

# **VECTORGLOBAL IAG, INC.**

1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350  
Fax: 877.350.7494

**03/13/2024**

# **FORM ADV PART 2A**

## **BROCHURE**

**This Brochure provides information about the qualifications and business practices of VectorGlobal IAG, Inc. If you have any questions about the contents of this brochure, please contact us at 305.350.3350. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.**

**Additional information about VectorGlobal IAG, Inc. is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The searchable IARD/CRD number for VectorGlobal IAG, Inc. is 147129.**

**VectorGlobal IAG, Inc. is a Registered Investment Adviser. Registration with the United States Securities and Exchange Commission or any state securities authority does not imply a certain level of skill or training.**

## **TABLE OF CONTENTS:**

<b>VectorGlobal IAG, Inc.....</b>	<b>1</b>
<b>FORM ADV PART 2A .....</b>	<b>2</b>
<b>ITEM 1 Definition Of Terms .....</b>	<b>7</b>
<b>ITEM 2 Portfolio Management Services .....</b>	<b>7</b>
<b>ITEM 3 Minimum Investment .....</b>	<b>7</b>
<b>ITEM 4 Assets under Management.....</b>	<b>9</b>
<b>ITEM 5 Fees And Compensation .....</b>	<b>9</b>
<b>ITEM 6: Performance-Based Fees And Side-By-Side Management.....</b>	<b>9</b>
<b>ITEM 7: Types of Clients .....</b>	<b>10</b>
<b>ITEM 8: Methods Of Analysis, Investment Strategies And Risk Of Loss .....</b>	<b>10</b>
<b>ITEM 9: Disciplinary Information.....</b>	<b>14</b>
<b>ITEM 10: Other Financial Industry Activities And Affiliations .....</b>	<b>14</b>
<b>Item 11: Code of Ethics, Participation or Interest in Client Transactions &amp; Personal Trading ..</b>	<b>14</b>
<b>Item 12: Brokerage Practices .....</b>	<b>15</b>
<b>Item 13: Review of Accounts .....</b>	<b>15</b>
<b>Item 14: Client Referrals and Other Compensation .....</b>	<b>16</b>
<b>Item 15: Custody.....</b>	<b>16</b>
<b>Item 16: Investment Discretion .....</b>	<b>16</b>
<b>Item 17: Voting Client Securities .....</b>	<b>17</b>
<b>Item 18: Financial Information .....</b>	<b>17</b>
<b>Item 19: Additional Information.....</b>	<b>17</b>
<b>FORM ADV PART 2B .....</b>	<b>18</b>
<b>SUPERVISED PERSON BROCHURE SUPPLEMENT .....</b>	<b>18</b>
<b>Carlos E. Gadala-Maria.....</b>	<b>19</b>
<b>CEO, Principal Executive Officer .....</b>	<b>19</b>
<b>Item 2 Educational Background and Business Experience .....</b>	<b>20</b>

<b>Juan Manuel De Los Reyes Cordova .....</b>	<b>21</b>
Strategy & Product Director .....	21
Item 2 Educational Background and Business Experience.....	22
<b>Claudia M.P. Batlle .....</b>	<b>23</b>
Global Investment Advisor .....	23
Item 2 Educational Background and Business Experience .....	24
<b>Eric Ureña .....</b>	<b>27</b>
Management Person .....	27
Item 2 Educational Background and Business Experience .....	28
<b>Antonio Fernandez .....</b>	<b>29</b>
Investment Adviser Representative.....	29
Item 2 Educational Background and Business Experience.....	30
<b>Monica Cleves .....</b>	<b>31</b>
Investment Adviser Representative.....	31
Item 2 Educational Background and Business Experience.....	32
<b>Carlos Morales .....</b>	<b>33</b>
Investment Adviser Representative.....	33
Item 2 Educational Background and Business Experience.....	34
<b>Felipe H. Valbuena, CFP® .....</b>	<b>35</b>
Investment Adviser Representative.....	35
Item 2 Educational Background and Business Experience.....	36
<b>Jose Antonio Roca .....</b>	<b>38</b>
Investment Adviser Representative.....	38
Item 2 Educational Background and Business Experience.....	39
<b>Maria Pia Acevez.....</b>	<b>40</b>
Investment Adviser Representative.....	40
Item 2 Educational Background and Business Experience.....	41
<b>Carlos Schwarz Kleyman .....</b>	<b>42</b>
Investment Adviser Representative.....	42

Item 2 Educational Background and Business Experience.....	43
<b><i>Juan Manuel Ramos Fernandez.....</i></b>	<b><i>44</i></b>
Investment Adviser Representative.....	44
Item 2 Educational Background and Business Experience.....	45
<b><i>Michael F. Ricciardi.....</i></b>	<b><i>46</i></b>
Investment Adviser Representative.....	46
Item 2 Educational Background and Business Experience.....	47
<b><i>Paulina Merino.....</i></b>	<b><i>48</i></b>
Investment Adviser Representative.....	48
Item 2 Educational Background and Business Experience.....	49
<b><i>Andres Silva .....</i></b>	<b><i>50</i></b>
Investment Adviser Representative.....	50
Item 2 Educational Background and Business Experience.....	51
<b><i>Javier Augusto Soria .....</i></b>	<b><i>52</i></b>
Investment Adviser Representative.....	52
Item 2 Educational Background and Business Experience.....	53
<b><i>Gibran Jose Abdala Hadad .....</i></b>	<b><i>54</i></b>
Investment Adviser Representative.....	54
Item 2 Educational Background and Business Experience.....	55
<b><i>Juan Carlos Sanchez Costes .....</i></b>	<b><i>56</i></b>
Investment Adviser Representative.....	56
Item 2 Educational Background and Business Experience.....	57
<b><i>Andre Filipe Da Silva Reid .....</i></b>	<b><i>58</i></b>
Investment Adviser Representative.....	58
Item 2 Educational Background and Business Experience.....	59
<b><i>Andrea Narbona Letelier .....</i></b>	<b><i>60</i></b>
Investment Representative .....	60
Item 2 Educational Background and Business Experience.....	61
<b><i>Cristina Torres Dager.....</i></b>	<b><i>62</i></b>

**Investment Adviser Representative.....62**

**Item 2 Educational Background and Business Experience.....63**

VectorGlobal, IAG, Inc. is a registered investment adviser based in Miami, Florida. We are organized as a corporation under the laws of the State of Delaware. We have been providing investment advisory services since 2008. Our firm is owned by Vectormex International, Inc., which is owned by Vector Casa De Bolsa, S.A. De C.V. Currently, we offer the following investment advisory services, which are personalized to each individual client:

#### ITEM 1 DEFINITION OF TERMS

The following paragraphs describe our services and fees. Please refer to the description of each investment advisory service listed below for information on how we tailor our advisory services to your individual needs. As used in this brochure, the words "we", "our" and "us" refer to VectorGlobal, IAG, Inc. and the words "you", "your" and "client" refer to you as either a client or prospective client of our firm. Also, you may see the term Associated Person throughout this brochure. As used in this brochure, our Associated Persons are our firm's officers, employees, and all individuals providing investment advice on behalf of our firm.

