

BrokerCheck Report

IVAN MANUEL ILLAN

CRD# 2820366

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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.

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.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



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.

**IVAN M. ILLAN**

CRD# 2820366

Currently employed by and registered with the following Firm(s):

**IA ALIGN WEALTH ADVISORS
INVESTMENT MANAGEMENT (AWAIM)**
1801 CENTURY PARK EAST
SUITE 1440
LOS ANGELES, CA 90067
CRD# 321735
Registered with this firm since: 06/13/2022

B LPL FINANCIAL LLC
1801 CENTURY PARK E, STE 1440
LOS ANGELES, CA 90067
CRD# 6413
Registered with this firm since: 06/13/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 18 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
04/2025 - 07/2025
- B MML INVESTORS SERVICES, LLC**
CRD# 10409
LOS ANGELES, CA
04/2005 - 06/2022
- IA MML INVESTORS SERVICES, LLC**
CRD# 10409
SPRINGFIELD, MA
03/2005 - 06/2022

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 18 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **ALIGN WEALTH ADVISORS INVESTMENT MANAGEMENT (AWAIM)**
 Main Office Address: **1801 CENTURY PARK EAST
 SUITE 1440
 LOS ANGELES, CA 90067**
 Firm CRD#: **321735**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	06/13/2022
IA	Louisiana	Investment Adviser Representative	Approved	02/21/2025
IA	Texas	Investment Adviser Representative	Approved	09/30/2022

Branch Office Locations

1801 CENTURY PARK EAST
 SUITE 1440
 LOS ANGELES, CA 90067

Employment 2 of 2

Firm Name: **LPL FINANCIAL LLC**
 Main Office Address: **1055 LPL WAY
 FORT MILL, SC 29715**
 Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	06/13/2022
B	FINRA	General Securities Representative	Approved	06/13/2022

Broker Qualifications



Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Municipal Securities Principal	Approved	06/13/2022
B FINRA	Municipal Securities Representative	Approved	06/13/2022

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	09/23/2022
B California	Agent	Approved	06/13/2022
B Colorado	Agent	Approved	09/21/2022
B Connecticut	Agent	Approved	03/31/2025
B Florida	Agent	Approved	06/23/2022
B Georgia	Agent	Approved	09/12/2022
B Hawaii	Agent	Approved	06/23/2022
B Idaho	Agent	Approved	09/19/2022
B Illinois	Agent	Approved	01/05/2024
B Missouri	Agent	Approved	06/29/2022
B Montana	Agent	Approved	06/23/2022
B Nevada	Agent	Approved	06/23/2022
B New Jersey	Agent	Approved	08/30/2022
B New York	Agent	Approved	08/30/2022
B North Carolina	Agent	Approved	06/23/2022
B Texas	Agent	Approved	06/13/2022
B Washington	Agent	Approved	06/23/2022

Broker Qualifications



Employment 2 of 2, continued Branch Office Locations

LPL FINANCIAL LLC
1801 CENTURY PARK E, STE 1440
LOS ANGELES, CA 90067



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	03/03/2008
B General Securities Principal Examination	Series 24	05/02/2005

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	04/07/2005

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/18/2005
IA Uniform Investment Adviser Law Examination	Series 65	07/10/2002

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 04/2025 - 07/2025	LPL FINANCIAL LLC	6413	LOS ANGELES, CA
B 04/2005 - 06/2022	MML INVESTORS SERVICES, LLC	10409	LOS ANGELES, CA
IA 03/2005 - 06/2022	MML INVESTORS SERVICES, LLC	10409	LOS ANGELES, CA
IA 11/2003 - 09/2004	FISHER INVESTMENTS, INC.	107342	BIRMINGHAM, AL
B 04/2002 - 11/2002	QUEST CAPITAL STRATEGIES, INC.	16783	LAGUNA HILLS, CA
B 01/2001 - 06/2001	FIRST FUND DISTRIBUTORS, INC.	27038	PHOENIX, AZ
B 07/1997 - 04/2000	JOHN NUVEEN & CO., INCORPORATED	469	CHICAGO, IL

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
06/2022 - Present	AWAIM	CCO, FOUNDER, CIO, MEMBER	Y	LOS ANGELES, CA, United States
06/2022 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	LOS ANGELES, CA, United States
03/2012 - 06/2022	AWAIM (CRIA for MML INVESTORS SERVICES)	FOUNDER, REGISTERED PRINCIPAL, MEMBER	Y	LOS ANGELES, CA, United States
02/2005 - 06/2022	MASS MUTUAL FINANCIAL	AGENT	Y	SPFLD, MA, United States
02/2005 - 06/2022	MML INVESTORS SERVICES	REG REP	Y	LOS ANGELES, CA, United States

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

- 1) 6/2022- ALIGN WEALTH ADVISORS INVESTMENT MANAGEMENT (AWAIM)- DBA for LPL Business (entity for LPL business)- inv. related- - LOS ANGELES, CA- start date 2/2019
 - 2) 6/2022- ALIGN WEALTH PRESERVATION INSURNANCE SERVICES LLC- DBA for LPL Business (entity for LPL business)-inv. related- LOS ANGELES, CA- start date 3/2012
 - 3) 6/2022- Ivan Illan - Non-Variable Insurance- Agent selling LTC, Disability, Life, Fixed Annuities, Health.- inv. related- Los Angeles, CA- start date 2005
 - 4) 06/13/22 - ALIGN WEALTH ADVISORS INVESTMENT MANAGEMENT (AWAIM) - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 3/2012.
 - 5) 06/14/2022 - Align Wealth Advisors Investment Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Owner Founder and Chief Investment Officer - Start Date - 6/2022 - 160 Hours Per Month - Time Spent 100% - I provide investment advisory services through Align Wealth Advisors Investment Management, an independent investment advisor firm. I started this business activity in 6/2022. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
 - 6.06/13/2022 - No Business Name - Investment Related - Home Based - Act in a Fiduciary Capacity - Trustee - Start Date - 2009 - 0 Hours Per Month.
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End of Report



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