



IAPD Report

Bruno Luis Montes de Oca

CRD# 7940492

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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

Bruno Luis Montes de Oca (CRD# 7940492)

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 **02/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	10/30/2025
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	03/02/2026

QUALIFICATIONS

This representative is currently registered in **1** 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
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 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 6694

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/30/2025
B Texas	Agent	Approved	03/03/2026

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
3907 N Loop 1604 E
San Antonio, TX 78247

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716
Firm ID#: 149018

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	03/02/2026

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
15000 WEST INTERSTATE 10
SAN ANTONIO, TX 78249

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
3907 N Loop 1604 E San Antonio, TX, USA, 78247
San Antonio, TX 78247



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 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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 General Securities Representative Examination (S7TO)	Series 7TO	10/18/2025
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 Securities Industry Essentials Examination (SIE)	SIE	08/16/2025
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	02/23/2026
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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
02/2026 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	Investment Adviser Representative	Y	San Antonio, TX, United States
09/2025 - Present	Security Service Investment Group	Advisor; DBA/Support Co.	N	San Antonio, TX, United States
06/2024 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	San Antonio, TX, United States
06/2024 - Present	Securitiy Service FCU	Bank Associate	Y	San Antonio, TX, United States
01/2020 - 06/2024	Goldman & Peterson PLLC	Litigation Paralegal. Contact: Greg Peterson (Partner) - 210-294-0483	N	San Antonio, TX, United States
08/2018 - 05/2022	St. Mary's University	Student	N	San Antonio, TX, United States
05/2019 - 01/2020	Chama Gaucha	Kitchen staff	N	San Antonio, TX, United States
11/2017 - 07/2018	Lenny's Subs	Shift leader	N	San Antonio, TX, United States
08/2014 - 05/2018	Tom C. Clark High School	Student	N	San Antonio, TX, 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.

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
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Criminal	1
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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:	Bexar County Court-at-Law 1
Name of Court:	Bexar County Court-at-Law 1
Location of Court:	San Antonio, Bexar County, Texas
Docket/Case #:	CC571952
Charge Date:	04/27/2018
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Offense: TAMPERING GOVT RECORDS-MISD Facts of Arrest: AP PRESENTED FALSE TX ID TO PURCHASE ALCOHOL Complainant: AO1
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Dismissed before plea
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	12/01/2018
Disposition Date:	12/01/2018
Sentence/Penalty:	Case was dismissed, and no penalty or sentence was served.
Broker Statement	On April 27, 2018, I was arrested for using a fake driver's license to try to purchase alcohol for myself at a restaurant in San Antonio, Texas. I was a young, 18-year-old, senior in high school, that made a bad decision that I regret profusely. I made a huge mistake ob-taining the false government document (Texas driver's license),



and a second one when I attempted to use it. It was a mistake I made 7 years ago when I was an immature teenager. I have since then turned my life around to focus on my education, and professional life, which, included applying to law school. In these applications I disclosed my arrest. I was unconditionally accepted to law school with the arrest taken into consideration.

Additionally, I would like to state that I took the action of hiring an attorney when the arrest occurred. The attorney was able to get the case dismissed and I was under the im-pression that it would not appear on my criminal record. I know now that the arrest does not appear on my state criminal record, however, it does appear when a search is conducted by the FBI. I wanted to go ahead and pre-emptively disclose my arrest either way because this arrest is non-representative of who I am today. This type of action is not anything I would even consider repeating today.

This is a part of my life that I will always be open and honest about, as I have nothing to hide. More records can be found on the matter if you search on Bexar County Court Rec-ords and enter case number 'CC571952.' Do not hesitate to contact me if you have any fur-ther questions or concerns. I will be happy to provide any further information requested.



End of Report

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