FINRA

BrokerCheck Report

Wilmer Ricardo Cordoba

CRD# 6857480

Section Title	Page(s)

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.

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.

Wilmer R. Cordoba

CRD# 6857480

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

IA **NESTYIELD ETFS**
8141 2ND STREET
SUITE 330
DOWNEY, CA 90241
CRD# 332971
Registered with this firm since: 11/27/2024

IA **CENTAURUS FINANCIAL, INC.**
8141 E. 2ND STREET
SUITE #330
DOWNEY, CA 90241
CRD# 30833
Registered with this firm since: 02/23/2022

B **CENTAURUS FINANCIAL, INC.**
8141 E. 2ND STREET
SUITE #330
DOWNEY, CA 90241
CRD# 30833
Registered with this firm since: 03/09/2022

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
- 1 U.S. state or territory

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 **MORGAN STANLEY**
CRD# 149777
PURCHASE, NY
02/2018 - 03/2021

B **MORGAN STANLEY**
CRD# 149777
BEVERLY HILLS, CA
12/2017 - 03/2021

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
Customer Dispute	1
Financial	5

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 1 U.S. state or territory through his or her employer.

Employment 1 of 2

Firm Name: **CENTAURUS FINANCIAL, INC.**

Main Office Address: **2300 E. KATELLA AVENUE**
SUITE #200
ANAHEIM, CA 92806

Firm CRD#: **30833**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/09/2022

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	02/23/2022
B	California	Agent	Approved	03/09/2022

Branch Office Locations

CENTAURUS FINANCIAL, INC.
8141 E. 2ND STREET
SUITE #330
DOWNEY, CA 90241

Employment 2 of 2

Firm Name: **NESTYIELD ETFS**

Main Office Address: **8141 2ND STREET**
SUITE 330
DOWNEY, CA 90241

Firm CRD#: **332971**

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	11/27/2024

Branch Office Locations

8141 2ND STREET
SUITE 330
DOWNEY, CA 90241

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	General Securities Representative Examination	Series 7	12/14/2017

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	02/12/2018

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	02/2018 - 03/2021	MORGAN STANLEY	149777	BEVERLY HILLS, CA
B	12/2017 - 03/2021	MORGAN STANLEY	149777	BEVERLY HILLS, CA

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
10/2024 - Present	NEST EGG ETFS, LLC DBA NESTYIELD ETFS	FINANCIAL ANALYST	Y	DOWNEY, CA, United States
02/2022 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTIVE	Y	ANAHEIM, CA, United States
01/2022 - Present	RAMOS CONSULTING & WELATH MANAGEMENT	AGENT	N	DOWNEY, CA, United States
02/2021 - 01/2022	FAMILY LEAVE	STAY AT HOME DAD	N	CYPRESS, CA, United States
11/2017 - 02/2021	Morgan Stanley Private Bank, National Association	Financial Advisor	Y	NEW YORK, NY, United States
10/2017 - 02/2021	Morgan Stanley	Financial Advisor	Y	Beverly Hills, CA, United States
07/2017 - 10/2017	Unemployed	Unemployed	N	Los Angeles, CA, United States
01/2016 - 06/2017	UC Davis	Student	N	Davis, CA, 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.

Registration and Employment History

Other Business Activities, continued

1. RAMOS CONSULTING & WEALTH MANAGEMENT INC. 8141 2ND STREET, SUITE #608A, DOWNEY, CA 90241. DBA FOR BRANDING PUPOSES ONLY.

2. AGENT, FINANCIAL ADVISORS, LLC. 8141 2ND STREET, SUITE #608A, DOWNEY, CA 90241. NON INVESTMENT RELATED SINCE 2/2022 AND I SPEND APPROX. 10-15 HOURS PER MONTH ON THIS ACTIVITY. INSURANCE AGENT.

3. AGENT, PSP FINANCIAL & INSURANCE, 8141 2ND STREET, SUITE #608A, DOWNEY, CA 90241. NON INVESTMENT RELATED SINCE 2/2022 AND I SPEND APPROX. 10-15 HOURS PER MONTH ON THIS ACTIVITY. INSURANCE AND ANNUITY ADVISOR.

