

BrokerCheck Report

GIOVANNI L ACEVEDO

CRD# 2508321

Report #13493-78848, data current as of Thursday, March 12, 2015.

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Events	6

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 <http://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.



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.

Thank you for using FINRA BrokerCheck.

GIOVANNI L. ACEVEDO

CRD# 2508321

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
- 2 State Securities Law Exams

Registration History

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

VOYA FINANCIAL ADVISORS, INC.
CRD# 2882
WILTON MANORS, FL
08/2006 - 09/2014

QUESTAR CAPITAL CORPORATION
CRD# 43100
FORT LAUDERDALE, FL
02/2000 - 08/2006

FIRST UNION BROKERAGE SERVICES, INC.
CRD# 8112
CHARLOTTE, NC
07/1994 - 02/2000

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	1
Investigation	1
Customer Dispute	2
Termination	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<http://www.adviserinfo.sec.gov>

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.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination	Series 6	07/25/1994
General Securities Representative Examination	Series 7	08/09/2000

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	07/27/1994
Uniform Investment Adviser Law Examination	Series 65	11/17/2006

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
08/2006 - 09/2014	VOYA FINANCIAL ADVISORS, INC.	2882	WILTON MANORS, FL
02/2000 - 08/2006	QUESTAR CAPITAL CORPORATION	43100	FORT LAUDERDALE, FL
07/1994 - 02/2000	FIRST UNION BROKERAGE SERVICES, INC.	8112	CHARLOTTE, NC

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 Dates	Employer Name	Employer Location
08/2006 - Present	ING FINANCIAL PARTNERS, INC.	DES MOINES, IA
02/2002 - Present	SIGNATURE FINANCIAL	FT LAUDERDALE, FL
01/2005 - 08/2006	QUESTAR ASSET MANAGEMENT	ANN ARBOR, MI
02/2000 - 08/2006	QUESTAR CAPITAL CORPORATION	ANN ARBOR, MI
06/2002 - 10/2005	INFINITY REALTY GROUP	FT LAUDERDALE, FL

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)INDEPENDENT INSURANCE AGENT,YES,2312 WILTON DR STE 37, WILTON MANORS FL 33305,FIXED INSURANCE SALES,INDEPENDENT INSURANCE AGENT,08/16/2006,160,160,SALES AND SERVICE OF FIXED INSURANCE PRODUCTS
- 2)INFINITY REALTY GROUP, INC,YES,2500 NE 15TH AVE, FORT LAUDERDALE, FL 33305,REAL ESTATE BROKERAGE,PART OWNER,05/01/2002,NO,0,PART OWNER, NO DUTIES
- 3)SIGNATURE FINANCIAL SERVICES CORPORATION,YES,2540 NE 15TH AVE,FORT LAUDERDALE, FL 33305,MORTGAGE COMPANY,OWNER,02/01/2002,40,40,SALES AND SERVICE OF RESIDENTIAL AND COMMERCIAL REAL ESTATE FINANCING

Registration and Employment History



Other Business Activities, continued

4)CASA BELLA TOWNHOMES HOMEOWNERS ASSOCIATION,NO,2604 NE 16TH ST, FORT LAUDERDALE, FL 33304,HOMEOWNER'S ASSOCIATION,PRESIDENT,08/01/2006,4,4,CONDUCT ANNUAL MEETING, OVERSEE ACTIVITIES OF THE ORGANIZATION

5)HOWARD GRACE AND ASSOCIATES, INC. DBA HOWARD GRACE MORTGAGE,YES,2530 NE 15TH AVENUE, FORT LAUDERDALE, FL 33305,MORTGAGE BROKER,OWNER,09/01/2009,8,8,OWN AND OPERATE A MORTGAGE BROKERAGE

6)ACE ADVISORY GROUP, LLC,YES,625 SE 10TH ST, SUITE 1, DEERFIELD BEACH, FL 33441,DBA,OWNER,10/01/2009,160,160,SALES AND SERVICE OF FIXED INSURANCE PRODUCTS



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.
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.
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	1	0



Customer Dispute	0	2	N/A
Investigation	1	N/A	N/A
Termination	N/A	1	N/A



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.

