IAPD Report

JOSE O SEGURA

CRD# 4748077

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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

JOSE O SEGURA (CRD# 4748077)

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 **06/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PARK AVENUE SECURITIES LLC	CRD# 46173	06/07/2011
IA	PARK AVENUE SECURITIES LLC	CRD# 46173	11/24/2014

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	MML INVESTORS SERVICES, LLC	10409	ALBANY, NY	08/15/2006 - 04/21/2011
B	NYLIFE SECURITIES INC.	5167	NEW YORK, NY	05/09/2006 - 07/19/2006
B	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	ALBANY, NY	10/15/2004 - 03/27/2006

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	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 1

Firm Name: **PARK AVENUE SECURITIES LLC**

Main Address: 10 HUDSON YARDS
NEW YORK, NY 10001

Firm ID#: 46173

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	06/07/2011
B	FINRA	General Securities Representative	Approved	03/17/2014
B	Arkansas	Agent	Approved	04/21/2021
IA	Arkansas	Investment Adviser Representative	Approved	04/21/2021
B	California	Agent	Approved	11/16/2021
IA	California	Investment Adviser Representative	Approved	09/11/2023
B	Florida	Agent	Approved	10/21/2020
IA	Florida	Investment Adviser Representative	Approved	05/06/2022
B	Indiana	Agent	Approved	04/12/2021
IA	Indiana	Investment Adviser Representative	Approved	03/18/2025
B	Maine	Agent	Approved	07/20/2015
IA	Maine	Investment Adviser Representative	Approved	08/25/2016
B	Massachusetts	Agent	Approved	07/20/2015

Qualifications

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	04/12/2017
B	New Jersey	Agent	Approved	11/21/2014
IA	New Jersey	Investment Adviser Representative	Approved	11/24/2014
B	New York	Agent	Approved	06/07/2011
IA	New York	Investment Adviser Representative	Approved	04/16/2021
IA	North Carolina	Investment Adviser Representative	Approved	09/07/2016
B	North Carolina	Agent	Approved	09/12/2016
B	Ohio	Agent	Approved	10/26/2021
B	Puerto Rico	Agent	Approved	10/21/2025
IA	Puerto Rico	Investment Adviser Representative	Approved	10/21/2025
B	Rhode Island	Agent	Approved	10/22/2015
IA	Rhode Island	Investment Adviser Representative	Approved	06/19/2017
B	South Carolina	Agent	Approved	09/17/2021
IA	South Carolina	Investment Adviser Representative	Approved	09/17/2021
B	Virginia	Agent	Approved	01/19/2024
IA	Virginia	Investment Adviser Representative	Approved	11/06/2024
B	Wisconsin	Agent	Approved	07/09/2019

Branch Office Locations

PARK AVENUE SECURITIES LLC
1207 TROY SCHENECTADY ROAD

Qualifications

SUITE 201
LATHAM, NY 12110

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
	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	03/16/2014
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/14/2004

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/03/2014
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/29/2004

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	08/15/2006 - 04/21/2011	MML INVESTORS SERVICES, LLC	CRD# 10409	ALBANY, NY
B	05/09/2006 - 07/19/2006	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY
B	10/15/2004 - 03/27/2006	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	ALBANY, 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
01/2013 - Present	GUARDIAN LIFE INSURANCE CO OF AMERICA	AGENT	Y	ALBANY, NY, United States
01/2013 - Present	PARK AVENUE SECURITIES LLC	REGISTERED REP	Y	ALBANY, NY, 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.

1. America's Pastime Stables-purchase 6 shares of a horse in a partnership. No active role,
Start: 05/31/2019,
Address: 20 University Place Amsterdam NY 12010,
0 hrs per month,
Not investment related,

2. Segura Holdings LLC-LLC to hold personal Real Estate,.
Start: 06/01/2019,
Address: 8 Center st Stillwater NY 12170
10 Cuyler ave Albany NY 12209,
0 hrs per month,
Investment related,

3) Legacy RE holdings LLC- Member and 80% ownership,
Start: 04/13/2020,
Address: 425 Central Ave Albany NY 12206,
5 total hours per month, 5 during securities trading hours,
Investment related,
More than 10% annual compensation,

Registration & Employment History

OTHER BUSINESS ACTIVITIES

4) Segura Strategic Advisors, LLC-Assisting Dental organizations with strategic business discussions,
Start: 10/15/2021,
Address: 104 Trask ln Stillwater NY 12170,
8 total hours per month, 0 during securities trading hours,
Not investment related,
Less than 10% annual compensation,

5) 610 Broadway LLC-partner,
Nature of Business: Rental property,
Start date: 07/01/2025,
Address: 104 Trask Ln Stillwater NY 12170,
Duties: Rental property,
0 total hours per month;
Investment related,

