BrokerCheck Report

Randall Silva

CRD# 6259262

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.

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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.

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

IA **LPL FINANCIAL LLC**
780 JUAN TABO NE
ALBUQUERQUE, NM 87123
CRD# 6413
Registered with this firm since: 07/19/2023

B **LPL FINANCIAL LLC**
780 JUAN TABO NE
ALBUQUERQUE, NM 87123
CRD# 6413
Registered with this firm since: 07/19/2023

Broker Qualifications

This broker is registered with:

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

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):

IA **BANCWEST INVESTMENT SERVICES, INC. (BWIS)**
CRD# 29357
OMAHA, NE
04/2019 - 07/2023

B **BANCWEST INVESTMENT SERVICES, INC.**
CRD# 29357
ALBUQUERQUE, NM
05/2019 - 07/2023

IA **BBVA WEALTH SOLUTIONS INC.**
CRD# 110476
HOUSTON, TX
06/2016 - 09/2018

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
Criminal	2

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 24 U.S. states and territories through his or her employer.

Employment 1 of 1

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 Representative	Approved	07/19/2023

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	07/19/2023
IA	Arizona	Investment Adviser Representative	Approved	07/19/2023
B	California	Agent	Approved	07/19/2023
IA	California	Investment Adviser Representative	Approved	07/19/2023
B	Colorado	Agent	Approved	07/19/2023
IA	Colorado	Investment Adviser Representative	Approved	07/19/2023
B	Florida	Agent	Approved	01/22/2025
B	Georgia	Agent	Approved	01/29/2024
B	Idaho	Agent	Approved	07/19/2023
B	Illinois	Agent	Approved	12/05/2023
B	Indiana	Agent	Approved	07/19/2023
B	Iowa	Agent	Approved	07/19/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	07/19/2023
B	Missouri	Agent	Approved	07/19/2023
IA	Missouri	Investment Adviser Representative	Approved	07/19/2023
B	Nebraska	Agent	Approved	07/19/2023
B	Nevada	Agent	Approved	07/19/2023
IA	Nevada	Investment Adviser Representative	Approved	07/19/2023
B	New Mexico	Agent	Approved	07/19/2023
IA	New Mexico	Investment Adviser Representative	Approved	07/19/2023
B	North Carolina	Agent	Approved	04/22/2024
B	Ohio	Agent	Approved	07/19/2023
B	Oklahoma	Agent	Approved	07/19/2023
B	Oregon	Agent	Approved	07/19/2023
B	South Carolina	Agent	Approved	07/19/2023
IA	South Carolina	Investment Adviser Representative	Approved	07/19/2023
B	Texas	Agent	Approved	07/19/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	07/19/2023
B	Vermont	Agent	Approved	07/19/2023
B	Washington	Agent	Approved	07/19/2023
B	Wisconsin	Agent	Approved	07/19/2023
B	Wyoming	Agent	Approved	11/15/2023

Broker Qualifications

Employment 1 of 1, continued
Branch Office Locations

LPL FINANCIAL LLC
780 JUAN TABO NE
ALBUQUERQUE, NM 87123

LPL FINANCIAL LLC
5501 JEFFERSON NE
ALBUQUERQUE, NM 87109

LPL FINANCIAL LLC
3735 SOUTHERN BLVD SE
RIO RANCHO, NM 87124

LPL FINANCIAL LLC
10050 COOORS BYPASS, NW
ALBUQUERQUE, NM 87114

LPL FINANCIAL LLC
6701 ACADEMY ROAD NE
ALBUQUERQUE, NM 87109

LPL FINANCIAL LLC
3733 ISLETA BLVD SW
ALBUQUERQUE, NM 87105

LPL FINANCIAL LLC
ALBUQUERQUE, NM

LPL FINANCIAL LLC
500 DR MARTIN LUTHER KIND JR AVE NE
ALBUQUERQUE, NM 87102

LPL FINANCIAL LLC
5228 CENTRAL AVE SW
ALBUQUERQUE, NM 87105

LPL FINANCIAL LLC
303 ROMA AVE NW
ALBUQUERQUE, NM 87102

LPL FINANCIAL LLC
2610 MAIN ST NW
LOS LUNAS, NM 87031

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	09/12/2018
B	General Securities Representative Examination	Series 7	11/12/2013