#### ITEM 2 PORTFOLIO MANAGEMENT SERVICES

We offer discretionary and non-discretionary portfolio management services. Our investment advice is tailored to meet our clients' needs and investment objectives. If you retain our firm for portfolio management services, we will meet with you to determine your investment objectives, risk tolerance, and other relevant information (the "suitability information") at the beginning of our advisory relationship. We will use the suitability information we gather to develop a strategy that enables our firm to give ongoing and focused investment advice and/or to make investments on your behalf. Once we construct an investment portfolio for you, we will monitor your portfolio's performance on an ongoing basis and will rebalance the portfolio as required by changes in market conditions and in your financial circumstances.

If you participate in our discretionary portfolio management services, we require you to grant our firm discretionary authority to manage your account. Discretionary authorization will allow our firm to determine the specific securities, and the number of securities, to be purchased or sold for your account without your approval prior to each transaction. Discretionary authority is typically granted by the investment advisory agreement you sign with our firm, a power of attorney, or trading authorization forms. You may limit our discretionary authority (for example, limiting the types of securities that can be purchased for your account) by providing our firm with your restrictions and guidelines in writing. If you enter non-discretionary arrangements with our firm, we must obtain your approval prior to executing any transactions on behalf of your account.

#### ITEM 3 MINIMUM INVESTMENT

Individual Portfolios / Separately Managed Accounts: \$100,000

Mutual Funds and ETF Model Portfolios: \$100,000

The minimum initial investment in the Individual Portfolios, Separately Managed Accounts or the Mutual Funds and ETF Model Portfolios may be waived at the sole discretion of VectorGlobal IAG.

Our fee for portfolio management services is based on a percentage of your total assets we manage, as follows:

## Annual Fees:

### ASSET MANAGEMENT ADVISORY FEES (minimum investment \$500,000):

ACCOUNT SIZE	ADVISORY FEE
U\$500,001 – U\$750,000	2.50%
U\$750,001 – U\$1,000,000	2.25%
U\$1,000,001 +	2.00%

### MODEL PORTFOLIOS ADVISORY FEES (minimum investment \$100,000):

ACCOUNT SIZE	FIXED INCOME	CONSERVATIVE	MODERATE	AGGRESSIVE	AGGRESSIVE PLUS	EQUITIES
U\$100,000 – U\$250,000	1.75%	1.75%	2.00%	2.50%	2.50%	2.50%
U\$250,001 – U\$750,000	1.50%	1.50%	1.75%	2.25%	2.25%	2.25%
U\$750,001 – U\$1,000,000	1.25%	1.25%	1.50%	1.50%	1.75%	1.75%
U\$1,000,001 +	1.00%	1.00%	1.25%	1.50%	1.50%	1.50%

ACCOUNT SIZE	EXTERNAL ACCOUNTS REPORTING FEE
U\$1,000,001 – U\$5,000,000	0.50%
U\$5,000,001 – U\$10,000,000	0.45%
U\$10,000,001 – U\$20,000,000	0.40%
+ U\$20,000,001	0.35%

The above describe the maximum annual fees that we may charge an account, depending on its size and model portfolio. Our annual portfolio management fee is billed and payable quarterly in advance based on the value of your account on the last day of the previous quarter, including market value plus accrued income. Accrued income amounts included in the calculated advisory and/or performance fees are not necessarily obtained from data reported by our custodian, but a third-party service provider contracted by the Adviser's portfolio reporting and billing system.

If the portfolio management agreement is executed at any time other than the first day of a billing quarter, our fees will apply on a pro rata basis, which means that the advisory fee is payable in proportion to the number of days in the quarter for which you are a client. Our advisory fee is negotiable, depending on individual client circumstances. The external accounts reporting fees are based on unmanaged assets on external accounts, or accounts with other custodians.

Fees are directly deducted from your account through the qualified custodian holding your funds and securities. We will deduct our advisory fee only when you have given our firm written authorization permitting the fees to be paid directly from your account. By signing the Investment Advisory Agreement, you give us such authorization. Further, the qualified custodian will deliver an account statement to you at least quarterly. These account statements will show all disbursements from your account. You should review all statements for accuracy. We will also receive a duplicate copy of your account statements.

If you did not receive the disclosure brochure within 48 hours prior to entering into the portfolio management agreement, you may terminate the agreement within five business days of the date of acceptance without penalty. If you received the disclosure documents 48 hours in advance or if the five-day grace period has expired, you may terminate the portfolio management agreement upon written notice to our firm. You will incur a pro rata charge for services rendered prior to the termination of the portfolio management agreement, which means you will incur advisory fees only in proportion to the



number of days in the month for which you are a client. If you have pre-paid advisory fees that we have not yet earned, you will receive a prorated refund of those fees.

You may request that we refrain from investing securities or certain types of securities or issuers. You must provide these restrictions to our firm in writing.

#### ITEM 4 ASSETS UNDER MANAGEMENT

As of 12/31/2023, we manage approximately \$1,405,920,122. in client assets on a discretionary basis.

#### ITEM 5 FEES AND COMPENSATION

Please refer to the "Advisory Business" section in this brochure for information on our advisory fees, fee deduction arrangements, and refund policy according to each service we offer.

##### Additional Fees and Expenses

As part of our investment advisory services to you, we may invest, or recommend that you invest, in mutual funds and exchange traded funds. The fees that you pay to our firm for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds or exchange traded funds (described in each fund's prospectus) to their shareholders. These fees will generally include a management fee and other fund expenses. You will also incur transaction charges when purchasing or selling securities typically imposed by the custodian through whom your account transactions are executed. You may also incur brokerage fees when purchasing or selling securities through a broker dealer not related to our firm. To fully understand the total costs you will incur, you should review all fees charged by mutual funds, exchange traded funds, our firm, and our custodians, as well of other firms in which the trade might be executed.

NOTE: An advisory fee above 2% is higher than that charged in the industry and other advisers can provide the same or similar services at a lower rate.

NOTE: VECTORGLOBALWMG, OUR AFFILIATED BROKER DEALER, IS COMPENSATED FOR MARGIN INTEREST THAT IS CHARGED TO CUSTOMER ACCOUNTS WITH MARGIN DEBITS.

