reporting Source: Individual

Firm Name: UBS INTERNATIONAL INC.

Termination Type: Discharged

Termination Date: 09/20/2005

Allegations: REGISTERED REPRESENTATIVE VIOLATED FIRM POLICY. SPECIFICALLY, HE KNOWINGLY PERMITTED UNAPPROVED CORRESPONDENCE CONTAINING FALSE STATEMENTS TO BE SENT TO TWO THIRD PARTIES.

Product Type: No Product

Broker Statement

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End of Report

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