



IAPD Report

Maria Camila Mantilla Gomez

CRD# 7880181

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5

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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

Maria Camila Mantilla Gomez (CRD# 7880181)

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 **04/11/2024**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA BBVA GLOBAL WEALTH ADVISORS, INC.	CRD# 327326	07/03/2024

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
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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



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: **BBVA GLOBAL WEALTH ADVISORS, INC.**
Main Address: 501 BRICKELL KEY DRIVE
SUITE 601
MIAMI, FL 33131
Firm ID#: 327326

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	07/03/2024

Branch Office Locations

BBVA GLOBAL WEALTH ADVISORS, INC.
501 BRICKELL KEY DRIVE
SUITE 601
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 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/19/2024
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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
03/2024 - Present	BBVA GLOBAL WEALTH ADVISORS, INC.	Investment solutions and risk lead	Y	Miami, FL, United States
09/2022 - 03/2024	BBVA Asset Management	Product Manager	Y	Bogota, Colombia
04/2018 - 09/2022	Credicorp Capital	Equity assistant portfolio manager	Y	Bogota, Colombia
09/2013 - 04/2018	BBVA Valores	Equity and Fixed income sales trader	Y	Bogota, Colombia

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.

No information reported.



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

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

Reporting Source:	Individual
Regulatory Action Initiated By:	AUTORREGULADOR DEL MERCADO DE VALORES DE COLOMBIA
Sanction(s) Sought:	Other: Admonishment
Date Initiated:	09/22/2016
Docket/Case Number:	02-2016-400 (Acumulado 01-2016-403)

Employing firm when activity occurred which led to the regulatory action: BBVA VALORES S.A. Sociedad Comisionista de Bolsa

Product Type: CD

Allegations: During a routine examination by the Colombian market self-regulatory body, AMV (Autorregulador del Mercado Colombiano) in 2016, a sampling of transactions conducted by BBVA Broker in Colombia between 2013-2014 was scrutinized. Of the transactions sampled by AMV it was found that some retail clients that were involved in selling fixed-term deposits - issued by BBVA - with BBVA executives as counterparties, including the CFO and President of BBVA Colombia.

The focus of the investigation was on the sale of these fixed-term deposits by BBVA Bank clients, who sought liquidity at the time. While these transactions were under the vigilant eye of the BBVA RIC, they became the subject of the AMV investigation. It is crucial to highlight that, despite their scrutiny, the AMV was unable to substantiate any claims that the negotiated prices were unfavorable for clients. Transaction amounts typically ranged between \$1,000 and \$10,000 USD, and the terms of these instruments differed significantly from standard CDs; As clients had received physical rewards for making these deposits at our office locations the interest rate on these was lower than the market standard CD rate.



The securities in question were physical fixed-term deposits that needed to be dematerialized by BBVA Broker. Clients had the flexibility to execute their trades through any broker of their choice. Despite this flexibility, clients consistently chose to conduct their transactions with us. Maria Camila's role primarily involved closing transactions with retail clients, and the responsibility for premium clients transactions rested with the designated individuals.

The matter was resolved in 2018, when the AMV concluded their examination. Maria Camila was admonished (no fine) for not informing clients that their counterparty was a BBVA executive. However, it is crucial to note that AMV did not allege or demonstrate that Maria Camila had knowledge of the counterparties during the transactions. Maria Camila never closed deals with any of them and had limited knowledge of the Executive clients as they were not assigned to her.

Additionally, the unique and unfavorable conditions of the securities made finding counterparties challenging, as evidenced by our records, which showed that despite exposing the securities to the market throughout the day, there were no buyers. Lastly, Maria Camila did not receive any admonishment for improper best execution as the AMV could not establish the prices were not favorable to clients.

Current Status:

Final

Resolution:

Decision

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:

06/21/2018

Sanctions Ordered:

Letter of Reprimand

Broker Statement

Maria Camila was not fined as a result of this investigation, and was not subject to any further adverse action. Furthermore she was able to continue her job functions without any limitations or stipulations resulting from the investigation.



End of Report

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