BrokerCheck Report

INSIGNEO SECURITIES, LLC

CRD# 29249

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

INSIGNEO SECURITIES, LLC

CRD# 29249

SEC# 8-44166

Main Office Location

1221 BRICKELL AVE
27TH FLOOR
MIAMI, FL 33131
Regulated by FINRA Florida Office

Mailing Address

1221 BRICKELL AVE
27TH FLOOR
MIAMI, FL 33131

Business Telephone Number

305-373-9000

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Florida on 12/24/1998.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 14 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Florida on 12/24/1998.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

INSIGNEO SECURITIES, LLC

Doing business as INSIGNEO SECURITIES, LLC

CRD# 29249

SEC# 8-44166

Main Office Location

1221 BRICKELL AVE
27TH FLOOR
MIAMI, FL 33131

Regulated by FINRA Florida Office

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MIAMI, FL 33131

Business Telephone Number

305-373-9000

Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	INSIGNEO FINANCIAL GROUP LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER - CLASS A
Position Start Date	12/2024
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	INSIGNEO PUERTO RICO PARTNERSHIP HOLDINGS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER - CLASS B
Position Start Date	12/2024
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	INSIGNEO SECURITIES PARTNERSHIP HOLDINGS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER - CLASS B
Position Start Date	12/2024
Percentage of Ownership	10% but less than 25%

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
Legal Name & CRD# (if any):	ARANA LANDAETA, MARIELA CECILIA 4830220
Is this a domestic or foreign entity or an individual?	Individual
Position	HEAD OF CLIENT EXPERIENCE
Position Start Date	02/2023
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
Legal Name & CRD# (if any):	ARNETT, GEORGE WASHINGTON III 1057806
Is this a domestic or foreign entity or an individual?	Individual
Position	GENERAL COUNSEL AND DIRECTOR
Position Start Date	12/2024
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
Legal Name & CRD# (if any):	AVERETT, MICHAEL ROBERT 5311774

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	CO-MANAGER/CHIEF GROWTH OFFICER AND DIRECTOR
Position Start Date	04/2026
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CANINO QUINONES, LIZMARI 6007866
Is this a domestic or foreign entity or an individual?	Individual
Position	HEAD OF SALES SUPERVISION
Position Start Date	09/2024
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CAULFIELD, JUSTIN PAUL SR 5699024
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	05/2025
Percentage of Ownership	Less than 5%

Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CEDENO, CLAUDIA 5235772
Is this a domestic or foreign entity or an individual?	Individual
Position	BSA | AML OFFICER
Position Start Date	09/2022
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CHUANG, ERIC C 3215724
Is this a domestic or foreign entity or an individual?	Individual
Position	HEAD OF BROKERAGE COMPLIANCE
Position Start Date	03/2026
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	EFFIO, TAMARIND 7255243

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	BUSINESS DEVELOPMENT OFFICER
Position Start Date	09/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HENRIQUEZ, RAUL JR 1647412
Is this a domestic or foreign entity or an individual?	Individual
Position	CHAIRMAN OF THE BOARD
Position Start Date	04/2012
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	NUNEZ, FRANCISCO 8017439
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	12/2024
Percentage of Ownership	Less than 5%

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	POLEMENI PEREZ, MONICA 4130068
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL OPERATIONS OFFICER
Position Start Date	09/2023
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	QUINONES GUILLEMARD, TOMAS R 4746543
Is this a domestic or foreign entity or an individual?	Individual
Position	HEAD OF RISK & CONTROLS
Position Start Date	03/2026
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	RIESGO, AHMED 5020318

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF INVESTMENT OFFICER
Position Start Date	07/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	RIVERA CRUZ, MIGUEL ANGEL
	3255902
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP/HEAD OF PUERTO RICO TAX AFFAIRS
Position Start Date	04/2026
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	RIVERO, JAVIER
	4498023
Is this a domestic or foreign entity or an individual?	Individual
Position	CO-MANAGER/CHIEF OF ADVISOR EXPERIENCE AND DIRECTOR
Position Start Date	04/2026
Percentage of Ownership	Less than 5%

Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	WATSON, CHRISTIAN PIERCE 4917370
Is this a domestic or foreign entity or an individual?	Individual
Position	HEAD OF TRADING
Position Start Date	07/2018
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	INSIGNEO FINANCIAL GROUP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	INSIGNEO SECURITIES PARTNERSHIP HOLDINGS LLC
Relationship to Direct Owner	MEMBER
Relationship Established	12/2024
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	INSIGNEO FINANCIAL GROUP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	INSIGNEO PUERTO RICO PARTNERSHIP HOLDINGS LLC
Relationship to Direct Owner	MEMBER
Relationship Established	12/2024
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	R-HENRIQUEZ HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity

Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established	NORTHEASTGIS HOLDING, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	02/2017
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	RAUL HENRIQUEZ REVOCABLE TRUST
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	R-HENRIQUEZ HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	12/2005
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	NORTHEASTGIS HOLDING, INC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	INSIGNEO FINANCIAL GROUP, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	02/2017

Indirect Owners (continued)

Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	RAUL HENRIQUEZ CHILDREN'S TRUST
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	R-HENRIQUEZ HOLDINGS, LLC
Relationship to Direct Owner	MEMBER
Relationship Established	02/2017
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HENRIQUEZ, RAUL JR 1647412
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	RAUL HENRIQUEZ REVOCABLE TRUST
Relationship to Direct Owner	TRUSTEE
Relationship Established	12/2005
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes

Indirect Owners (continued)

Is this a public reporting company?	No

Legal Name & CRD# (if any):	SILVA HENRIQUEZ, SARA ROXANA
	6759348
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	RAUL HENRIQUEZ CHILDREN'S TRUST
Relationship to Direct Owner	TRUSTEE
Relationship Established	02/2017
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/25/1991

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	10/24/1991

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/23/2017
Alaska	Approved	01/10/2017
Arizona	Approved	02/01/2016
Arkansas	Approved	02/09/2017
California	Approved	06/27/2001
Colorado	Approved	07/01/2015
Connecticut	Approved	02/09/2016
Delaware	Approved	03/24/2016
District of Columbia	Approved	01/24/2017
Florida	Approved	11/01/1991
Georgia	Approved	08/02/2001
Hawaii	Approved	04/05/2017
Idaho	Approved	01/05/2017
Illinois	Approved	03/16/2016
Indiana	Approved	02/03/2017
Iowa	Approved	02/02/2017
Kansas	Approved	02/24/2017
Kentucky	Approved	01/12/2017
Louisiana	Approved	02/06/2017
Maine	Approved	02/28/2017
Maryland	Approved	03/27/2015
Massachusetts	Approved	06/28/2001
Michigan	Approved	05/03/2016
Minnesota	Approved	12/21/2016
Mississippi	Approved	02/21/2017
Missouri	Approved	07/11/2025
Montana	Approved	04/13/2017
Nebraska	Approved	03/02/2017
Nevada	Approved	03/06/2017
New Hampshire	Approved	02/24/2017
New Jersey	Approved	08/28/2001
New Mexico	Approved	03/28/2017
New York	Approved	08/16/2001

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	07/27/2001
North Dakota	Approved	02/24/2017
Ohio	Approved	02/07/2017
Oklahoma	Approved	12/20/2016
Oregon	Approved	02/28/2017
Pennsylvania	Approved	02/07/2017
Puerto Rico	Approved	11/01/2006
Rhode Island	Approved	02/22/2017
South Carolina	Approved	01/03/2017
South Dakota	Approved	02/24/2017
Tennessee	Approved	01/06/2017
Texas	Approved	04/28/2010
Utah	Approved	03/13/2017
Vermont	Approved	01/09/2017
Virgin Islands	Approved	03/29/2017
Virginia	Approved	06/20/2001
Washington	Approved	03/14/2017
West Virginia	Approved	03/09/2017
Wisconsin	Approved	09/29/2016
Wyoming	Approved	03/24/2017

Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 14 types of businesses.

Types of Business

Types of Business
Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities
Broker or dealer involved in a networking, kiosk or similar arrangment with a: insurance company or agency
Other - CURRENCY FORWARD TRANSACTIONS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	10/01/1991
Description:	THE FIRM WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH PERSHING LLC, AN AFFILIATE OF THE BANK OF NEW YORK MELLON.

Firm Operations

Industry Arrangements

This firm does have books or records maintained by a third party.

Name:	SKIENCE SAFE
Business Address:	580 HERNDON PARKWAY, STE 500 HERNDON, VA 20170
Effective Date:	09/09/2020
Description:	THE FIRM UTILIZES SKIENCE SAFE TO STORE CERTAIN DOCUMENTS FROM ITS CLEARING CORRESPONDENT, PERSHING LLC.