For information on our brokerage practices, please refer to the "Brokerage Practices" section of this.

#### ITEM 6: PERFORMANCE-BASED FEES AND SIDE-BY-SIDE MANAGEMENT

Some of our accounts may be subject to performance-based fees, as agreed on the Investment Advisory Agreement. The fee arrangement may create an incentive for the investment adviser to make investments that are riskier or more speculative that would be the case in the absence of a performance fee; however, our investment adviser will only recommend and/or make investments that are commensurate with the investment guidelines. Where relevant, the firm may receive increased compensation with regards to unrealized appreciation as well as realized gains in the client account.

Compensation is based in part on the unrealized appreciation of securities for which market quotations are not readily available within the meaning of Rule 2a-4(a) (1) under the Investment Company Act of 1940, 17 C.F.R.270.2a- 4(a) (1), the securities will be valued as follows: The Firm will contact the issuer in case a price for the security is not available.

Note: Performance fees will only be charged to clients who have a net worth greater than \$2,200,000 or the advisor is managing more than \$1,100,000 of the client's assets and if a performance fee percentage has been agreed to between the advisor and the client in the Investment Advisory Agreement.

Performance fees are calculated based on the portfolio's value at the end of the quarter, before deducting Advisory Fees for the following quarter. Performance Fees are generally a percentage between 15% and 25% of the excess between the portfolio's return and the benchmark's return. They are charged only if quarterly return is positive, and the portfolio's value is historically high. Even if the portfolio's return exceeds the corresponding benchmark, if it is negative, no performance fee is collected. The benchmarks used are the following:

Bloomberg Barclays Global Aggregate Bond Index: For Investment Grade fixed income investments. This index is a flagship measure of global investment grade debt from twenty-four different local currency markets. This multi- currency benchmark includes fixed-rate treasury, government-related, corporate, and securitized bonds from both developed and emerging markets issuers. The Global Aggregate Index is largely comprised of three regional aggregate components: The US Aggregate, the Pan-European Aggregate, and the Asian-Pacific Aggregate Index. (Source: Bloomberg, ticker: LEGATRUH)

Bloomberg Barclays High Yield Total Return Index Value Unhedged: For High Yield investments. This index is a multi- currency flagship measure of the global high yield debt market. The index represents the union of the US High Yield, the Pan-European High Yield, and Emerging Markets (EM) Hard Currency High Yield Indices. The high yield and emerging markets sub-components are mutually exclusive. (Source: Bloomberg, ticker: LG30TRUU)

S&P 500 Net Total Return Index: For equity investments. Net total return reflects the return to an investor, by reinvesting dividends after the deduction of withholding tax. Withholding tax is a tax on dividends that is paid by investors. While the withholding tax rates applied to each shareholder vary based on their Country of domicile, Standard and Poor's applies the maximum possible tax rate. (Source: Bloomberg, ticker: SPTR500N).

For a multi-asset portfolio, the benchmark used is a weighted average of the above benchmarks according to the portfolio's distribution by asset class (fixed income versus equity).

#### ITEM 7: Types of Clients

We offer investment advisory services to individuals, banks and thrift institutions, investment companies, pension and profit-sharing plans, trusts, estates, charitable organizations, corporations, and other business entities.

In general, we require a minimum of \$100,000 to open and maintain an advisory account.

#### Our Method of Analysis and Investment Strategies

#### ITEM 8: METHODS OF ANALYSIS, INVESTMENT STRATEGIES **AND** RISK OF LOSS

We may use one or more of the following methods of analysis or investment strategies when providing investment advice to you:

Fundamental Analysis - involves analyzing individual companies and their industry groups, such as a company's financial statements, details regarding the company's product line, the experience and expertise of the company's management, and the outlook for the company's industry. The resulting data is used to measure the true value of

the company's stock compared to the current market value, or its financial solvency in case of fixed income investments.

Long Term Purchases - securities purchased with the expectation that the value of those securities will grow over a relatively long period of time, generally greater than one year.

Short Term Purchases - securities purchased with the expectation that they will be sold within a relatively short period of time, generally less than one year, to take advantage of the securities' short-term price fluctuations.

Margin Transactions - a securities transaction in which an investor borrows money to purchase a security, in which case the security serves as collateral on the loan.

Option Writing - a securities transaction that involves selling an option - An option is the right, but not the obligation, to buy or sell a particular security at a specified price before the expiration date of the option. When an investor sells an option, he or she must deliver to the buyer a specified number of shares in case of calls or buy a specified number of shares from seller in case of puts, if the buyer exercises the option. The seller pays the buyer a premium (the market price of the option at a time) in exchange for writing the option.

Our investment strategies and advice may vary depending upon each client's specific financial situation. As such, we determine investments and allocations based upon your predefined objectives, risk tolerance, time horizon, financial horizon, financial information, liquidity needs, and other various suitability factors. Your restrictions and guidelines may affect the composition of your portfolio.

The risk of fundamental analysis is that information obtained may be incorrect and the analysis may not provide an accurate estimate of earnings, which may be the basis for a stock's value, or liquidity, basis for evaluating fixed income investments. If securities prices adjust rapidly to new information, utilizing fundamental analysis may not result in favorable performance.

Short term trading generally involves a greater degree of risk than long term trading due to market volatility over a short period of time. Long-term purchases may also be affected by unforeseen long-term changes in the company in which you are invested or in the overall market.

Short selling is very risky. Unlike a straightforward investment in stocks where you buy shares with the expectation that their price will increase so you can sell at a profit, in a "short sale" you borrow stocks from your brokerage firm and sell them immediately, hoping to buy them later at a lower price. Thus, a short seller hopes that the price of a stock will go down in the near future. A short seller thus uses declines in the market to his advantage. He makes money when the stock prices fall and loses when prices go up.

The SEC has strict regulations in place regarding short selling. There is no ceiling on how much a short seller can lose in a trade. The share price may keep going up and the short seller will have to pay whatever the prevailing stock price is to buy back the shares. However, his gains have a ceiling level because the stock price cannot fall below zero. A short seller must undertake to pay the earnings on the borrowed securities if he chooses to keep his short position open. If the company declares dividends or issues bonus shares, the short seller will have to pay that amount to the lender. Any such occurrence can skew the entire short investment and make it unprofitable. The broker can use the

funds in the short seller's margin account to buy back his loaned shares or issue a 'call away' to get the short seller to return the borrowed securities. If the broker makes this call when the stock price is much higher than the price at the time of the short sale, then the investor can end up making huge losses.

