User Guidance

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# IAPD Report

# ALEJANDRO PASTRANA

CRD# 5968491



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 PASTRANA (CRD# 5968491)

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 **12/10/2025**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | PACKERLAND BROKERAGE SERVICES, INC. | CRD# 37031 | 08/15/2025 |
| IA | PACKERLAND BROKERAGE SERVICES, INC. | CRD# 37031 | 08/18/2025 |

## QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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 | NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC | 2881 | Chicago, IL | 04/09/2018 - 02/18/2025 |
| B | NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC | 2881 | SKOKIE, IL | 06/13/2016 - 11/11/2016 |
| B | NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC | 2881 | CHICAGO, IL | 08/11/2014 - 09/08/2015 |

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 |
|---|---|
| Regulatory Event | 2 |
| Criminal | 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 **3** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **PACKERLAND BROKERAGE SERVICES, INC.**

Main Address: 432 SECURITY BLVD.
STE. 101
GREEN BAY, WI 54313-9709

Firm ID#: 37031

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | Invest. Co and Variable Contracts | Approved | 08/15/2025 |
| B | Illinois | Agent | Approved | 08/18/2025 |
| IA | Illinois | Investment Adviser Representative | Approved | 08/18/2025 |
| IA | Indiana | Investment Adviser Representative | Approved | 08/18/2025 |
| B | Indiana | Agent | Approved | 08/29/2025 |
| B | Texas | Agent | Approved | 12/11/2025 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 12/11/2025 |

### Branch Office Locations

**PACKERLAND BROKERAGE SERVICES, INC.**
Westmont, IL

 

# 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 |
|---|---|---|
| No information reported. | | |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 08/09/2014 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 06/23/2025 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 01/25/2019 |

## 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 | 04/09/2018 - 02/18/2025 | NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC | CRD# 2881 | Chicago, IL |
| B | 06/13/2016 - 11/11/2016 | NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC | CRD# 2881 | SKOKIE, IL |
| B | 08/11/2014 - 09/08/2015 | NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC | CRD# 2881 | CHICAGO, IL |

## 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 |
|---|---|---|---|---|
| 08/2025 - Present | Packerland Brokerage Services | REGISTERED REPRESENTATIVE | Y | Green Bay, WI, United States |
| 02/2025 - 08/2025 | Serene Financial Group, LLC | Owner \| Sole Proprietor Insurance Sales & Consulting | N | Westmont, IL, United States |
| 10/2019 - 02/2025 | Northwestern Mutual Wealth Management Company | Representative | Y | Milwaukee, WI, United States |
| 02/2018 - 02/2025 | Northwestern Mutual Investment Services LLC | Registered Representative | Y | Skokie, IL, United States |
| 02/2018 - 02/2025 | Northwestern Mutual Life Insurance Company | Agent | Y | Milwaukee, WI, United States |
| 07/2017 - 02/2018 | G Andres Baltazar | Associate Agent | Y | Chicago, IL, United States |
| 02/2016 - 02/2018 | Ulises  Ruelas | Associate Agent | Y | Skokie, IL, United States |
| 06/2016 - 11/2016 | Northwestern Mutual Investment Services LLC | Registered Representative | Y | Skokie, IL, 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.

Serene Financial Group, LLC
33 N. Linden Ave

 Report about ALEJANDRO  PASTRANA. 

# Registration & Employment History

## OTHER BUSINESS ACTIVITIES

Westmont IL, 60559
Life Insurance, Health Insurance, Long Term Care Insurance, Disability Insurance since February 2025 10-15 hours per week
100% Owner - Sole Proprietor
Investment Related: Yes

Crystal Jas Beauty, LLC
1032 S La Grange Rd Suite 5
Westmont IL, 60525-2865
Crystal Jas Beauty Profit and loss reporting for business Since 2024 1-2 hours/ week Wife's salon No ownership
Not Investment Related

Serene Tax Solutions
1 Mid America Plaza 3rd
Oakbrook Terrace IL, 60181-4450
Tax return preparation, tax compliance, business entity tax structuring (e.g., assistance with S-Corp/LLC election for tax purposes), tax planning, and bookkeeping. 1 Mid America Plaza 3rd Oakbrook Terrace, IL 60181-4450 40-50 hours per month
100% Owner
Non-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 | 2 |
| Criminal | 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 2