Name:	ORION ADVISOR TECHNOLOGY LLC
Business Address:	17605 WRIGHT STREET OMAHA, NE 68130
Effective Date:	01/04/2024
Description:	THE FIRM UTILIZES ORION PRIMARILY FOR DATA AGGREGATION AND CONSOLIDATED REPORTING.

Name:	NICE (ACTIMIZE)
Business Address:	221 RIVER ST, STE 10 HOBOKEN, NJ 07030
Effective Date:	03/29/2024
Description:	THE FIRM UTILIZES THE NICE ACTIMIZE SOLUTION FOR ITS AML MONITORING AS WELL AS CERTAIN SELECT AREAS FOR SALES PRACTICE MONITORING AND SUPERVISION.

Name:	MCO
Business Address:	535 5TH AVENUE, 4TH FL NEW YORK, NY 10017
Effective Date:	01/12/2024
Description:	THE FIRM UTILIZES MCO (MY COMPLIANCE OFFICE) TO MAINTAIN RECORDS OF VARIOUS COMPLIANCE RECORD KEEPING REQUIREMENTS.

Name:	BLOOMBERG
Business Address:	731 LEXINGTON AVENUE NEW YORK, NY 10022
Effective Date:	09/23/2016

Firm Operations

Industry Arrangements (continued)

Description:	THE FIRM UTILIZES BLOOMBERG TOMS (TRADE ORDER MANAGEMENT SOLUTIONS) FOR TRACE REPORTING AND RELATED TASKS

Name:	GLOBAL RELAY
Business Address:	220 CAMBIE STREET, 2ND FL VANCOUVER, CANADA BC V6B 2M9
Effective Date:	05/21/2012
Description:	GLOBAL RELAY MAINTAINS AND ARCHIVES THE FIRM'S ELECTRONIC COMMUNICATIONS AND MESSAGES

Name:	STONEX FINANCIAL INC.
Business Address:	2 PERIMETER PARK, SUITE 100W BIRMINGHAM, AL 35243
Effective Date:	11/12/2020
Description:	THE FIRM WILL OPERATE UNDER A FULY DISCLOSED CLEARING ARRANGEMENT WITH STONEX FINANCIAL INC.

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	10/01/1991
Description:	THE FIRM WILL OPERATE UNDER A FULY DISCLOSED CLEARING ARRANGEMENT WITH PERSSHING,LLC AN AFFILIATE OF THE BANK OF NEW YORK, MELLON.

This firm does have accounts, funds, or securities maintained by a third party.

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	10/01/1991
Description:	THE FIRM WILL OPERATE UNDER A FULLY DISCLOSED CLEARING AGREEMENT WITH PERSHING LLC, AN AFFILIATE OF THE BANK OF NEW YORK MELLON.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name:	PERSHING LLC

Firm Operations

Industry Arrangements (continued)

CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	10/01/1991
Description:	THE FIRM WILL OPERATE PURSUANT TO THE (K)(2)(II) EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3 AND WILL NOT HOLD CUSTOMER FUNDS OR SECURITES.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

INSIGNEO GESTOR INTERNATIONAL S.A. is under common control with the firm.

Business Address:	RUTA 8 KM 17.500 ZONAMERICA EDIFICIO BETA 4, OFICINA 02 MONTEVIDEO, URUGUAY
Effective Date:	02/01/2024
Foreign Entity:	Yes
Country:	URUGUAY
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	INSIGNEO FINANCIAL GROUP LLC OWNS 100% OF INSIGNEO SECURITIES LLC AND INSIGNEO GESTOR INTERNATIONAL S.A., THEREFORE BOTH ENTITIES ARE UNDER COMMON CONTROL.

INSIGNEO CAYMAN LLC is under common control with the firm.

Business Address:	NEXUS WAY CAMANA BAY GRAND CAYMAN, CAYMAN ISLANDS KY1-9009
Effective Date:	07/04/2025
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	INSIGNEO FINANCIAL GROUP LLC OWNS 100% OF INSIGNEO SECURITIES LLC AND INSIGNEO CAYMAN LLC, THEREFORE BOTH ENTITIES ARE UNDER

Organization Affiliates (continued)

COMMON CONTROL.

INSIGNEO ASESOR INTERNACIONAL S.A. is under common control with the firm.

