



IAPD Report

ALEJANDRO M GUARDIOLA

CRD# 5141879

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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

ALEJANDRO M GUARDIOLA (CRD# 5141879)

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 **08/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INSIGNEO SECURITIES, LLC	CRD# 29249	01/31/2024
IA	INSIGNEO ADVISORY SERVICES, LLC	CRD# 282589	05/13/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	WEILD & CO.	132398	BOULDER, CO	07/03/2018 - 03/21/2019
B	SEEDCHANGE EXECUTION SERVICES INC.	165587	LAFAYETTE, CA	05/13/2015 - 02/09/2018
IA	FOREM INVESTMENTS LLC	169636	CORAL GABLES, FL	10/01/2014 - 01/02/2015

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
Judgment/Lien	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 **27** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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

Main Address: 1221 BRICKELL AVENUE
27TH FLOOR
MIAMI, FL 33131

Firm ID#: 282589

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	07/06/2026
IA	California	Investment Adviser Representative	Approved	06/17/2026
IA	Colorado	Investment Adviser Representative	Approved	06/18/2026
IA	Connecticut	Investment Adviser Representative	Approved	06/17/2026
IA	Delaware	Investment Adviser Representative	Approved	06/16/2026
IA	Florida	Investment Adviser Representative	Approved	05/13/2026
IA	Idaho	Investment Adviser Representative	Approved	06/16/2026
IA	Iowa	Investment Adviser Representative	Approved	06/18/2026
IA	Maryland	Investment Adviser Representative	Approved	06/16/2026
IA	Michigan	Investment Adviser Representative	Approved	06/18/2026
IA	Montana	Investment Adviser Representative	Approved	06/16/2026
IA	Nevada	Investment Adviser Representative	Approved	06/16/2026
IA	New Jersey	Investment Adviser Representative	Approved	06/16/2026



Qualifications

	Regulator	Registration	Status	Date
IA	New Mexico	Investment Adviser Representative	Approved	06/16/2026
IA	New York	Investment Adviser Representative	Approved	06/16/2026
IA	North Carolina	Investment Adviser Representative	Approved	06/17/2026
IA	Ohio	Investment Adviser Representative	Approved	06/16/2026
IA	Pennsylvania	Investment Adviser Representative	Approved	06/17/2026
IA	South Carolina	Investment Adviser Representative	Approved	06/22/2026
IA	South Dakota	Investment Adviser Representative	Approved	06/16/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	06/16/2026
IA	Utah	Investment Adviser Representative	Approved	06/22/2026
IA	Virgin Islands	Investment Adviser Representative	Approved	06/16/2026
IA	Virginia	Investment Adviser Representative	Approved	06/18/2026
IA	Washington	Investment Adviser Representative	Approved	06/16/2026
IA	Wisconsin	Investment Adviser Representative	Approved	06/16/2026
IA	Wyoming	Investment Adviser Representative	Approved	06/16/2026

Branch Office Locations

INSIGNEO ADVISORY SERVICES, LLC
1221 BRICKELL AVENUE
27TH FLOOR
MIAMI, FL 33131

Employment 2 of 2

Firm Name: **INSIGNEO SECURITIES, LLC**
Main Address: 1221 BRICKELL AVE
27TH FLOOR



Qualifications

Firm ID#: MIAMI, FL 33131
29249

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/31/2024
B	Florida	Agent	Approved	11/21/2025

Branch Office Locations

1221 Brickell Ave
27th Floor
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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/18/2011
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/18/2010

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	01/08/2007
B	General Securities Representative Examination (S7)	Series 7	09/18/2006

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/22/2006



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Analyst

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	07/03/2018 - 03/21/2019	WEILD & CO.	CRD# 132398	BOULDER, CO
B	05/13/2015 - 02/09/2018	SEEDCHANGE EXECUTION SERVICES INC.	CRD# 165587	LAFAYETTE, CA
IA	10/01/2014 - 01/02/2015	FOREM INVESTMENTS LLC	CRD# 169636	CORAL GABLES, FL
B	01/01/2010 - 05/20/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	MIAMI, FL
IA	01/01/2010 - 05/20/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	MIAMI, FL
IA	11/27/2006 - 01/01/2010	UBS INTERNATIONAL INC.	CRD# 107726	MIAMI, FL
B	09/19/2006 - 01/01/2010	UBS INTERNATIONAL INC.	CRD# 107726	MIAMI, FL