"Buying on margin" means borrowing money from a broker to purchase stock. Margin trading allows you to buy more securities than you would be able to normally. An initial investment of at least \$2,000 is required for a margin account, though some brokerages require more. This deposit is known as the minimum margin. Once the account is opened and operational, you can borrow the maximum amount allowed for that security as determined by the house and fed requirements, whichever one is the most conservative. This portion of the purchase price that you deposit is known as the initial margin. Some brokerages require you to deposit more than 50% of the purchase price. Not all securities qualify to be bought on margin. When you sell the security in a margin account, the proceeds go to your broker against the repayment of the loan until it is fully paid. There is also a restriction called the maintenance margin, which is the minimum account balance you must maintain before your broker will force you to deposit more funds or sell securities to pay down your loan. When this happens, it is known as a margin call. If for any reason you do not meet a margin call, the brokerage has the right to sell your securities to increase your account equity until you are above the maintenance margin. Additionally, your broker may not be required to consult you before selling. Under most margin agreements, a firm can sell your securities without waiting for you to meet the margin call and you cannot control which stock is sold to cover the margin call. You also must pay the interest on your loan. The interest charges are applied to your account unless you decide to make payments. Over time, your debt level increases as interest charges accrue against you. As debt increases, the interest charges increase, and so on. Therefore, buying on the margin is mainly used for short-term investments. The longer you hold an investment, the greater the return that is needed to break even. In volatile markets, prices can fall very quickly. You can lose more money than you have invested.

Options are complex securities that involve risks and are not suitable for everyone. Option trading can be speculative in nature and carry substantial risk of loss. It is generally recommended that you only invest in options with risk capital. An option is a contract that gives the buyer the right, but not the obligation, to buy or sell an underlying asset at a specific price on or before a certain date (the "expiration date"). The two types of options are calls and puts:

A call gives the holder the right to buy an asset at a certain price within a specific period. Calls are like having a long position on a stock. Buyers of calls hope that the stock will increase substantially before the option expires.

A put gives the holder the right to sell an asset at a certain price within a specific period. Puts are very similar to having a short position on a stock. Buyers of puts hope that the price of the stock will fall before the option expires.

The main option trading risk pertaining to options buyers is the risk of losing your entire investment in a relatively short period of time. The risk of losing your entire investment increases if, as expiration nears, the stock is below the strike price of the call (for a call option) or if the stock is higher than the strike price of the put (for a put option). European style options which do not have secondary markets on which to sell the options prior to expiration can only realize its value upon expiration. Specific exercise provisions of a specific option contract may create additional risks. Regulatory agencies may impose exercise restrictions, which stops you from realizing value.

Selling options is more complicated and can be even riskier. The option trading risks pertaining to options sellers are:

- Options sold may be exercised at any time before expiration.
- Covered Call traders forgo the right to profit when the underlying stock rises above the strike price of the call options sold and continue to risk a loss due to a decline in the underlying stock.
- Writers of Naked Calls risk unlimited losses if the underlying stock rises.

- Writers of Naked Puts risk unlimited losses if the underlying stock drops.
- Writers of naked positions run margin risks if the position goes into significant losses. Such risks may include liquidation by the broker.
- Writers of call options can lose more money than a short seller of that stock on the same rise on that underlying stock. This is an example of how the leverage in options can work against the option trader.
- Writers of Naked Calls are obligated to deliver shares of the underlying stock if those call options are exercised.
- Call options can be exercised outside of market hours such that effective remedy actions cannot be performed by the writer of those options.
- Writers of stock options are obligated under the options that they sold even if a trading market is not available or that they are unable to perform a closing transaction.
- The value of the underlying stock may surge or ditch unexpectedly, leading to automatic exercises.

Other option trading risks are:

- The complexity of some option strategies is a significant risk on its own.
- Option trading exchanges or markets and option contracts themselves are always open to changes.
- Options markets have the right to halt the trading of any options, thus preventing investors from realizing value.
- Risk of erroneous reporting of exercise value.
- If an options brokerage firm goes insolvent, investors trading through that firm may be affected.
- Internationally traded options have special risks due to timing across borders.

Risks that are not specific to options trading include: market risk, sector risk and individual stock risk. Option trading risks are closely related to stock risks as stock options are a derivative of stocks.

We may use investment strategies that involve buying and selling securities frequently to capture significant market gains and avoid significant losses during a volatile market. However, frequent trading can negatively affect investment performance, particularly through increased brokerage and other transactional costs and taxes.

Our strategies and investments may have unique and significant tax implications. However, unless we specifically agree otherwise, and in writing, tax efficiency is not our primary consideration in the management of your assets. Regardless of your account size or any other factors, we strongly recommend that you continuously consult with a tax professional prior to and throughout the investing of your assets.

Moreover, as a result of revised IRS regulations, custodians and broker-dealers will begin reporting the cost basis of equities acquired in client accounts on or after January 1, 2011. Your custodian will default to the FIFO (First-In First-Out) accounting method for calculating the cost basis of your investments. You are responsible for contacting your tax advisor to determine if this accounting method is the right choice for you. If your tax advisor believes another accounting method is more advantageous, please provide written notice to our firm immediately and we will alert your account custodian of your individually selected accounting method. Please note that decisions about cost basis accounting methods will need to be made before trades settle, as the cost basis method cannot be changed after settlement.

#### Risk of Loss

Investing in securities involves risk of loss that you should be prepared to bear. We do not represent or

guarantee that our services or methods of analysis can or will predict future results, successfully identify market tops or bottoms, or insulate clients from losses due to market corrections or declines. We cannot offer any guarantees or promises that your financial goals and objectives will be met. Past performance is in no way an indication of future performance.

#### Recommendation of Particular Types of Securities

As disclosed under the "Advisory Business" section in this Brochure, we recommend several types of securities and we do not necessarily recommend one particular type of security over another since each client has different needs and different tolerance for risk. Each type of security has its own unique set of risks associated with it and it would not be possible to list here all the specific risks of every type of investment. Even within the same type of investment, risks can vary widely. However, in very general terms, the higher the anticipated return of an investment, the higher the risk of loss associated with it.

#### ITEM 9: Disciplinary Information

Neither our firm nor any of our Associated Persons has any reportable disciplinary information.

#### ITEM 10: Other Financial Industry Activities And Affiliations

##### Registrations with Broker-Dealer

Persons providing investment advice on behalf of our firm are registered representatives with VectorGlobal WMG, Inc. a securities broker/dealer with which we are affiliated through common control and ownership. You are under no obligation, contractually or otherwise, to purchase securities through any affiliated firm.