Business Address:	RUTA 8 KM 17.5 EDIFICIO BETA 4 OFICINA 001A MONTEVIDEO, URUGUAY
Effective Date:	08/01/2022
Foreign Entity:	Yes
Country:	URUGUAY
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE AFFILIATED ENTITY AND THE APPLICANT ARE UNDER COMMON CONTROL OF INSIGNEO FINANCIAL GROUP, WHICH IS THE APPLICANT'S, AND AFFILIATE'S INDIRECT OWNER. FORMERLY KNOWN AS CITI ASESORES DE URUGUAY, NAME CHANGED AUG 2022 AND PREVIOUSLY JINKALER S.A., NAME CHANGED AUG 2011

INSIGNEO ASESOR URUGUAY S.A. is under common control with the firm.

Business Address:	CR. LUIS E. LECUEDER 3536 WORLD TRADE CENTER, TORRE 2, OFICINA 314 MONTEVIDEO, URUGUAY
Effective Date:	10/07/2020
Foreign Entity:	Yes
Country:	URUGUAY
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	INSIGNEO FINANCIAL GROUP, LLC OWNS 100% OF INSIGNEO SECURITIES, LLC AND INSIGNEO HOLDINGS URUGUAY LLC. MOREOVER, INSIGNEO HOLDING URUGUAY LLC OWNS 100% OF INSIGNEO ASESOR URUGUAY S.A. AND THEREFORE ARE UNDER COMMON CONTROL.

INSIGNEO ASESORES DE INVERSION LATAM SA is under common control with the firm.

Business Address:	RUTA 8 KM 17.500 EDIFICIO @ 1

Firm Operations

Organization Affiliates (continued)

	OFICINA 109 ZONAAMERICA MONTEVIDEO, URUGUAY 91600
Effective Date:	09/30/2020
Foreign Entity:	Yes
Country:	URUGUAY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INSIGNEO FINANCIAL GROUP, LLC OWNS 100% OF INSIGNEO SECURITIES, LLC AND INSIGNEO HOLDINGS LATAM LLC. MOREOVER, INSIGNEO HOLDING LATAM LLC OWNS 100% OF INSINGEO ASESORES DE INVERSION LATAM SA AND THEREFORE ARE UNDER COMMON CONTROL.

INSIGNEO ARGENTINA SOCIEDAD ANONIMA UNIPERSONAL is under common control with the firm.

Business Address:	FONDO DE LA LEGUA 936 PB SAN ISIDRO BUENOS AIRES, ARGENTINA 1640
Effective Date:	09/01/2020
Foreign Entity:	Yes
Country:	ARGENTINA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INSIGNEO FINANCIAL GROUP, LLC OWNS 100% OF INSIGNEO SECURITIES, LLC AND INSIGNEO ARGENTINA SOCIEDAD ANONIMA UNIPERSONAL AND THEREFORE ARE UNDER COMMON CONTROL.

INSIGNEO ASESORIAS FINANCIERAS SPA is under common control with the firm.

Business Address:	AV. EL BOSQUE NORTE 0211 OF 101 LAS CONDES SANTIAGO, CHILE
Effective Date:	03/11/2021
Foreign Entity:	Yes
Country:	CHILE

Firm Operations

Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INSIGNEO FINANCIAL GROUP, LLC OWNS 100% OF INSIGNEO SECURITIES, LLC AND INSIGNEO ASESORIAS FINANCIERAS SPA AND THEREFORE ARE UNDER COMMON CONTROL.

HENCORP, S.A. DE C.V. CASA DE CORREDORES DE BOLSA is under common control with the firm.

Business Address:	C. LLAMA DEL BOSQUE PONIENTE, EDIF. AVANTE URB. MADRE SELVA, ANTIGUO CUSCATLAN LA LIBERTAD, EL SALVADOR
Effective Date:	03/22/2018
Foreign Entity:	Yes
Country:	EL SALVADOR
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	HENCORP SA DE CV CASA DE CORREDORES DE BOLSA: INDIRECT OWNERSHIP BY R-HENRIQUEZ HOLDING LLC.

HENCORP VALORES, LTDA. TITULARIZADORA is under common control with the firm.

Business Address:	BLVD. ORDEN DE MALTA, EDIF. D'CORA, URB. SANTA ELENA ANTIGUO CUSCATLAN LA LIBERTAD, EL SALVADOR
Effective Date:	06/24/2008
Foreign Entity:	Yes
Country:	EL SALVADOR
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	HENCORP VALORES, LTDA TITULARIZADORA: INDIRECT OWNERSHIP BY R-HENRIQUEZ HOLDING LLC

INSIGNEO ADVISORY SERVICES, LLC is under common control with the firm.

