

## BrokerCheck Report

### Vincent LaFata

CRD# 6642382

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**Vincent LaFata**

CRD# 6642382

**Currently employed by and registered with the following Firm(s):****IA NAVY FEDERAL INVESTMENT SERVICES, LLC**

15420 West McDowell Rd  
Goodyear, AZ 85395  
CRD# 138459  
Registered with this firm since: 06/13/2023

**B NAVY FEDERAL INVESTMENT SERVICES, LLC**

15420 West McDowell Rd  
Goodyear, AZ 85395  
CRD# 138459  
Registered with this firm since: 06/08/2023

## 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
- 4 U.S. states and territories

**This broker has passed:**

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

### 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**

### Registration History

**This broker was previously registered with the following securities firm(s):****B J.P. MORGAN SECURITIES LLC**

CRD# 79  
Tempe, AZ  
10/2020 - 09/2021

**B USAA INVESTMENT SERVICES COMPANY**

CRD# 5475  
Phoenix, AZ  
06/2020 - 07/2020

**IA USAA INVESTMENT SERVICES COMPANY**

CRD# 5475  
SAN ANTONIO, TX  
04/2020 - 07/2020

## 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 4 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **NAVY FEDERAL INVESTMENT SERVICES, LLC**

Main Office Address: **1007 ELECTRIC AVE  
VIENNA, VA 22180**

Firm CRD#: **138459**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	06/08/2023
U.S. State/ Territory	Category	Status	Date
<b>B</b> Arizona	Agent	Approved	06/09/2023
<b>IA</b> Arizona	Investment Adviser Representative	Approved	06/13/2023
<b>B</b> California	Agent	Approved	07/25/2023
<b>IA</b> California	Investment Adviser Representative	Approved	07/25/2023
<b>B</b> Colorado	Agent	Approved	04/18/2024
<b>IA</b> Colorado	Investment Adviser Representative	Approved	04/18/2024
<b>B</b> Nevada	Agent	Approved	02/04/2025
<b>IA</b> Nevada	Investment Adviser Representative	Approved	02/05/2025

### Branch Office Locations

#### NAVY FEDERAL INVESTMENT SERVICES, LLC

15420 West McDowell Rd  
Goodyear, AZ 85395

#### NAVY FEDERAL INVESTMENT SERVICES, LLC

## Broker Qualifications



### Employment 1 of 1, continued

Phoenix, AZ

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## 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 General Securities Representative Examination	Series 7TO	01/28/2019
B Securities Industry Essentials Examination	SIE	01/03/2019

### State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	05/03/2023

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/](http://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 10/2020 - 09/2021	J.P. MORGAN SECURITIES LLC	79	Tempe, AZ
B 06/2020 - 07/2020	USAA INVESTMENT SERVICES COMPANY	5475	Phoenix, AZ
IA 04/2020 - 07/2020	USAA INVESTMENT SERVICES COMPANY	5475	Phoenix, AZ
B 03/2020 - 06/2020	USAA FINANCIAL ADVISORS, INC.	129035	PHOENIX, AZ
IA 02/2019 - 02/2020	EDWARD JONES	250	MORGANTOWN, WV
B 01/2019 - 02/2020	EDWARD JONES	250	MORGANTOWN, WV

## 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
06/2023 - Present	Navy Federal Financial Group, LLC	Financial Advisor	N	Goodyear, AZ, United States
06/2023 - Present	Navy Federal Investment Services, LLC	Financial Advisor	Y	Goodyear, AZ, United States
05/2023 - Present	Amazon	Amazon Flex Driver	N	Phoenix, AZ, United States
05/2023 - Present	Biolife	Plasma Donor	N	Phoenix, AZ, United States
06/2020 - Present	UBER	DRIVER	N	SCOTTSDALE, AZ, United States
06/2018 - Present	LYFT	DRIVER	N	SCOTTSDALE, AZ, United States
10/2021 - 06/2023	Family First Life	Insurance Broker	N	Phoenix, AZ, United States
09/2020 - 09/2021	JPMORGAN CHASE BANK NA	CLIENT SERVICE ASSOCIATE	Y	SCOTTSDALE, AZ, United States
09/2020 - 09/2021	JPMORGAN SECURITIES LLC	CLIENT SERVICE ASSOCIATE	Y	SCOTTSDALE, AZ, United States

# Registration and Employment History



## Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2020 - 07/2020	STRATEGIC STAFFING SOLUTIONS	CONTRACTOR	N	PHOENIX, AZ, United States
03/2020 - 07/2020	USAA INVESTMENT SERVICES COMPANY	IAR / REG REP	Y	PHOENIX, AZ, United States
03/2020 - 06/2020	USAA FINANCIAL ADVISORS INC	REG REP	Y	PHOENIX, AZ, United States
09/2019 - 02/2020	EDWARD JONES	INVESTMENT REPRESENTATIVE	Y	MORGANTOWN, WV, United States
11/2011 - 11/2019	UNITED STATES ARMY RESERVE	RESERVIST - 92F PETROLEUM SUPPLY SPECIALIST	N	KINGWOOD, WV, United States
03/2019 - 08/2019	EDWARD JONES	INVESTMENT REPRESENTATIVE	Y	TEMPE, AZ, United States
12/2018 - 03/2019	EDWARD JONES	INVESTMENT REPRESENTATIVE	Y	MORGANTOWN, WV, United States
06/2018 - 12/2018	UBER	DRIVER	N	MORGANTOWN, WV, United States
12/2017 - 06/2018	CASA D'AMICI	DELIVERY DRIVER	N	MORGANTOWN, WV, United States
01/2013 - 05/2018	WEST VIRGINIA UNIVERSITY	STUDENT	N	MORGANTOWN, WV, United States
12/2015 - 10/2017	WEST VIRGINIA UNIVERSITY	WORK STUDY STUDENT	N	MORGANTOWN, WV, United States
05/2017 - 08/2017	CUNNINGHAM, POWELL, & ALEXANDER, CPA A.C.	INTERNSHIP	Y	MORGANTOWN, WV, United States
06/2016 - 12/2016	EDWARD JONES	FINANCIAL ADVISING INTERN	Y	MORGANTOWN, WV, United States
12/2014 - 06/2016	CASA D'AMICI	DELIVERY DRIVER	N	MORGANTOWN, WV, 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.

Entity Name: Family First Life

Investment related: No

## Registration and Employment History



### Other Business Activities, continued

Address: Phoenix, AZ

Nature of the other business: insurance products

Position/Title/Relationship: In active Agent (Former Life Ins. Broker)

Start Date: 10/01/2021

Approximate # of hours a month: 0

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: receive residual income from active policies

Entity Name: Lyft

Investment related: No

Address: San Francisco / CA / 94107

Nature of the other business: Driving Passengers

Position/Title/Relationship: Driver

Start Date: 19-Jun-2018

Approximate # of hours a month: 30

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Driver

Entity Name: Uber

Investment related: No

Address: San Francisco / CA / 94103

Nature of the other business: Driving Passengers

Position/Title/Relationship: Driver

Start Date: 16-Jun-2020

Approximate # of hours a month: 15

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Driver

Biolife

Biolife - Plasma Donor

Start date: 05/2023

Approximate # of hours a month: 10

Approximate # of hours during securities trading hours: 0

Amazon - 1099 Contractor

Amazon Flex Driver

Start Date: 05/2032

Approximate # of hours a month: 5

Approximate # of hours during securities trading hours: 0

## End of Report



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