##### Arrangements with Affiliated Entities

We are affiliated with VectorGlobal WMG, Inc. a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, through common control and ownership. Persons providing investment advice on behalf of our firm are also registered representatives with VectorGlobal WMG, Inc. This practice could present a conflict of interest if representatives providing investment advice to you had an incentive to execute securities transactions for the purpose of generating commissions rather than solely based on your needs. To mitigate this risk, we have implemented a wrap fee system for our investment advisory accounts. In this system, the investment advisor charges an annual advisory fee for managing the client account. However, you will incur transaction costs and might be subject to other fees per transaction. Your advisory account will be handled separately from any other accounts held with our affiliated broker-dealer.

We also are affiliated to VectorGlobal Insurance Services Group, Inc. License in the State of Florida Number L073144. The Adviser provides sub-advisory services to its affiliate VectorGlobal Canada. The Adviser also receives sub-advisory services from Claudia M.P. Batlle, CFP® LLC (CMPB) an entity name SEAVIEW Investment Managers under common control with the Adviser. These arrangements can create a conflict for you as it may take time and resources away from you. The Adviser has controls in place to mitigate these conflicts which include performing periodic portfolio reviews to ensure that client portfolios are in line with their investment objective and risk tolerance.

#### Item 11: Code of Ethics, Participation or Interest in Client Transactions & Personal Trading

##### Description of Our Code of Ethics

We strive to comply with applicable laws and regulations governing our practices. Therefore, our Code of Ethics includes guidelines for professional standards of conduct for our Associated Persons. Our goal is to always protect your interests and to demonstrate our commitment to our fiduciary duties of honesty, good faith, and fair dealing with you. All our Associated Persons are expected to adhere strictly to these guidelines. Persons associated with our

firm are also required to report any violations of our Code of Ethics. Additionally, we maintain and enforce written policies reasonably designed to prevent the misuse or dissemination of material, non-public information about you or your account holdings by persons associated with our firm. Clients or prospective clients may obtain a copy of our Code of Ethics by contacting us at the telephone number on the cover page of this brochure.

#### Participation or Interest in Client Transactions

Neither our firm nor any of our Associated Persons has any material financial interest in client transactions beyond the provision of investment advisory services as disclosed in this brochure.

#### Personal Trading Practices

Our firm or persons associated with our firm may buy or sell the same securities that we recommend to you or securities in which you are already invested. A conflict of interest exists in such cases because we have the ability to trade ahead of you and potentially receive more favorable prices than you will receive. To eliminate this conflict of interest, it is our policy that neither our Associated Persons nor we shall have priority over your account in the purchase or sale of securities.

#### ITEM 12: BROKERAGE PRACTICES

We recommend the brokerage of VectorGlobal WMG, Inc., among others. We believe that VectorGlobal WMG, Inc. provides quality execution services for you, including the value of a research team, the firm's reputation, execution capabilities, and responsiveness to our clients. You are under no obligation to purchase securities through this affiliated firm. However, you may incur in additional costs if you decide to use another broker-dealer. All trades for Pershing accounts are processed through the Block Trading/Rebalancing function even if it is for one or multiple accounts.

Third party vendor generates a spreadsheet that is then uploaded to Pershing in the Block Trading/Rebalancing tool where the trade is executed and allocated according to the spreadsheet.

Even though we seek to consolidate a single block trade for all the accounts there are times where it is not possible. Please see the Fees and Compensation section in this brochure for more information.

Pursuant to SEC Rule 206(4)-1, VectorGlobal IAG is prohibited from using any advertisement that contains any untrue statement of material fact or that is otherwise misleading. In addition, an advertisement may not:

- use or refer to testimonials (which include any statement of a client's experience or endorsement);
- refer to past, specific recommendations made by the adviser that were profitable, unless the advertisement sets out a list of all recommendations made by the adviser within the preceding period of not less than one year, and complies with other, specified conditions.
- represent that any graph, chart, formula, or other device can, in and of itself, be used to determine which securities to buy or sell, or when to buy or sell such securities, or can assist persons in making those decisions, unless the advertisement prominently discloses the limitations thereof and the difficulties regarding its use; and
- represent that any report, analysis, or other service will be provided without charge unless the report, analysis, or other service will be provided without any obligation whatsoever.

Regarding the new Marketing Rule, the firm conducts a review (by the CCO or delegate) of all performance, including 1, 5 and 10-year return periods. VectorGlobal IAG uses performance results net of advisory fees (no gross performance).

#### ITEM 13: REVIEW OF ACCOUNTS

Carlos Gadala-Maria (Chief Executive Officer) and Raphael Viña (Chief Compliance Officer) will monitor your accounts on an on-going basis. Triggering factors that may stimulate additional reviews of your account include, but are not limited to, the following: changes in economic conditions, changes in your financial situation or investment objectives, and/or your request for an additional review of the account.

We will provide you with additional or regular written reports in conjunction with account reviews. Also, you will receive trade confirmations and monthly or quarterly statements from your account custodian(s).

#### ITEM 14: CLIENT REFERRALS AND OTHER COMPENSATION

We do receive referral compensation from Morgan and Morgan and Vector Casa de Bolsa S.A. de C.V., in connection with providing investment advice to clients. In addition, we may receive referrals from VectorGlobal WMG, Inc., in which case we will compensate VectorGlobal WMG, Inc. with a share of investment management revenues.

Persons providing investment advice on behalf of VectorGlobal IAG can also be dually registered representatives with VectorGlobal WMG, Inc. a securities broker/dealer with which we are affiliated through common control and ownership. Please refer to the Other Financial Industry Activities section for information on how we mitigate potential conflicts of interest.

#### ITEM 15: CUSTODY

As paying agent for our firm, your independent custodian will directly debit your account(s) for the payment of our advisory fees and performance fees, if applicable. This ability to deduct our advisory fees from your accounts causes our firm to exercise limited custody over your funds or securities. We do not have physical custody of any of your funds and/or securities. Your funds and securities will be held with a bank, broker-dealer, or other independent, qualified custodian. You will receive account statements from the independent, qualified custodian(s) holding your funds and securities at least quarterly. The account statements from your custodian(s) will indicate the amount of our advisory fees deducted from your account(s) each billing period. You should carefully review account statements for accuracy.

You should compare Tamarac's Advisor View Billing Statements with the statements from your account custodian(s) to reconcile the information reflected on each statement. If you have a question regarding your account statement or if you did not receive a statement from your custodian, please contact us directly at the telephone number on the coverage of this brochure.

#### ITEM 16: INVESTMENT DISCRETION

Before we can buy or sell securities on your behalf, you must first sign our discretionary management agreement, a power of attorney, and/or trading authorization forms.

You may grant our firm discretion over the selection and number of securities to be purchased or sold for your account(s) without obtaining your consent or approval prior to each transaction. You may specify investment objectives, guidelines, and/or impose certain conditions or investment parameters for your account(s). For example, you may specify that the investment in any stock or industry should not exceed specified percentages of the value of the portfolio and/or restrictions or prohibitions of transactions in the securities of a specific industry or security. Please refer to the "Advisory Business" section in this brochure for more information on our discretionary management services.