CRD #:	282589

Firm Operations

Organization Affiliates (continued)

Business Address:	1221 BRICKELL AVE 27TH FLOOR MIAMI, FL 33131
Effective Date:	02/25/2016
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INSIGNEO FINANCIAL GROUP, LLC OWNS 100% OF INSIGNEO SECURITIES, LLC AND INSIGNEO ADVISORY SERVICES, LLC AND THEREFORE ARE UNDER COMMON CONTROL.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	3	0

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source:	Firm
Current Status:	Final

Allegations:	INSIGNEO SECURITIES LLC (THE "FIRM") DID NOT PROVIDE NOTIFICATION TO THE INSURANCE COMMISSIONER OF THE STATE OF CALIFORNIA REGARDING THE FIRM'S AWC SETTLEMENT WITH FINRA WHICH WAS FINALIZED ON DECEMBER 18, 2024.
Initiated By:	STATE OF CALIFORNIA - DEPARTMENT OF INSURANCE
Date Initiated:	05/13/2025
Docket/Case Number:	LIC 25-00153-A
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	05/13/2025
Sanctions Ordered:	Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	INSIGNEO SECURITIES LLC PAID A FINE OF $2500 TO THE STATE OF CALIFORNIA INSURANCE COMMISSIONER ON OR ABOUT JUNE 6, 2025.

Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO REASONABLY SUPERVISE A FORMER REGISTERED REPRESENTATIVE'S PARTICIPATION IN PRIVATE SECURITIES TRANSACTIONS. THE FINDINGS STATED THAT THE FIRM DISCOVERED THAT A FIRM REGISTERED REPRESENTATIVE PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS WHEN HE RECOMMENDED THAT CUSTOMERS INVEST IN A PRIVATE PLACEMENT OFFERING THAT WAS NOT APPROVED BY THE FIRM. FOLLOWING THAT DISCOVERY, THE FIRM IMPLEMENTED A CONDITIONAL EXCEPTION TO THE FIRM'S PROHIBITION FOR PARTICIPATING IN PRIVATE SECURITIES TRANSACTIONS THAT APPLIED ONLY TO THE REGISTERED REPRESENTATIVE. THE EXCEPTION PERMITTED HIM TO SELL PRIVATE PLACEMENTS THROUGH THE REPRESENTATIVE'S UNAFFILIATED

	INVESTMENT ADVISOR WITHOUT PROVIDING THE INFORMATION REQUIRED BY FINRA RULE 3280, INCLUDING PRIOR WRITTEN NOTICE DESCRIBING EACH TRANSACTION IN DETAIL, AND WITHOUT OBTAINING APPROVAL FROM THE FIRM FOR EACH TRANSACTION. THE REGISTERED REPRESENTATIVE SOLD SECURITIES ASSOCIATED WITH SIX PRIVATE PLACEMENTS AWAY FROM THE FIRM WITHOUT PROVIDING ADVANCE NOTICE, TOTALING $9.75 MILLION, TO 25 INVESTORS, EIGHT OF WHOM ALSO WERE FIRM CUSTOMERS. THE FIRM DID NOT CONDUCT A CONTEMPORANEOUS REVIEW OF THE OFFERINGS OR THE INVESTORS WHO PARTICIPATED OR DETERMINE WHETHER THE REPRESENTATIVE OBTAINED SELLING COMPENSATION THAT REQUIRED THE FIRM TO RECORD THE TRANSACTIONS ON ITS BOOKS AND RECORDS. THE FINDINGS ALSO STATED THAT THAT THE FIRM OVERREPORTED, FAILED TO REPORT AND INACCURATELY REPORTED ALMOST 10,000 EXECUTED CUSTOMER TRANSACTIONS TO TRACE. THESE REPORTS CONSTITUTED APPROXIMATELY 24% OF THE TRACE REPORTS THE FIRM SUBMITTED DURING THE TIME PERIOD.
Initiated By:	FINRA
Date Initiated:	12/18/2024
Docket/Case Number:	2021071366302
Principal Product Type:	Other
Other Product Type(s):	UNSPECIFIED SECURITIES
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/18/2024
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine $85,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED $85,000. FINE PAID IN FULL ON

MARCH 7, 2025.

