

BrokerCheck Report

EPIFANIO GIANAN CAPISTRANO JR

CRD# 3048707

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



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:
 - o 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
 - o 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.

EPIFANIO G. CAPISTRANO JR

CRD# 3048707

This broker is not currently registered.

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 not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- B** **TRANSAMERICA FINANCIAL ADVISORS, INC**
CRD# 16164
LAS VEGAS, NV
08/2021 - 12/2021
- B** **TRANSAMERICA FINANCIAL ADVISORS, INC**
CRD# 16164
LAS VEGAS, NV
01/2012 - 12/2020
- B** **WORLD GROUP SECURITIES, INC.**
CRD# 114473
LAS VEGAS, NV
04/2002 - 01/2012

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

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 broker is not currently registered.



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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/03/1998

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/01/1998

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
B 08/2021 - 12/2021	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	LAS VEGAS, NV
B 01/2012 - 12/2020	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	LAS VEGAS, NV
B 04/2002 - 01/2012	WORLD GROUP SECURITIES, INC.	114473	LAS VEGAS, NV
B 06/1998 - 04/2002	WMA SECURITIES, INC.	32625	DULUTH, GA

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
08/2021 - Present	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REPRESENTATIVE	Y	LAS VEGAS, NV, United States
06/2021 - Present	WORLD FINANCIAL GROUP INC	SENIOR MARKETING	N	LAS VEGAS, NV, United States
01/2019 - Present	Simple Senior	Independent Advisor	N	Las Vegas, NV, United States
11/2013 - Present	HEALTH PLAN OF NEVADA	HEALTH INSURANCE AGENT	N	LAS VEGAS, NV, United States
07/2009 - Present	AETNA, INC.	AGENT	N	LAS VEGAS, NV, United States
12/2000 - Present	ANTHEM BLUE CROSS & BLUE SHIELD	INS AGENT	N	LAS VEGAS, NV, United States
01/2012 - 12/2020	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REP.	Y	LAS VEGAS, NV, United States
06/2001 - 12/2020	WORLD FINANCIAL GROUP, INC.	ASSOCIATE	N	LAS VEGAS, NV, United States
04/2018 - 06/2019	HEALTH INSURANCE	AGENT	N	LAS VEGAS, NV, 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.

Sales of insurance products and non-insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc

HEALTH PLAN OF NEVADA; NOT INVESTMENT RELATED; 2720 N. TENAYA WAY, LAS VEGAS NV 89128; SELLING MEDICAL/HEALTH INSURANCE; HEALTH INSURANCE AGENT; 11/2013; 40 HRS/MONTH; ASSISTING PROSPECTS/ENROLLING CLIENTS FOR MEDICAL INSURANCE THRU THE NEVADA HEALTH LINK.

HEALTH INSURANCE/NOT INVESTMENT RELATED/AGENT/4.1.2018/EPIFANIO CAPISTRANO JR.- AGENT, 3230 SOUTH BUFFALO DRIVE, SUITE 108, LAS VEGAS, NV 89117/MEDICARE ENROLLMENTS/ENROLLING CLIENTS TURNING 65 ELIGIBLE FOR MEDICARE./HOURS.MONTH: 30/SECURITIES TRADING HOURS: 1

Simple Senior / 0119-present/ Investment Related - NO/4045 Spenser St. Suite 116 Las Vegas, NV 89119/Independent Advisor /Medicare Advantage and Medicare Supplements / hrs. work monthly: 10 / Sec trading hrs. 2/Advising senior Medicare beneficiaries on the Medicare options

Atena, Inc / 0709-Present / INVESTMENT RELATED: NO / Las Vegas, NV /Agent / Nature of business/ hrs work monthly: 0/ Sec trading hrs: 0 / duties

Anthem Blue Cross & Blue Shield / 12/2000-Present / INVESTMENT RELATED: NO / 9133 W. Russell Rd, Las Vegas, NV 89148 /Agent / Nature of business to sell health insurance plans/ not more than 85% of time devoted to this OBA/ Sec trading hrs: not more than 85%

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF NEVADA, OFFICE OF THE SECRETARY OF STATE SECURITIES DIVISION
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	LETTER OF CAUTION
Date Initiated:	07/09/2007
Docket/Case Number:	106-079
Employing firm when activity occurred which led to the regulatory action:	WORLD GROUP SECURITIES, INC.
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	THE STATE OF NEVADA SECURITIES DIVISION HAS FOUND THE REPRESENTATIVE IN VIOLATION OF STATE STATUTES AND HAS ISSUED A LETTER OF CAUTION. THE DIVISION FOUND THAT THE REPRESENTATIVE HAD (1) PLACED AN UNAUTHORIZED TRADE ON BEHALF OF THE CLIENT; (2) FAILED TO FOLLOW PROCEDURES PURSUANT TO THE RECEIPT OF FUNDS; (3) FAILED TO FOLLOW PROCEDURES PURSUANT TO NEW ACCOUNT OPENING; (4) ALTERED THE DATES OF NEW ACCOUNT DOCUMENTATION AND A CHECK.



Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/03/2007
Sanctions Ordered:	Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	LETTER OF CAUTION AND \$1000.00 FINE
Broker Statement	I DID NOT ALTER THE DATE ON THE CHECK. I AGREED TO PAY MONETARY PENALTY OF \$1000.00 PURSUANT TO THE LETTER OF CAUTION.

End of Report



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