If you enter non-discretionary arrangements with our firm, we will obtain your approval prior to the execution of any transactions for your account(s). You have an unrestricted right to decline to implement any advice provided by our firm on a non-discretionary basis.



#### ITEM 17: VOTING CLIENT SECURITIES

Advisor will not be responsible for Proxy Voting for the client. All related communications shall be directed from Custodian to client, and client shall notify Adviser of his/her proxy decision.

#### ITEM 18: FINANCIAL INFORMATION

- We are not required to provide financial information to our clients because we do not:
- Require the prepayment of more than \$500 in fees and six or more months in advance, or
- Take custody of client funds or securities, or
- Have a financial condition that is reasonably likely to impair our ability to meet our commitment to you.

#### ITEM 19: ADDITIONAL INFORMATION

##### Your Privacy

We view protecting your private information as a top priority. Pursuant to applicable privacy requirements, we have instituted policies and procedures to ensure that we keep your personal information private and secure.

We do not disclose any nonpublic personal information about you to any nonaffiliated third parties, except as permitted by law. While servicing your account, we may share some information with our service providers, such as transfer agents, custodians, broker-dealers, accountants, consultants, and attorneys.

We restrict internal access to nonpublic personal information about you to employees who need that information in order to provide products or services to you. We maintain physical and procedural safeguards that comply with regulatory standards to guard your nonpublic personal information and to ensure our integrity and confidentiality.

We will not sell information about you or your accounts to anyone. We do not share your information unless it is required to process a transaction, at your request, or required by law.

You will receive a copy of our privacy notice prior to or at the time you sign an Investment Advisory Agreement with our firm. Thereafter, we will deliver a copy of the current privacy policy notice to you on an annual basis. Please contact our main office at the telephone number on the cover page of this brochure if you have any questions regarding this policy.

##### Trade errors

In the event a trading error occurs in your account, our policy is to restore your account to the position it should have been in had the trading error not occurred. Depending on the circumstances, corrective actions may include canceling the trade, adjusting an allocation, and/or reimbursing the account. If a trade error results in a profit, the trade error will be corrected in the trade error account of the executing broker-dealer, and you will not keep the profit.

##### Class Action Lawsuits

We do not determine if securities held by you are the subject of a class action lawsuit or whether you are eligible to participate in class action settlements or litigation nor do we initiate or participate in litigation to recover damages on your behalf for injuries as a result of actions, misconduct, or negligence by issuers of securities held by you.

FORM ADV PART 2B

# SUPERVISED PERSON BROCHURE SUPPLEMENT

**CARLOS E. GADALA-MARIA**

CEO, PRINCIPAL EXECUTIVE OFFICER

VECTORGLOBAL IAG, INC.  
1001 BRICKELL BAY DRIVE, SUITE 1900  
MIAMI, FLORIDA 33131  
PHONE: 305.350.3350

03/13/2024

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about **Carlos E. Gadala-Maria** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Carlos E. Gadala-Maria** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Carlos Enrique Gadala-Maria

Year of birth: 1962

## ITEM 2 Educational Background and Business Experience

### Formal Education

University of Michigan, M.B.A., Finance, 1990

University of Miami, B.S., Mechanical Engineering, 1982

### Business Background for the Previous Five Years

- VectorGlobal WMG, Inc., broker-dealer, C.E.O. & President from 04/2008 to Present
- VectorGlobal IAG, Inc., investment advisory firm, C.E.O. from 04/2008 to Present
- VectorMex Incorporated, holding company, President/C.E.O./Director from 07/2007 to Present
- American Express Financial Advisors, Inc., Regional Sales Manager, from 03/2001 to 06/2007
- American Express Bank International., Senior Investment Specialist, from 02/1999 to 03/2001

### Item 3 Disciplinary Information

Mr. Gadala-Maria does not have any reportable disciplinary disclosure.

### Item 4 Other Business Activities

Mr. Gadala-Maria is also CEO, and President of VectorGlobal WMG, Inc. a broker-dealer affiliated VectorGlobal IAG, Inc. through common control and ownership.

Mr. Gadala-Maria engages most of his professional time on the broker-dealer activities.

For additional information please refer to sections Fees and Compensation and Client Referrals and Other Compensation on the disclosure brochure of VectorGlobal IAG, Inc.

### Item 5 Additional Compensation

Mr. Gadala-Maria does not receive any additional compensation for providing advisory services beyond the fee-based compensation he receives through VectorGlobal IAG, Inc.

### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

## JUAN MANUEL DE LOS REYES CORDOVA

STRATEGY & PRODUCT DIRECTOR

VECTORGLOBAL IAG, INC.

1001 BRICKELL AVENUE, SUITE 1900

MIAMI, FLORIDA 33131

PHONE: 305.350.3350

03/13/2024

FORM ADV PART 2B

BROCHURE SUPPLEMENT

This brochure supplement provides information about **Juan Manuel De Los Reyes Cordova** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Juan Manuel De Los Reyes Cordova** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Juan Manuel De Los Reyes Cordova

Year of Birth: 1983

## ITEM 2 Educational Background and Business Experience

### Formal Education

Bachelor's degree in administration and finance awarded by the Instituto Tecnológico y de Estudios Superiores de Monterrey (Monterrey Institute of Technology and Higher Studies), 2004-2009

The Institute is a member of the National Association of Universities and Higher Institutes of the Mexican Republic and is accredited by the Southern Association of Colleges and Schools in the United States.

FINRA Series 7, 66, 63 & SIE

### Business Background

- VectorGlobal IAG, Head of Asset Management, 8/2023 - Present
- VectorGlobal WMG, Member of Investment & Credit Committee, 05/2013 – Present
- Vector Casa de Bolsa, Credit Analyst, 11/2010 – 05/2013
- Banco Nacional de Mexico (Banamex), Credit Analyst, 05/2009 – 11/2010

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Juan Manuel De Los Reyes Cordova has no required disclosures under this item.

## Item 4 Other Business Activities

Mr. De Los Reyes Cordova is a registered broker at VectorGlobal WMG, a securities broker/dealer affiliated with VectorGlobal IAG, inc. through common control and ownership.

Please refer to the fees and compensation section and the client referrals and other compensation section of VectorGlobal IAG inc.'s firm brochure for additional disclosures on this topic.

## Item 5 Additional Compensation

Mr. De los Reyes does not receive any additional compensation for providing advisory services.

## Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

## Claudia M.P. Batlle

GLOBAL INVESTMENT ADVISOR

VectorGlobal IAG, Inc.  
1001 Brickell Avenue, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

This brochure supplement provides information about **Claudia M.P. Batlle** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Claudia M.P. Batlle** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Claudia Maria de la Paz Batlle, CFP®

Year of Birth: 1967

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Formal Education

University of Georgia, CFP Certified Planning Certificate, 3/2016 - 3/2017

University of Illinois Executive Development Center, Bond Analysis and Portfolio Management, 1992 - 1992

Florida International university, BA Business Administration - Marketing, 8/1988 - 8/1990

### Business Background

Seaview Investment Managers LLC, Founder/Chief Investment Officer/Chief Compliance Officer, 06/2019 - Present

FPMI LLC dba FPW International, CEO, 10/2018 - Present

Seaview Investment Managers LLC, Managing Member, 9/2017 - Present

VectorGlobal IAG, Head of Asset Management, 1/2012 - Present

VectorGlobal WMG, Member of Investment & Credit Committee, 1/2011 - Present

Fundación Manos Del Sur, Founding director & Volunteer, 10/1999 - Present

Kouzine Corp., President, 8/2007 - 2/2011

Latin America Specialty Foods, President, 10/2005 - 2/2011

Certifications: CFP

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and several other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

**Education** – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services and attain a bachelor's degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning.

**Examination** – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances.

**Experience** – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and

**Ethics** – Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.



Individuals who become certified must complete the following ongoing education and ethics requirements to maintain the right to continue to use the CFP® marks:

Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and

Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

### Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mrs. Claudia Maria de la Paz Batlle has no required disclosures under this item.

### Item 4 Other Business Activities

Claudia Maria de la Paz Batlle is a Member of Investment Committee with VectorGlobal WMG. VectorGlobal WMG is a diversified financial services company engaged in the sale of specialized investment products. Persons providing investment advice to advisory clients on behalf of our firm are registered representatives with VectorGlobal WMG. In their capacity as registered representatives, these persons do not receive compensation in connection with the purchase and sale of securities or other investment products, including asset-based sales charges, service fees or 12b-1 fees for the sale or holding mutual funds. Compensation is not earned by these persons in their capacities as registered representatives in addition to our advisory fees. This practice does not present a conflict of interest because persons providing investment advice to advisory clients on behalf of our firm who are registered representatives because these persons do not receive compensation in connection with the purchase and sale of securities or other investment products, including asset-based sales charges, service fees or 12b-1 fees, for the sale or holding, of mutual funds. Persons providing investment advice to advisory clients on behalf of our firm can select or recommend, and in many instances will select or recommend, mutual fund investments. These mutual fund investments do not pay 12b-1 fees.

Claudia Maria de la Paz Batlle is Head of Asset Management of VectorGlobal IAG, a registered investment adviser. When appropriate, Mrs. Batlle may recommend that you use the investment advisory services of VectorGlobal IAG. If you utilize the advisory services of Mrs. Batlle through VectorGlobal IAG, she may receive additional fees or other compensation in her capacity as an investment adviser representative. These fees would be in addition to any fees charged for the advisory services provided through Claudia M.P. Batlle, CFP (R) LLC.

Claudia Maria de la Paz Batlle is CEO/Partner of FPMI LLC, a company that provides educational services in Financial Principles and Management to specific market niches, such as young adults and women, through FPW International, or Financial Planning for Women International. Mrs. Batlle's duties as the CEO/Partner of FPMI LLC do not create a conflict of interest to her provision of advisory services through CLAUDIA M.P. BATLLE, CFP (R) LLC. Mrs. Batlle might refer clients to FPMI LLC or VECTORGLOBAL IAG for educational, advisory and/or insurance services, where she might receive compensation. Mrs. Batlle is also Founding Director of Fundación Manos del Sur, a Nonprofit organization. Mrs.

Batlle's duties as the Founding Director of Fundación Manos del Sur do not create a conflict of interest to her provision of advisory services through Claudia M.P. Batlle, CFP (R) LLC.

#### Item 5 Additional Compensation

Ms. Battle does not receive any additional compensation for providing advisory services beyond the fee-based compensation she receives through VectorGlobal IAG, Inc & SEAVIEW Investment Managers.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

ERIC UREÑA

MANAGEMENT PERSON

VectorGlobal IAG, Inc.  
1001 Brickell Avenue, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

This brochure supplement provides information about **Eric Ureña** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Eric Ureña** is available on the SEC's website at <https://adviserinfo.se>

Eric Ureña

Year of birth: 1967

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Formal Education

University of Florida, M.B.A, 1993

University of Florida, B.A., Material Science Engineering, 1990

### Business Background for the Previous Five Years

- VectorGlobal WMG, Inc., since April 2009 to present
- Stanford Group - 2005 to 2009

### Item 3 Disciplinary Information

Mr. Eric Ureña does not have any reportable disciplinary disclosure.

### Item 4 Other Business Activities

Mr. Eric Ureña is also Head Trader of VectorGlobal WMG, Inc. a broker-dealer affiliated VectorGlobal IAG, Inc. through common control and ownership.

Mr. Eric Ureña engages most of his professional time on the broker-dealer activities.

For additional information please refer to sections Fees and Compensation and Client Referrals and Other Compensation on the disclosure brochure of VectorGlobal IAG, Inc.

### Item 5 Additional Compensation

Mr. Eric Ureña does not receive any additional compensation for providing advisory services beyond the fee-based compensation he receives through VectorGlobal IAG, Inc.

### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

**ANTONIO FERNANDEZ**

INVESTMENT ADVISER REPRESENTATIVE

VECTORGLOBAL IAG, INC.  
1001 BRICKELL BAY DRIVE, SUITE 1900  
MIAMI, FLORIDA 33131  
PHONE: 305.350.3350

03/13/2024

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about **Antonio Fernandez** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Antonio Fernandez** is available on the SEC's website at <https://adviserinfo.sec.gov>

Antonio Fernandez

Year of Birth: 1972

#### ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

##### Formal Education

Mr. Fernandez has a BA degree in Industrial & System engineering Degree at Instituto Tecnologico de Estudios Superiores de Monterrey Campus in Ciudad de Mexico 1990-1994.

FINRA Series 7,66,63, 24 & SIE

##### Business Background for the Previous Five Years

- VectorGlobal IAG, INC- Investment Adviser 04/2017 - Present
- VectorGlobal WMG, Register Broker- 11/2016 – Present
- Actinver Securities, Register Broker 2010 – 2016

#### Item 3 Disciplinary Information

Mr. Fernandez does not have any reportable disciplinary disclosure.

#### Item 4 Other Business Activities

Mr. Fernandez is a registered broker at VectorGlobal WMG, inc., a securities broker/dealer affiliated with VectorGlobal IAG, inc. through common control and ownership.

