



IAPD Report

LUIS ANTONIO DELGADO

CRD# 4990149

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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

LUIS ANTONIO DELGADO (CRD# 4990149)

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 **03/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BOREAL CAPITAL SECURITIES LLC	CRD# 158599	06/14/2021
IA	BOREAL CAPITAL MANAGEMENT LLC	CRD# 112221	09/15/2021

QUALIFICATIONS

This representative is currently registered in **1** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	DORAL, FL	10/23/2012 - 06/21/2021
B	WELLS FARGO CLEARING SERVICES, LLC	19616	DORAL, FL	10/19/2012 - 06/21/2021
B	J.P. MORGAN SECURITIES LLC	79	MIAMI, FL	10/01/2012 - 10/25/2012

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
Termination	1
Financial	2



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 1 SRO(s) through his or her employer(s).

Employment 1 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
IA	Florida	Investment Adviser Representative	Approved	09/15/2021

Branch Office Locations

BOREAL CAPITAL MANAGEMENT LLC
1450 BRICKELL AVENUE
SUITE 2900
MIAMI, FL 33131

Employment 2 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
B	FINRA	General Securities Representative	Approved	06/14/2021
B	Florida	Agent	Approved	06/14/2021

Branch Office Locations

1450 Brickell Avenue
Suite 2900
Miami, FL 33131

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 3 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	07/01/2008
	Registered Options Principal Examination (S4)	Series 4	04/15/2008
	General Securities Principal Examination (S24)	Series 24	03/19/2007

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/06/2006

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	11/03/2005

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	10/23/2012 - 06/21/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	DORAL, FL
B	10/19/2012 - 06/21/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	DORAL, FL
B	10/01/2012 - 10/25/2012	J.P. MORGAN SECURITIES LLC	CRD# 79	MIAMI, FL
IA	10/01/2012 - 10/25/2012	J.P. MORGAN SECURITIES LLC	CRD# 79	MIAMI, FL
IA	03/08/2010 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MIAMI, FL
B	03/03/2010 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MIAMI, FL
B	09/16/2009 - 02/23/2010	STATETRUST INVESTMENTS INC.	CRD# 104651	BOCA RATON, FL
IA	01/10/2006 - 04/14/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BOCA RATON, FL
B	01/09/2006 - 04/14/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BOCA RATON, FL
B	01/09/2006 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
06/2021 - Present	Boreal Capital Securities LLC	Executive VP - Investments	Y	Miami, FL, United States
11/2016 - 06/2021	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	MIAMI, FL, United States
10/2012 - 11/2016	WELLS FARGO ADVISORS, LLC	REGISTERED REP	Y	MIAMI, 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.

08/20/2021 - LADC CAPITAL MANAGEMENT LLC (9806 NW 51st Terrace Miami FL 33178) TIME SPENT APPROXIMATELY 3-4 HOURS WEEKLY DURING NON TRADING HOURS AS THE MANAGER OF THE LLC USED TO PROVIDE INSURANCE SOLUTIONS ON THE SALE OF LIFE INSURANCE AND ANNUITY PRODUCTS. Florida LIFE INSURANCE LICENSE EITH EXTERNAL INSURANCE COMPANY HOLDING LICENSE FOR WHEN CLIENTS SHOWING INTEREST IN THOSE PRODUCTS.



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
Termination	1
Financial	2

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: CHASE INVESTMENT SERVICES CORP

Termination Type: Voluntary Resignation

Termination Date: 09/28/2012

Allegations: REGISTERED REP RESIGNED WHILE UNDER INTERNAL REVIEW FOR MAINTAINING A PRE-SIGNED INCOMPLETE DOCUMENT THAT WAS PHOTOCOPIED AND CONTAINED INKED IN INFORMATION.

Product Type: No Product

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Reporting Source: Individual

Firm Name: CHASE INVESTMENT SERVICES CORP

Termination Type: Voluntary Resignation

Termination Date: 09/28/2012

Allegations: REGISTERED REP RESIGNED WHILE UNDER INTERNAL REVIEW FOR MAINTAINING A PRE-SIGNED INCOMPLETE DOCUMENT THAT WAS PHOTOCOPIED AND CONTAINED INKED IN INFORMATION.

Product Type: No Product



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 2

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	09/05/2019
Organization Investment-Related?	No
Type of Court:	State Court
Name of Court:	11th Judicial Circuit
Location of Court:	Miami Dade county, Florida
Docket/Case #:	2018-011115-cc-23
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	09/05/2019
If a compromise with creditor, provide:	
Name of Creditor:	Wells Fargo Bank, N.A.
Original Amount Owed:	\$7,970.80
Terms Reached with Creditor:	Beginning on October 20th, 2019 and continuing on the 20th day of each month thereafter, it will make \$222 payment per month until balance is fully paid.
Amount Paid:	\$7,970.80
SIPA (Securities Investor Protection Act) Trustee:	
Currently Open?	Yes
Date Direct Payment Initiated/Filed or Trustee Appointed:	09/05/2019
Broker Statement	Due to divorce and financial difficulties I have to compromise with creditor.

Disclosure 2 of 2

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	05/15/2019
Organization Investment-Related?	No
Type of Court:	State Court



Name of Court:	The 11th Judicial Circuitry
Location of Court:	Miami Dade County, Florida
Docket/Case #:	2018-011196-cc-23
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	05/15/2019
If a compromise with creditor, provide:	
Name of Creditor:	Wells Fargo Bank, N.A.
Original Amount Owed:	\$8,437.79
Terms Reached with Creditor:	Five monthly payments of \$986 every month on the 15th of each month.
Amount Paid:	\$5,915.00
SIPA (Securities Investor Protection Act) Trustee:	
Currently Open?	Yes
Date Direct Payment Initiated/Filed or Trustee Appointed:	05/15/2019
Broker Statement	After Finishing my Divorce, I had to make this compromise due to financial problems.



End of Report

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