6) 139 Lark St LLC-partner,
Nature of Business: Rental property,
Start date: 07/01/2025,
Address: 104 Trask Ln Stillwater NY 12170,
Duties: Rental property,
0 total hours per month;
Investment related,

7) 56 Second Ave Park View Apts LLC -partner,
Nature of Business: Rental property,
Start date: 07/01/2025,
Address: 104 Trask Ln Stillwater NY 12170,
Duties: finding and executing the purchase and overseeing the management of the rental,
4 total hours per month; 4 during securities trading hours,
Investment related,

8) 260 Bradford LLC -partner,
Nature of Business: Rental property,
Start date: 12/15/2025,
Address: 104 Trask Ln Stillwater NY 12170,
Duties: member/partner,
1 total hours per month; 1 during securities trading hours,
Investment related,

9) 135 Ontario St LLC-partner,
Nature of Business: Rental property,
Start date: 12/15/2025,
Address: 104 Trask Ln Stillwater NY 12170,
Duties: member/partner,
1 total hours per month; 1 during securities trading hours,
Investment related,

10) Legacy RE Capital Group LLC-owner,
Nature of Business: real estate renovation and property improvement,
Start date: 2/1/2026,

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Address: 104 Trask Ln Stillwater NY 12170,
Duties: Overseeing renovation projects, construction timelines, and budgets,
10 total hours per month; 4 during securities trading hours,
Investment related,

11) 222 Spruce LLC-partner,
Nature of Business: rental property,
Start date: 3/1/2026,
Address: 104 Trask Ln Stillwater NY 12170,
Duties: Rental property,
1 total hours per month; 1 during securities trading hours,
Investment related,

12) 650 Warren LLC-partner,
Nature of Business: rental property,
Start date: 3/1/2026,
Address: 104 Trask Ln Stillwater NY 12170,
Duties: ownership, capital contribution, review of periodic financial reports, and voting on major company matters,
1 total hours per month; 1 during securities trading hours,
Investment related,

13) 142 Green St LLC-member,
Nature of Business: rental property,
Start date: 6/30/2026,
Address: 104 Trask Ln Stillwater NY 12170,
Duties: ownership,
1 total hours per month; 1 during securities trading hours,
Investment related,

14) 137 Lark St LLC-member,
Nature of Business: rental property,
Start date: 6/30/2026,
Address: 104 Trask Ln Stillwater NY 12170,
Duties: ownership,
1 total hours per month; 1 during securities trading hours,
Investment related,

15) Albany Black Chamber of Commerce-Board member,
Nature of Business: Chamber of Commerce,
Start date: 6/30/2026,
Address: 141 Washington Ave Albany NY 12210,
Duties: Participate in governance, strategic planning,
2 total hours per month; 2 during securities trading hours,
Not investment related,

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	3

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 3

Reporting Source:	Individual
Regulatory Action Initiated By:	Indiana Commissioner of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/26/2021
Docket/Case Number:	20391-AG21-0315-062
Employing firm when activity occurred which led to the regulatory action:	Park Avenue Securities LLC
Product Type:	No Product
Allegations:	RR entered into an Agreed Entry with the Indiana Department of Insurance for failure to disclose two administrative actions on his application for licensure.
Current Status:	Final
Resolution:	Order
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:	06/01/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$250.00
Portion Levied against individual:	$250.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	06/01/2021
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 3

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Other: STIPULATION
Date Initiated:	09/22/2017
Docket/Case Number:	2017-0094-S
Employing firm when activity occurred which led to the regulatory action:	Park Avenue Securities
Product Type:	No Product
Allegations:	RR admitted that he provided materially incorrect and untrue information within the meaning of section 2110(a)(2) of the insurance law. On his original insurance application, he failed to disclose that on or about September 22, 1999, he was convicted of a crime.
Current Status:	Final
Resolution:	Stipulation
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:	09/22/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$750.00
Portion Levied against individual:	$750.00

Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	09/05/2017
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 3 of 3

Reporting Source:	Individual
Regulatory Action Initiated By:	NORTH CAROLINA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/02/2018
Docket/Case Number:	0007749677
Employing firm when activity occurred which led to the regulatory action:	Park Avenue Securities
Product Type:	No Product
Allegations:	New York State Department of Financial Services imposed a penalty of $750 on RR Segura effective 9/22/2017 for providing materially incorrect and untrue information in his original application for agent's license submitted on 7/16/2003. RR failed to report this administrative action taken against his insurance producer's license to the Department within 30 days after the final disposition of this matter as required by North Carolina General Statute Section 58-33-32(k).
Current Status:	Final
Resolution:	Voluntary Settlement Agreement
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:	09/02/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$250.00
Portion Levied against individual:	$250.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	09/02/2018

Was any portion of penalty waived?	No
Amount Waived:	

End of Report

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