Reporting Source:	Firm
Current Status:	Final
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO REASONABLY SUPERVISE A FORMER REGISTERED REPRESENTATIVE'S PARTICIPATION IN PRIVATE SECURITIES TRANSACTIONS. THE FINDINGS STATED THAT THE FIRM DISCOVERED THAT A FIRM REGISTERED REPRESENTATIVE PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS WHEN HE RECOMMENDED THAT CUSTOMERS INVEST IN A PRIVATE PLACEMENT OFFERING THAT WAS NOT APPROVED BY THE FIRM. FOLLOWING THAT DISCOVERY, THE FIRM IMPLEMENTED A CONDITIONAL EXCEPTION TO THE FIRM'S PROHIBITION FOR PARTICIPATING IN PRIVATE SECURITIES TRANSACTIONS THAT APPLIED ONLY TO THE REGISTERED REPRESENTATIVE. THE EXCEPTION PERMITTED HIM TO SELL PRIVATE PLACEMENTS THROUGH THE REPRESENTATIVE'S UNAFFILIATED INVESTMENT ADVISOR WITHOUT PROVIDING THE INFORMATION REQUIRED BY FINRA RULE 3280, INCLUDING PRIOR WRITTEN NOTICE DESCRIBING EACH TRANSACTION IN DETAIL, AND WITHOUT OBTAINING APPROVAL FROM THE FIRM FOR EACH TRANSACTION. THE REGISTERED REPRESENTATIVE SOLD SECURITIES ASSOCIATED WITH SIX PRIVATE PLACEMENTS AWAY FROM THE FIRM WITHOUT PROVIDING ADVANCE NOTICE, TOTALING $9.75 MILLION, TO 25 INVESTORS, EIGHT OF WHOM ALSO WERE FIRM CUSTOMERS. THE FIRM DID NOT CONDUCT A CONTEMPORANEOUS REVIEW OF THE OFFERINGS OR THE INVESTORS WHO PARTICIPATED OR DETERMINE WHETHER THE REPRESENTATIVE OBTAINED SELLING COMPENSATION THAT REQUIRED THE FIRM TO RECORD THE TRANSACTIONS ON ITS BOOKS AND RECORDS. THE FINDINGS ALSO STATED THAT THAT THE FIRM OVERREPORTED, FAILED TO REPORT AND INACCURATELY REPORTED ALMOST 10,000 EXECUTED CUSTOMER TRANSACTIONS TO TRACE. THESE REPORTS CONSTITUTED APPROXIMATELY 24% OF THE TRACE REPORTS THE FIRM SUBMITTED DURING THE TIME PERIOD.
Initiated By:	FINRA
Date Initiated:	12/18/2024
Docket/Case Number:	2021071366302
Principal Product Type:	Other
Other Product Type(s):	UNSPECIFIED SECURITIES
Principal Sanction(s)/Relief	

Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/18/2024
Sanctions Ordered:	Censure Monetary/Fine $85,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED $85,000.

Disclosure 3 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	NASD RULE 6230 - GLOBAL INVESTOR SERVICES, LLC FAILED TO TIMELY REPORT TRACE-ELIGIBLE TRANSACTIONS AND FAILED TO REPORT SOME TRACE-ELIGIBLE TRANSACTIONS IN ANY MANNER.
Initiated By:	NASD
Date Initiated:	06/04/2007
Docket/Case Number:	2006003701401
Principal Product Type:	Other
Other Product Type(s):	TRACE-ELIGIBLE TRANSACTIONS
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	06/04/2007
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS FINED $5,000.

Reporting Source:	Firm
Current Status:	Final
Allegations:	NASD RULE 6230- GLOBAL INVESTOR SERVICES ,LLC FAILED TO TIMELY REPORT SOME TRACE TRANSACTIONS AND FAILED TO REPORT SOME TRACE-ELIGIBLE TRANSACTIONS IN ANY MANNER .
Initiated By:	FINRA
Date Initiated:	06/04/2007
Docket/Case Number:	2006003701401
Principal Product Type:	Debt - Corporate
Other Product Type(s):	TRACE ELIGIBLE BONDS
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	06/04/2007
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	WITHOUT ADMITTING OR DENYING THE FIRM CONSENTED TO THE THE DESCRIBED MONETARY FINE OF $5,000.00
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FIRM CONSENTED TO THE THE DESCRIBED MONETARY FINE OF $5,000.00

End of Report

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