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
03/2026 - Present	INSIGNEO ADVISORY SERVICES LLC	INVESTMENT SOLUTIONS GROUP PRODUCT MANAGER	Y	MIAMI, FL, United States
03/2023 - Present	INSIGNEO SECURITIES LLC	INVESTMENT SOLUTIONS GROUP PRODUCT MANAGER	Y	MIAMI, FL, United States
03/2022 - 03/2023	PARADIGM CAPITAL	SALES MANAGER	Y	MIAMI, FL, United States
01/2020 - 03/2022	ENTREPRENEUR	SALES & LOGISTICS	N	NEWPORT BEACH, CA, United States
05/2018 - 01/2020	Hunt Equity Partners	Independent Contractor	N	San Francisco, CA, United States
05/2018 - 12/2018	Badger & Swank	Independent Contractor	N	San Francisco, CA, United States
05/2018 - 07/2018	IDLEWOOD CAPITAL PARTNERS, LLC	Partner	N	San Francisco, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2018 - 07/2018	Sandalwood Ventures	Independent Contractor	N	San Francisco, CA, United States
05/2015 - 02/2018	SeedChange Execution Services Inc.	Registered Rep	Y	San Francisco, CA, 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.

INSIGNEO ADVISORY SERVICES LLC ("IAS") _ Affiliate _ Investment-related _ Miami, FL _ Insigneo Securities affiliate RIA _ Mar 2026 _ Registered with affiliate as a Product Manager. Dedicate hours as needed.

-AIRBNB_RENTAL OF RESIDENTIAL PROPERTY

Investment related_ Address: Property located in Miami Springs, FL_ Nature: Residential property rental solely through Airbnb online platform._ Position: Sole owner_ Start date: 04/2026_ Devote 10 hrs/ month and less than 1 hrs/month during securities trading hours_ Duties: Operational responsibilities are limited, with property management support provided by a cleaning and caretaking individual who assists with guest check-ins and property maintenance.



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
Judgment/Lien	3

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	County of San Francisco
Judgment/Lien Amount:	\$155.49
Judgment/Lien Type:	Tax
Date Filed with Court:	12/18/2018
Date Individual Learned:	12/07/2023
Type of Court:	County of San Francisco
Name of Court:	County of San Francisco
Location of Court:	County of San Francisco
Docket/Case #:	K707380-00
Judgment/Lien Outstanding?	Yes
Broker Statement	Team, The disclosure above is related to the Airbnb apartment that I sub-leased out during 2015-2016 while I was living in San Francisco. There was a small pending fee related to business registration that had gone unpaid. Since I no longer live in California it was difficult for the City of San Francisco to send me correspondence. Since 2015 the account has accumulated some late fees and penalties. I requested a new business pin so that I can make the payment necessary. Since my request was made prior to the Holidays, the SF Treasurer office was closed. I did speak with one of their associates before Christmas to ensure that was in fact related to the Airbnb business income for 2015/2016. Thank you, Alejandro

Disclosure 2 of 3

Reporting Source:	Individual
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Judgment/Lien Holder: County of San Francisco

Judgment/Lien Amount: \$148.28

Judgment/Lien Type: Tax

Date Filed with Court: 12/11/2019

Date Individual Learned: 12/07/2023

Type of Court: County of San Francisco

Name of Court: County of San Francisco

Location of Court: County of San Francisco

Docket/Case #: 2019874325

Judgment/Lien Outstanding? Yes

Broker Statement

I sub-leased out during 2015-2016 while I was living in San Francisco. There was a small pending fee related to business registration that had gone unpaid. Since I no longer live in California it was difficult for the City of San Francisco to send me correspondence. Since 2015 the account has accumulated some late fees and penalties. I requested a new business pin so that I can make the payment necessary. Since my request was made prior to the Holidays, the SF Treasurer office was closed. I did speak with one of their associates before Christmas to ensure that was in fact related to the Airbnb business income for 2015/2016. Thank you,
Alejandro

Disclosure 3 of 3

Reporting Source: Individual

Judgment/Lien Holder: County of San Francisco

Judgment/Lien Amount: \$143.11

Judgment/Lien Type: Tax

Date Filed with Court: 12/22/2021

Date Individual Learned: 12/07/2023

Type of Court: County of San Francisco

Name of Court: County of San Francisco

Location of Court: County of San Francisco

Docket/Case #: 2021185997

Judgment/Lien Outstanding? Yes

Resolution: Satisfied

Broker Statement

My disclosure above is related to an Airbnb apartment that I sub-leased out during 2015-2016 while I was living in San Francisco. There was a small pending fee related to business registration that had gone unpaid. Since I no longer live in California it was difficult for the City of San Francisco to send me correspondence. Since 2015 the account has accumulated some late fees and penalties. I requested a new business pin so that I can make the payment necessary. Since my request was made prior to the Holidays, the SF Treasurer office was closed. I did speak with one of their associates before Christmas to ensure that was in fact related to the Airbnb business income for 2015/2016. Thank you,



Alejandro



End of Report

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