4. NEST EGG ETFS, LLC
POSITION: Portfolio Manager NATURE: Portfolio Management: Actively managing and overseeing the ETF portfolios, making decisions about asset allocation, security selection, and investment strategies to meet the fund's objectives. INVESTMENT RELATED: Yes NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 5 START DATE: 09/24/2024
ADDRESS: 8141 2nd St, Suite 330, Downey CA 90241, United States
DESCRIPTION: Portfolio Manager

5. NESTYIELD ETFS, LLC
POSITION: Manager NATURE: NestYield ETFs, LLC is a marketing company for branding purposes. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 09/24/2024
ADDRESS: 8141 2nd St, Suite 330, Downey CA 90241, United States
DESCRIPTION: Marketing Company

6. RAMOS CAPITAL GROUP
POSITION: Financial Advisor, Portfolio Manager NATURE: Ramos Capital Group is a wealth management firm under the supervision of Centaurus Financial, a registered investment advisory firm. INVESTMENT RELATED: Yes NUMBER OF HOURS: 140 SECURITIES TRADING HOURS: 5 START DATE: 01/20/2022
ADDRESS: 8141 2nd St, Suite 330, Downey CA 90241, United States
DESCRIPTION: I provide investment advisory and portfolio management services to clients of Ramos Capital Group. My responsibilities include constructing and managing customized portfolios, delivering financial planning advice, conducting investment research, and ensuring compliance with regulatory and firm standards. All activities are conducted under the supervision of Centaurus Financial, a registered investment advisory firm.

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:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - 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.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - 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.
   -
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 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
Customer Dispute	0	1	N/A
Financial	0	5	N/A

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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	Claimant alleges, inter alia, misrepresentation with respect to selling options - June, 2020
Product Type:	Other: Employee/Employer Stock Option Plan
Alleged Damages:	$74,340.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-00428
Filing date of arbitration/CFTC reparation or civil litigation:	02/17/2021

Customer Complaint Information

Date Complaint Received:	02/18/2021

Complaint Pending?	No
Status:	Settled
Status Date:	12/21/2021
Settlement Amount:	$35,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	Claimante alleges, inter alia, misrepresentation with repect to selling options in June, 2020.
Product Type:	Other: Employee/Employer Stock Option Plan
Alleged Damages:	$74,340.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-00428
Filing date of arbitration/CFTC reparation or civil litigation:	02/17/2021

Customer Complaint Information

Date Complaint Received:	02/18/2021
Complaint Pending?	No
Status:	Settled
Status Date:	12/21/2021
Settlement Amount:	$35,000.00

Individual Contribution Amount:	$0.00

Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 5

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	07/18/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	12/31/2019
If a compromise with creditor, provide:	
Name of Creditor:	MACY'S
Original Amount Owed:	$1,704.00
Terms Reached with Creditor:	CREDITOR WILL ACCEPT $816

Disclosure 2 of 5

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	11/13/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	11/13/2019
If a compromise with creditor, provide:	

Name of Creditor:	SANTANDER USA
Original Amount Owed:	$11,621.15
Terms Reached with Creditor:	CREDITOR ACCEPTED $5,000

Disclosure 3 of 5

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	07/18/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	10/28/2019
If a compromise with creditor, provide:	
Name of Creditor:	SYNCHRONY BANK
Original Amount Owed:	$3,024.00
Terms Reached with Creditor:	CREDITOR ACCEPTED $1,815

Disclosure 4 of 5

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	07/18/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released

Disposition Date:	04/03/2019
If a compromise with creditor, provide:	
Name of Creditor:	SYNCHRONY BANK
Original Amount Owed:	$1,937.00
Terms Reached with Creditor:	CREDITOR ACCEPTED $738.44

Disclosure 5 of 5

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	07/18/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	04/19/2019
If a compromise with creditor, provide:	
Name of Creditor:	BARCLAYS BANK DELAWARE
Original Amount Owed:	$1,311.00
Terms Reached with Creditor:	CREDITOR ACCEPTED $820

End of Report

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