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	12/05/2013

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	04/2019 - 07/2023	BANCWEST INVESTMENT SERVICES, INC. (BWIS)	29357	ALBUQUERQUE, NM
B	05/2019 - 07/2023	BANCWEST INVESTMENT SERVICES, INC.	29357	ALBUQUERQUE, NM
IA	06/2016 - 09/2018	BBVA WEALTH SOLUTIONS INC.	110476	Albuquerque, NM
B	10/2015 - 09/2018	BBVA SECURITIES INC.	27060	ALBUQUERQUE, NM
IA	01/2014 - 06/2015	AXA ADVISORS, LLC	6627	ALBUQUERQUE, NM
B	11/2013 - 06/2015	AXA ADVISORS, LLC	6627	ALBUQUERQUE, NM

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
07/2023 - Present	LPL FINANCIAL LLC	Registered Representative	Y	ALBUQUERQUE, NM, United States
04/2019 - Present	BancWest Investment Services	Wealth Financial Advisor	Y	Albuquerque, NM, United States
09/2018 - Present	BANK OF THE WEST	Wealth Financial Advisor	Y	ALBUQUERQUE, NM, United States
07/2017 - 10/2022	Uber	Driver	N	San Francisco, CA, United States
07/2008 - 02/2019	A Clean Environment Carpet Care	Owner Sole Proprietor	N	Los Lunas, NM, United States
06/2016 - 09/2018	BBVA Wealth Solutions Inc.	Branch Retail Executive	Y	Albuquerque, NM, United States
10/2015 - 09/2018	BBVA Compass Insurance Agency, Inc.	Agent	Y	Austin, TX, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2015 - 09/2018	BBVA Securities Inc.	Branch Retail Executive	Y	Albuquerque, NM, United States
07/2015 - 09/2018	Compass Bank	Employee	Y	Birmingham, AL, United States
02/2017 - 08/2017	Posh Night Club	Security	N	albuquerque, NM, United States

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. 05/23/2023 - BMO Investment Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business)

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
Criminal	0	2	0

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 2

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	BERNALILLO COUNTY METROPOLITAN COURT
Location of Court:	BERNALILLO COUNTY, NM
Docket/Case #:	T-4-FR-2025-007102
Charge Date:	08/28/2025
Charge(s) 1 of 1	
Formal Charge(s)/Description:	AGGRAVATED BATTERY AGAINST A HOUSEHOLD MEMBER
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NO PLEA
Disposition of charge:	Dismissed by Prosecutor - Prosecution Unable to Proceed Nolle Prosequi
Current Status:	Final
Status Date:	10/22/2025
Disposition Date:	10/22/2025
Sentence/Penalty:	Dismissed by Prosecutor - Prosecution Unable to Proceed Nolle Prosequi

Disclosure 2 of 2

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	BERNALILLO COUNTY METROPOLITAN COURT
Location of Court:	BERNALILLO, NEW MEXICO
Docket/Case #:	CR1241700
Charge Date:	08/02/2000
Charge(s) 1 of 3	
Formal Charge(s)/Description:	MINORS IN LICENSED PREMISES
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Deferred Adjudication
Charge(s) 2 of 3	
Formal Charge(s)/Description:	USING DL NOT ISSUED TO SAME
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Deferred Adjudication
Charge(s) 3 of 3	
Formal Charge(s)/Description:	FALSE EVIDENCE OF AGE OR ID
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Deferred Adjudication

Current Status:	Final
Status Date:	10/09/2008
Disposition Date:	08/16/2000
Sentence/Penalty:	DISMISSED UPON COMPLETION OF COMMUNITY SERVICE.
Broker Statement	THIS WAS AN OCCURANCE OF USING AN ID TO PURCHASE ALCOHOL AT A CONCERT IN ALBUQUERQUE, NM. SENTENCE DEFERRED/DISMISSED AFTER COMMUNITY SERVICE COMPLETED.

End of Report

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