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | State of Illinois Department of Insurance |
| **Sanction(s) Sought:** | Suspension |
| **Date Initiated:** | 01/10/2020 |
| **Docket/Case Number:** | 19-HR-0771 |
| **Employing firm when activity occurred which led to the regulatory action:** | Northwestern Mutual Investment Services, LLC |
| **Product Type:** | No Product |
| **Allegations:** | Allegations include that the Representative failed to pay his 2014 Illinois income taxes and, per State law, the Illinois Insurance Dept. suspended the Representative's insurance producer license. |
| **Current Status:** | Final |
| **Resolution:** | Order of Suspension was lifted after Representative paid his 2014 taxes to the State. |
| **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:** | 01/24/2020 |

| | |
|---|---|
| **Sanctions Ordered:** | Suspension |
| **Sanction 1 of 1** | |
| **Sanction Type:** | Suspension |
| **Capacities Affected:** | License suspension |
| **Duration:** | 14 days |
| **Start Date:** | 01/10/2020 |
| **End Date:** | 01/24/2020 |

## Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | STATE OF ILLINOIS DEPARTMENT OF FINANCIAL AND PROFESSIONAL REGULATION, DIVISION OF INSURANCE |
| **Sanction(s) Sought:** | Denial |
| **Date Initiated:** | 09/10/2004 |
| **Docket/Case Number:** | 04-HR-0941 |
| **Employing firm when activity occurred which led to the regulatory action:** | WASN'T AT FIRM WHEN ACTIVITY ACCURED |
| **Product Type:** | No Product |
| **Allegations:** | WAS CHARGED AND CONVICTED WITH ATTEMPTED BURGLARY CLASS 3 FELONY, WHICH LEAD TO THE DENIAL OF THE INSURANCE LICENSE. |
| **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:** | 11/21/2005 |
| **Sanctions Ordered:** | Denial<br>Monetary Penalty other than Fines |
| **Monetary Sanction 1 of 1** | |
| **Monetary Related Sanction:** | Monetary Penalty other than Fines |
| **Total Amount:** | $163.37 |
| **Portion Levied against individual:** | $0.00 |
| **Payment Plan:** | |
| **Is Payment Plan Current:** | |
| **Date Paid by individual:** | 11/21/2005 |

 

| | |
|---|---|
| **Was any portion of penalty waived?** | No |
| **Amount Waived:** | |
| **Broker Statement** | WAS ISSUED AN ILLINOIS INSURANCE LICENSE ON 06/13/2008 |

 

## Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

### Disclosure 1 of 1

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Formal Charges were brought in:** | State Court |
| **Name of Court:** | CIRCUIT COURT OF THE SIXTH JUDICIAL CIRCUIT |
| **Location of Court:** | CHAMPAIGN COUNTY, ILLINOIS |
| **Docket/Case #:** | 00-CF-334 |
| **Charge Date:** | 02/22/2000 |
| **Charge(s) 1 of 2** | |
| **Formal Charge(s)/Description:** | ATTEMPT BURGLARY - CLASS 3 FELONY |
| **No of Counts:** | 1 |
| **Felony or Misdemeanor:** | Felony |
| **Plea for each charge:** | GUILTY |
| **Disposition of charge:** | Convicted |
| **Charge(s) 2 of 2** | |
| **Formal Charge(s)/Description:** | BURGLARY - CLASS 2 FELONY |
| **No of Counts:** | 1 |
| **Felony or Misdemeanor:** | Felony |
| **Plea for each charge:** | NO PLEA |
| **Disposition of charge:** | Dismissed |
| **Current Status:** | Final |
| **Status Date:** | 07/09/2003 |
| **Disposition Date:** | 07/03/2001 |
| **Sentence/Penalty:** | START DATE 07/05/2001, 24 MONTHS PROBATION, ANTI CRIME FEE $10, $10 A MONTH PROBATION SERVICE FEE, 25 HOURS PUBLIC SERVICE, $150 FINE, FEES AND FINE ALL PAID IN FULL ON 02/20/2002, 1 DAY JAIL, NO CONTACT WITH FAMOUS BAR, SUBSTANCE ABUSE TREATMENT, COMPLETED ON 07/09/2003 |

# End of Report

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