



IAPD Report

Rudy Anguiano

CRD# 5188950

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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

Rudy Anguiano (CRD# 5188950)

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 **05/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ALEXANDER CAPITAL WEALTH MANAGEMENT LLC	CRD# 157714	01/09/2026
B	ALEXANDER CAPITAL, L.P.	CRD# 40077	01/12/2026

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and 2 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	LPL FINANCIAL LLC	6413	BREA, CA	04/04/2022 - 12/18/2025
IA	LPL FINANCIAL LLC	6413	BREA, CA	04/04/2022 - 12/18/2025
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	ALISO VEIJO, CA	09/25/2020 - 04/08/2022

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	2
Termination	1
Financial	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 2 jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ALEXANDER CAPITAL, L.P.**
Main Address: 10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701
Firm ID#: 40077

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/12/2026
B FINRA	Invest. Co and Variable Contracts	Approved	01/12/2026
B Nasdaq Stock Market	General Securities Representative	Approved	01/12/2026
B California	Agent	Approved	01/12/2026
B New Jersey	Agent	Approved	01/30/2026

Branch Office Locations

ALEXANDER CAPITAL, L.P.
Chino Hills, CA

Employment 2 of 2

Firm Name: **ALEXANDER CAPITAL WEALTH MANAGEMENT LLC**
Main Address: 10 DRS. JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701
Firm ID#: 157714

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	01/09/2026

Branch Office Locations



Qualifications

ALEXANDER CAPITAL WEALTH MANAGEMENT LLC
Chino Hills, CA



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
General Securities Representative Examination (S7)	Series 7	03/31/2009
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/31/2007

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/13/2012
Uniform Securities Agent State Law Examination (S63)	Series 63	02/14/2007

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
B	04/04/2022 - 12/18/2025	LPL FINANCIAL LLC	CRD# 6413	BREA, CA
IA	04/04/2022 - 12/18/2025	LPL FINANCIAL LLC	CRD# 6413	BREA, CA
IA	09/25/2020 - 04/08/2022	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	ALISO VEIJO, CA
B	09/24/2020 - 04/08/2022	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	ALISO VEIJO, CA
IA	02/29/2016 - 09/28/2020	WADDELL & REED	CRD# 866	BREA, CA
B	02/26/2016 - 09/28/2020	WADDELL & REED	CRD# 866	BREA, CA
IA	09/17/2013 - 03/01/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	PICO RIVERA, CA
B	09/16/2013 - 03/01/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	PICO RIVERA, CA
IA	02/14/2012 - 09/17/2013	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	DOWNEY, CA
B	03/17/2010 - 09/17/2013	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	DOWNEY, CA
B	10/07/2008 - 01/19/2010	LPL FINANCIAL CORPORATION	CRD# 6413	LOS ANGELES, CA
B	02/02/2007 - 10/16/2008	WAMU INVESTMENTS, INC.	CRD# 599	LOS ANGELES, CA

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
04/2022 - Present	LPL Financial	Registered Rep	Y	Brea, CA, United States
09/2020 - 04/2022	AMERIPRISE FINANCIAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Aliso Viejo, CA, United States
02/2016 - 09/2020	VARIOUS INSURANCE CARRIERS FOR W&R INSURANCE AGENCIES	INSURANCE AGENT	Y	CHINO HILLS, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2016 - 09/2020	Waddell & Reed, Inc	Associated Person	Y	Brea, 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.

1. 4/2020 - Business Entity For Tax/Investment Purposes Only - ANGUIANO CAPITAL PARTNERS, INC. - Not Investment Related - Chino Hills, CA 91709
2. A&A Capital Group LLC/ DBA Piara Pizza 4946 Whittier Blvd, Los Angeles, CA 90022. Non-Investment related. Operates two pizza shops. 10 hours per week.
3. 2/2026 - Midland National Corp. - Insurance Agent - No ownership - Life insurance and annuity agent - Non investment related - Approximately 5 hours per week,



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	2
Termination	1
Financial	1

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customer verbally alleged advisor accepted and has not returned funds sent from LPL client account to an unapproved OBA/LLC for which he was sole member.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	over \$5,000
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/30/2025
Complaint Pending?	No
Status:	Settled



Status Date: 05/07/2026
Settlement Amount: \$1,528,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC
Allegations: CUSTOMER VERBALLY ALLEGED ADVISOR ACCEPTED AND HAS NOT RETURNED FUNDS SENT FROM LPL CLIENT ACCOUNT TO AN UNAPPROVED OBA FOR WHICH HE WAS A SOLE MEMBER
Product Type: No Product
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): OVER \$5,000.00
Is this an oral complaint? Yes
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/30/2025
Complaint Pending? No
Status: Settled
Status Date: 05/07/2026
Settlement Amount: \$1,528,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC
Allegations: Customer verbally alleged advisor accepted and has not returned funds sent from LPL client account to an unapproved OBA/LLC for which he was sole member.
Product Type: No Product
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): OVER \$5,000



Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/21/2025

Complaint Pending? No

Status: Settled

Status Date: 05/04/2026

Settlement Amount: \$203,000.00

Individual Contribution Amount: \$0.00

Firm Statement Customer verbally alleged advisor accepted and has not returned funds sent from LPL client account to an unapproved OBA/LLC for which he was sole member. LPL and customer entered into settlement agreement in the amount of \$203,000.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: CUSTOMER VERBALLY ALLEGED ADVISOR ACCEPTED AND HAS NOT RETURNED FUNDS SENT FROM LPL CLIENT ACCOUNT TO AN UNAPPROVED OBA/LLC FOR WHICH HE WAS A SOLE MEMBER.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): OVER \$5,000.00

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/22/2024

Complaint Pending? No

Status: Settled

Status Date: 05/04/2026

Settlement Amount: \$203,000.00

Individual Contribution Amount: \$0.00

Arbitration Information



Disposition: Settled
Disposition Date: 05/04/2026



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: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 11/21/2025
Allegations: Engaged in outside business activity without prior notice and approval; and participated in and directed clients to private investments.
Product Type: No Product

Reporting Source: Individual
Firm Name: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 11/21/2025
Allegations: Engaged in outside business activity without prior approval and participated in and directed clients to private investments.
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 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	11/01/2016
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	11/01/2016
If a compromise with creditor, provide:	
Name of Creditor:	Loanme, Inc.
Original Amount Owed:	\$3,300.00
Terms Reached with Creditor:	Creditor accepted \$2800.00 in lieu of full balance.



End of Report

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