



## IAPD Report

# SHAWN HIRAM NAZARIO

CRD# 6410662

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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

### SHAWN HIRAM NAZARIO (CRD# 6410662)

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 **06/07/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	TRANSAMERICA INVESTORS SECURITIES, LLC	CRD# 32205	12/23/2014
<b>IA</b>	TRANSAMERICA RETIREMENT ADVISORS, LLC	CRD# 107319	11/09/2016

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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
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No information reported.

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	1
Criminal	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 **51** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **TRANSAMERICA RETIREMENT ADVISORS, LLC**  
Main Address: 6400 C STREET SW  
CEDAR RAPIDS, IA 52499  
Firm ID#: 107319

Regulator	Registration	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved	11/09/2016

#### Branch Office Locations

**TRANSAMERICA RETIREMENT ADVISORS, LLC**  
Spring Hill, FL

#### Employment 2 of 2

Firm Name: **TRANSAMERICA INVESTORS SECURITIES, LLC**  
Main Address: 440 MAMARONECK AVENUE  
HARRISON, NY 10528  
Firm ID#: 32205

Regulator	Registration	Status	Date
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	12/23/2014
<b>B</b> Alabama	Agent	Approved	07/19/2016
<b>B</b> Alaska	Agent	Approved	07/15/2016
<b>B</b> Arizona	Agent	Approved	07/29/2016
<b>B</b> California	Agent	Approved	05/31/2016
<b>B</b> Colorado	Agent	Approved	08/04/2016
<b>B</b> Connecticut	Agent	Approved	07/14/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Delaware	Agent	Approved	08/04/2016
<b>B</b> District of Columbia	Agent	Approved	06/01/2016
<b>B</b> Florida	Agent	Approved	07/13/2016
<b>B</b> Georgia	Agent	Approved	07/21/2016
<b>B</b> Hawaii	Agent	Approved	07/14/2016
<b>B</b> Idaho	Agent	Approved	06/02/2016
<b>B</b> Illinois	Agent	Approved	08/03/2016
<b>B</b> Indiana	Agent	Approved	07/27/2016
<b>B</b> Iowa	Agent	Approved	07/14/2016
<b>B</b> Kansas	Agent	Approved	06/14/2016
<b>B</b> Kentucky	Agent	Approved	06/27/2016
<b>B</b> Louisiana	Agent	Approved	07/22/2016
<b>B</b> Maine	Agent	Approved	08/03/2016
<b>B</b> Maryland	Agent	Approved	07/08/2016
<b>B</b> Massachusetts	Agent	Approved	06/21/2016
<b>B</b> Michigan	Agent	Approved	06/15/2016
<b>B</b> Minnesota	Agent	Approved	07/19/2016
<b>B</b> Mississippi	Agent	Approved	07/18/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Missouri	Agent	Approved	06/01/2016
<b>B</b> Montana	Agent	Approved	06/01/2016
<b>B</b> Nebraska	Agent	Approved	07/13/2016
<b>B</b> Nevada	Agent	Approved	07/15/2016
<b>B</b> New Hampshire	Agent	Approved	08/03/2016
<b>B</b> New Jersey	Agent	Approved	06/08/2016
<b>B</b> New Mexico	Agent	Approved	10/13/2016
<b>B</b> New York	Agent	Approved	10/31/2016
<b>B</b> North Carolina	Agent	Approved	07/21/2016
<b>B</b> North Dakota	Agent	Approved	06/01/2016
<b>B</b> Ohio	Agent	Approved	06/16/2016
<b>B</b> Oklahoma	Agent	Approved	07/14/2016
<b>B</b> Oregon	Agent	Approved	10/03/2016
<b>B</b> Pennsylvania	Agent	Approved	06/01/2016
<b>B</b> Puerto Rico	Agent	Approved	06/08/2016
<b>B</b> Rhode Island	Agent	Approved	06/01/2016
<b>B</b> South Carolina	Agent	Approved	07/14/2016
<b>B</b> South Dakota	Agent	Approved	07/14/2016
<b>B</b> Tennessee	Agent	Approved	07/14/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Texas	Agent	Approved	06/22/2016
<b>B</b> Utah	Agent	Approved	06/01/2016
<b>B</b> Vermont	Agent	Approved	07/18/2016
<b>B</b> Virginia	Agent	Approved	06/01/2016
<b>B</b> Washington	Agent	Approved	07/20/2016
<b>B</b> West Virginia	Agent	Approved	07/20/2016
<b>B</b> Wisconsin	Agent	Approved	07/28/2016
<b>B</b> Wyoming	Agent	Approved	08/17/2016

### Branch Office Locations

Spring Hill, FL



## 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/23/2014
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	10/28/2016
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	05/27/2016
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### 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:

No information reported.

### 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
10/2014 - Present	TRANSAMERICA INVESTORS SECURITIES CORPORATION	REGISTERED REP	Y	ST. PETERSBURG, FL, United States
10/2014 - Present	TRANSAMERICA RETIREMENT SOLUTIONS	CUSTOMER SERVICE REP	Y	ST. PETERSBURG, FL, 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.

I am part of Peninsula Baseball Umpires association that began on 4/24/2023. I will be working as a baseball umpire for local recreational and high school baseball. I will also be taken part of clinics and meetings to stay certified to umpire games throughout the year. There are times I may receive compensation for the services that will begin around 10/1/2023, the compensation will be classified as an independent contractor. Compensation is estimated to be under 500 dollars a year. The approximate number of hours per month would be 10-15 hours and none during securities trading hours.



