



IAPD Report

ROLANDO JAVIER PEREZ JR

CRD# 6536522

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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

ROLANDO JAVIER PEREZ JR (CRD# 6536522)

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 **10/31/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ANIMUS WEALTH MANAGEMENT, LLC.	CRD# 309189	08/05/2020

QUALIFICATIONS

This representative is currently registered in **0** 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	EAGLE STRATEGIES LLC	110826	MCALLEN, TX	03/04/2020 - 08/06/2020
B	NYLIFE SECURITIES LLC	5167	MCALLEN, TX	09/09/2016 - 08/06/2020

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
Civil Event	1
Customer Dispute	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ANIMUS WEALTH MANAGEMENT, LLC.**
Main Address: 3600 N. MCCOLL RD
MCALLEN, TX 78501
Firm ID#: 309189

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	08/05/2020

Branch Office Locations

ANIMUS WEALTH MANAGEMENT, LLC.
3600 N. MCCOLL RD
MCALLEN, TX 78501

ANIMUS WEALTH MANAGEMENT, LLC.
3600 McColl Rd.
McAllen, TX 78501



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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 General Securities Representative Examination (S7TO)	Series 7TO	01/09/2020
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/09/2016

State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	02/28/2020
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/08/2016

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	03/04/2020 - 08/06/2020	EAGLE STRATEGIES LLC	CRD# 110826	MCALLEN, TX
B	09/09/2016 - 08/06/2020	NYLIFE SECURITIES LLC	CRD# 5167	MCALLEN, TX

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
02/2023 - Present	REA General Contractors LLC	Managing Member	N	McAllen, TX, United States
03/2021 - Present	Animus Wealth Management LLC	President and CCO	Y	McAllen, TX, United States
04/2018 - Present	Percisne Consulting LLC	Owner/Officer	N	McAllen, TX, United States
07/2021 - 01/2023	Pendulum Development Inc.	Partner Chief Financial Officer	N	McAllen, TX, United States
08/2020 - 03/2021	Animus Wealth Management LLC	Principal and Wealth Advisor	Y	SAN ANTONIO, TX, United States
03/2020 - 08/2020	EAGLE STRATEGIES LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	EDINBURG, TX, United States
02/2019 - 08/2020	ANIMUS WEALTH STRATEGIES	Owner	Y	Edinburg, TX, United States
02/2016 - 08/2020	NYLIFE SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	EDINBURG, TX, United States
08/2015 - 08/2020	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	EDINBURG, TX, United States
03/2020 - 05/2020	ATLAS RETIREMENT STRATEGIES, LLC	Associate	Y	Edinburg, TX, United States
06/2011 - 05/2016	UTPA	STUDENT	N	EDINBURG, TX, 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.

Insurance Brokering; Appointed with outside carriers for the purpose of brokering non-registered insurance products.; 2812 W. Trenton Rd. Suite 2828 Edinburg Tx 78539; Start Date 06/2018; Role/Title: Insurance Broker; Investment Related; 40 hours per month; 40 hours per month during securities trading hours

Percisne Consulting LLC.; Percisne Consulting is in business to consult other businesses in the small-scale manufacturing textile industry on growing customer base and sales.; 4224 N. McColl Rd. apt 1304 Mcallen Tx 78504; Start Date 04/2018; Role/Title: Officer; Not Investment Related; 32 hours per month; 32 hours per month during securities trading hours

REA General Contractors LLC; REA General Contracting is in the construction industry; 3600 N. McColl Rd McAllen Tx 78501; Start Date: 02/2023; Role/title: Managing Member; not investment related; 20 hours per week; 20 hours per week 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
Civil Event	1
Customer Dispute	1

Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	Petro Servicios Del Norte LLC
Relief Sought:	Restitution
Date Court Action Filed:	10/21/2022
Date Notice/Process Served:	10/24/2022
Product Type:	Other: private funding
Type of Court:	State Court
Name of Court:	370th District Court
Location of Court:	Hidalgo County, Texas
Docket/Case #:	C-4069-22
Employing firm when activity occurred which led to the action:	Animus Wealth Management, LLC
Allegations:	Claimant alleges breach of contract, fraud, conversion, civil conspiracy, and unjust enrichment.
Current Status:	Final
Resolution:	Dismissed
Resolution Date:	10/02/2023
Sanctions Ordered or Relief Granted:	



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 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Animus Wealth Management LLC

Allegations: Claimant approached defendant in March or April 2021 to help ascertain funding for company. Defendant introduced claimant to a bank to secure a line of credit. Around 7/6/2021 claimant wired \$280,000 to bank. Unable to obtain the line of credit and other funding, the defendant requested funds on 6/28/2022. \$140,000 was repaid on 7/16/2022. The balance was not paid by the due date of 8/30/2022. Claimant is suing for amount plus costs and damages.

Product Type: Other: private funding

Alleged Damages: \$140,000.00

Alleged Damages Amount Explanation (if amount not exact): claimant requesting reparation for actual damages, exemplary damages, prejudgment and postjudgment interest, court costs, attorney fees, and for such other relief, at law or in equity

Customer Complaint Information

Date Complaint Received:

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: 370th District Court

Location of Court: Hidalgo County, Texas

Docket/Case #: C-4069-22

Date Notice/Process Served: 10/24/2022

Litigation Pending? Yes



End of Report

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