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 1

Reporting Source:	Firm
Formal Charges were brought in:	State Court
Name of Court:	STATE OF FLORIDA
Location of Court:	BROWARD COUNTY, FLORIDA
Docket/Case #:	11014716CF10A
Charge Date:	09/26/2011
Charge(s) 1 of 2	
Formal Charge(s)/Description:	POSSESSION OF METHAMPHETAMINE
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	UNKNOWN
Disposition of charge:	NOLLE PROSEQUI
Charge(s) 2 of 2	
Formal Charge(s)/Description:	TRAFFICKING IN 1, 4 BUTANEDIOL
No of Counts:	1



Felony or Misdemeanor:	Felony
Plea for each charge:	UNKNOWN
Disposition of charge:	NOLLE PROSEQUI
Current Status:	Final
Status Date:	09/02/2011
Disposition Date:	02/22/2013
Sentence/Penalty:	NOLLE PROSEQUI



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source: Regulator

Initiated By: FINRA

Notice Date: 01/16/2015

Details: WELLS NOTICE EXAMINATION #20140415290: FINRA MADE A PRELIMINARY DETERMINATION TO RECOMMEND THAT DISCIPLINARY ACTION BE BROUGHT AGAINST ACEVEDO FOR POTENTIAL VIOLATIONS OF FINRA RULES 2010 AND 2150 FOR CONVERSION OF CUSTOMER FUNDS BELONGING TO CUSTOMERS; FINRA RULES 2010 AND 8210 FOR KNOWINGLY PROVIDING FALSE INFORMATION IN RESPONSE TO FINRA RULE 8210 REQUESTS; AND ARTICLE V, SECTION 2 OF THE NASD AND FINRA BY-LAWS, NASD RULE 2110, AND FINRA RULES 1122 AND 2010 FOR FAILING TO AMEND HIS FORM U4 TO DISCLOSE TWO LIENS AND A JUDGMENT.

Is Investigation pending? Yes



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL PARTNERS, INC.
Allegations:	CLIENT SEEKING RETURN OF INVESTMENT MONIES SHE ALLEGES THE REPRESENTATIVE FRAUDULENTLY PROCURED FROM HER.
Product Type:	Other: FICTITIOUS INVESTMENT
Alleged Damages:	\$5,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/17/2014
Complaint Pending?	No
Status:	Settled
Status Date:	10/01/2014
Settlement Amount:	\$5,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	WITHOUT ADMITTING FAULT, THE FIRM SETTLED THE CLAIM.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL PARTNERS, INC.



Allegations: THE CLAIMANT ALLEGES HER REPRESENTATIVE WRONGFULLY MANIPULATED HER AND HER ACCOUNTS, PROVIDED HER WITH NEGLIGENT INVESTMENT ADVICE AND/OR CONVERTED HER INVESTMENT FUNDS TO HIS OWN USE AND BENEFIT.

Product Type: Annuity-Fixed
Other: REVERSE MORTGAGE

Alleged Damages: \$300,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT ALLEGES DAMAGES OF APPROXIMATELY \$300,000.00, AND EXACT DAMAGES WILL BE DETERMINED THROUGH THE DISCOVERY PROCESS IN ARBITRATION.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 14-01454

Date Notice/Process Served: 05/28/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/22/2014

Monetary Compensation Amount: \$220,000.00

Individual Contribution Amount: \$0.00

Firm Statement WITHOUT ADMITTING FAULT, THE FIRM SETTLED THE CLAIM.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ING FINANCIAL PARTNERS, INC.

Allegations: THE CLAIMANT ALLEGES HER REPRESENTATIVE WRONGFULLY MANIPULATED HER AND HER ACCOUNTS, PROVIDED HER WITH NEGLIGENT INVESTMENT ADVICE AND/OR CONVERTED HER INVESTMENT FUNDS TO HIS OWN USE AND BENEFIT.

Product Type: Annuity-Fixed



Other: REVERSE MORTGAGE

Alleged Damages:

\$300,000.00

Alleged Damages Amount Explanation (if amount not exact):

CLAIMANT ALLEGES DAMAGES OF APPROXIMATELY \$300,000.00, AND EXACT DAMAGES WILL BE DETERMINED THROUGH THE DISCOVERY PROCESS IN ARBITRATION.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #:

14-01454

Date Notice/Process Served:

05/28/2014

Arbitration Pending?

Yes



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: ING FINANCIAL PARTNERS, INC.

Termination Type: Discharged

Termination Date: 08/12/2014

Allegations: THE CLAIMANT ALLEGES HER REPRESENTATIVE WRONGFULLY MANIPULATED HER AND HER ACCOUNTS, PROVIDED HER WITH NEGLIGENT INVESTMENT ADVICE AND/OR CONVERTED HER INVESTMENT FUNDS TO HIS OWN USE AND BENEFIT.

Product Type: Annuity-Fixed
Other: REVERSE MORTGAGE

Firm Statement IN THE COURSE OF INVESTIGATING ALLEGATIONS IN A FINRA ARBITRATION, THE FIRM DISCOVERED THAT THE REPRESENTATIVE DID NOT FOLLOW FIRM POLICIES, INCLUDING FAILING TO REPORT CRIMINAL CHARGES, TAX LIENS AND A CIVIL JUDGMENT. THE FIRM DECIDED IT NO LONGER WISHED TO SUPERVISE THE REPRESENTATIVE AND TERMINATED THE REPRESENTATIVE WHILE THE INVESTIGATION IS ONGOING.

End of Report



This page is intentionally left blank.