## 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	1
Criminal	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 1

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	Michigan Department of Insurance
<b>Sanction(s) Sought:</b>	Denial
<b>Date Initiated:</b>	06/26/2018
<b>Docket/Case Number:</b>	0858674
<b>Employing firm when activity occurred which led to the regulatory action:</b>	n/a
<b>Product Type:</b>	No Product
<b>Allegations:</b>	I was denied a non-resident insurance license for the state of Michigan.
<b>Current Status:</b>	Final
<b>Resolution:</b>	State License denied
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	06/26/2018
<b>Sanctions Ordered:</b>	Denial
<b>Broker Statement</b>	The state insurance license was denied based on my previously reported criminal



history on my U4



### 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 3

**Reporting Source:** Individual  
**Formal Charges were brought in:** State Court  
**Name of Court:** FIFTH CIRCUIT COURT STATE OF FLORIDA  
**Location of Court:** BROOKSVILLE, FL  
**Docket/Case #:** 96-1094CFMA  
**Charge Date:** 07/28/1998  
**Charge(s) 1 of 1**  
**Formal Charge(s)/Description:** CHARGED WITH VIOLATING MY PREVIOUS SUPERVISIONS CONDITIONS SENTENCE REVOKED AND REINSTATED VOLIATION OF COMMUNITY CONTROL FOR ATTEMPTED AGGRAVATED BATTERY.  
**No of Counts:** 1  
**Felony or Misdemeanor:** Felony  
**Plea for each charge:** GUILTY  
**Disposition of charge:** Pled guilty  
**Current Status:** Final  
**Status Date:** 09/01/1998  
**Disposition Date:** 09/01/1998  
**Sentence/Penalty:** PREVIOUS SENTENCE WAS REVOKED AND NEW SENTENCE ISSUED 1 YEAR OF COMMUNITY CONTROL FOLLOWED BY 1 YEAR OF HOUSE ARREST FINISHED SENTENCE ON 08/31/01  
**Broker Statement** THIS WAS A CHARGE FOR VIOLATING THE TERMS OF MY COMMUNITY CONTROL OF MY COMMUNITY CONTROL FROM THE AGGRAVATED BATTERY

#### Disclosure 2 of 3

**Reporting Source:** Individual  
**Formal Charges were brought in:** State Court  
**Name of Court:** FIFTH CIRCUIT COURT OF TEH STATE OF FLORIDA  
**Location of Court:** BROOKSVILLE, FL  
**Docket/Case #:** 96-01094CFA  
**Charge Date:** 12/02/1996  
**Charge(s) 1 of 3**  
**Formal Charge(s)/Description:** AGGRAVATED BATTERY  
**No of Counts:** 1



<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	PLED GUILTY TO A LESSER CHARGE
<b>Date of Amended Charge:</b>	08/08/1997
<b>Charge was Amended or reduced to:</b>	ATTEMPTED AGGRAVATED BATTERY
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Felony
<b>Amended Plea:</b>	GUILTY
<b>Disposition of Amended Charge:</b>	Pled guilty
<b>Charge(s) 2 of 3</b>	
<b>Formal Charge(s)/Description:</b>	VOLIATION OF COMMUNITY CONTROL
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	GUILTY
<b>Disposition of charge:</b>	Pled guilty
<b>Charge(s) 3 of 3</b>	
<b>Formal Charge(s)/Description:</b>	RESISTING LAW ENFORCEMENT OFFICER WITHOUT VIOLENCE
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	08/08/1997
<b>Disposition Date:</b>	08/08/1997
<b>Sentence/Penalty:</b>	SENTENCE 2 YEARS COMMUNITY CONTROL STARTING 08/08/1997- SENTENCE ENEDED ON 08/31/2001. TWO YEARS OF PROBATION WERE ADDED ON FOR THE VIOLATION. COURT PAID IN THE AMOUNT OF \$5000
<b>Broker Statement</b>	WHEN I WAS 17, I WAS INVOLVED IN A FIGHT WITH ANOTHER PERSON. I OVER REACTED IN DEFENSE OF MYSELF WHEN I WAS SPRAYED WITH PEPPER SPRAY. I CROSSSED THE LINE OF SELF DEFENSE ON 08/31/01 ALL PROBATION AND FINES WERE COMPLETED.
<b>Disclosure 3 of 3</b>	
<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	SIXTH JUDICIAL CIRCUIT COURT OF THE STATE OF FLORIDA



<b>Location of Court:</b>	NEW PORT RICHEY, FL
<b>Docket/Case #:</b>	CRC-98-01932 CFAWA-04
<b>Charge Date:</b>	06/20/1998
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	AGGRAVATED BATTERY DV
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	Pre-trial Intervention
<b>Current Status:</b>	Final
<b>Status Date:</b>	08/19/1999
<b>Disposition Date:</b>	08/19/1999
<b>Sentence/Penalty:</b>	CASE DISMISSED AFTER COMPLETION PF PR-TRIAL INTERVENTION. COUNSEL WAS ORDER ON 07/29/1998 FOR 1 YEAR. CASE DISMISSED ON 08/19/1999 AFTER SUCCESSFUL COMPLETION
<b>Broker Statement</b>	I WAS INVOLVED IN AN ARGUMENT WITH MY PARTNER AT THE TIME. AS THE ARGUMENT ESCALATED THE PUSH HER DOWN SHE WAS 5 MONTHS PREGNANT AT THE TIME. I ENTERED INTO COUNSELING TO HELP ME CONTRAOL MY ANGER ISSUES.



## End of Report

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