Please refer to the fees and compensation section and the client referrals and other compensation section of VectorGlobal IAG inc.'s firm brochure for additional disclosures on this topic.

#### Item 5 Additional Compensation

Mr. Fernandez does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, inc.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed written supervisory policies and procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

## MONICA CLEVES

INVESTMENT ADVISER REPRESENTATIVE

VECTORGLOBAL IAG, INC.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

This brochure supplement provides information about **Monica Cleves** that supplements VECTORGLOBAL IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Monica Cleves** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Year of Birth: 1966

## ITEM 2 Educational Background and Business Experience

### Formal Education

Universidad Santo Tomas de Aquino / Universidad Central (Bogotá, Colombia), Economics, 1994

Universidad Central (Bogotá, Colombia), Business, 1988

FINRA Series 7, 63, 66 & SIE

### BUSINESS BACKGROUND FOR THE PREVIOUS FIVE YEARS

VectorGlobal WMG, Registered Broker, 04/2010 – Present

Citibank, Registered Broker, April 2003 - 2010

### Item 3 Disciplinary Information

Ms. Cleves does not have any reportable disciplinary disclosure.

### Item 4 Other Business Activities

Ms. Cleves is a registered broker at VectorGlobal WMG, Inc., a securities broker/dealer affiliated with VectorGlobal IAG, Inc. through common control and ownership.

Mrs. Cleves engages most of her professional time on the broker dealer activities.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of VectorGlobal IAG, Inc.'s firm brochure for additional disclosures on this topic.

### Item 5 Additional Compensation

Mrs. Cleves does not receive any additional compensation for providing advisory services beyond the fee-based compensation she receives through VectorGlobal IAG, Inc.

### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.



## CARLOS MORALES

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

### FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about **Carlos Morales** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Carlos Morales** is available on the SEC's website at  
<https://adviserinfo.sec.gov>.

YEAR OF BIRTH: 1983

## ITEM 2 Educational Background and Business Experience

### Formal Education

Mr. Morales has a B.S degree in Industrial and Systems Engineering - University of Florida, Dec 2005.

FINRA Series 7, 63, 66 & SIE

### Business Background for The Previous Five Years

VectorGlobal IAG Inc. Investment Adviser Representative, 01/2018 - Present

VectorGlobal WMG, Registered Broker, 04/2017 – Present.

Investment Advisor – UBS Financial, March 2014 – April 2017.

Client Relationship Manager – Arca Capital, November 2012 - November 2013

## Item 3 Disciplinary Information

Mr. Morales does not have any reportable disciplinary disclosure.

## Item 4 Other Business Activities

Mr. Morales is a registered broker at VectorGlobal WMG, Inc., a securities broker/dealer affiliated with VectorGlobal IAG, Inc. through common control and ownership.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of VectorGlobal IAG, Inc.'s firm brochure for additional disclosures on this topic.

## Item 5 Additional Compensation

Mr. Morales does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, Inc.

## Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

FELIPE H. VALBUENA, CFP®

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

This brochure supplement provides information about **Felipe H. Valbuena** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Felipe H. Valbuena** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Felipe H. Valbuena, CFP®

Year of Birth: 1961

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Formal Education

Mr. Valbuena has an Administration Business Degree (master's in international business) University of Miami, Florida, CFP CERTIFIED PLANNING Certificate, 05/12/2021.

Certificate of Advanced Management Studies Program (Business School) University of Miami-Florida

FINRA Series 7, 63,66 & SIE

### Business Background for The Previous Five Years

VectorGlobal IAG, Inc., Investment Adviser Representative, 01/10/2019 – Present

VectorGlobal WMG, Registered Broker, 01/10/2019 – Present

EFG Bank S.A. Suiza - Colombia, 2006 –2018

Banco Atlántico S.A. España - Colombia, 2002 -2005

Certifications: CFP®

The CERTIFIED FINANCIAL PLANNER TM, CFP® and federally registered CFP® (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and several other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services and attain a bachelor's degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning.

Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances.

Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and

Ethics – Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to maintain the right to continue to use the CFP® marks:

CONTINUING EDUCATION – COMPLETE 30 HOURS OF CONTINUING EDUCATION HOURS EVERY TWO YEARS, INCLUDING TWO HOURS ON THE CODE OF ETHICS AND OTHER PARTS OF THE STANDARDS OF PROFESSIONAL CONDUCT, TO MAINTAIN COMPETENCE AND KEEP UP WITH DEVELOPMENTS IN THE FINANCIAL PLANNING FIELD; AND

ETHICS – RENEW AN AGREEMENT TO BE BOUND BY THE STANDARDS OF A PROFESSIONAL CONDUCT. THE STANDARDS PROMINENTLY REQUIRE THAT CFP® PROFESSIONALS PROVIDE FINANCIAL PLANNING SERVICES AT A FIDUCIARY STANDARD OF CARE. THIS MEANS CFP® PROFESSIONALS MUST PROVIDE FINANCIAL PLANNING SERVICES IN THE BEST INTERESTS OF THEIR CLIENTS.

CFP® PROFESSIONALS WHO FAIL TO COMPLY WITH THE ABOVE STANDARDS AND REQUIREMENTS MAY BE SUBJECT TO CFP BOARD'S ENFORCEMENT PROCESS, WHICH COULD RESULT IN SUSPENSION OR PERMANENT REVOCATION OF THEIR CFP® CERTIFICATION.

#### Item 3 Disciplinary Information

Mr. Valbuena does not have any reportable disciplinary disclosure.

#### Item 4 Other Business Activities

Mr. Valbuena is a registered broker at VectorGlobal WMG, Inc. a securities broker/dealer affiliated with VectorGlobal IAG, Inc. through common control and ownership.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of VectorGlobal IAG, Inc.'s firm brochure for additional disclosures on this topic.

#### Item 5 Additional Compensation

Mr. Valbuena does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, Inc.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

JOSE ANTONIO ROCA

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

This brochure supplement provides information about **Jose Antonio Roca** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Jose Antonio Roca** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Jose Antonio Roca

Year of Birth: 1979

#### ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

##### Formal Education

Mr. Roca has a BA degree in Business Administration and Marketing at Universidad Peruana de Ciencias Aplicadas (Peru) and completed MBA at HEC Montreal with a Green Belt Lean Six Sigma Certificate.

FINRA Series 7, 65 & SIE

##### Business Background for The Previous Five Years

- VectorGlobal IAG, Inc., Investment Adviser Representative, 02/2020 – Present
- VectorGlobal WMG, Business Developer Peru, 12/2018 – 01/2020
- Independent Consultan, Perú & Canadá, 01/2017 – 11/2018
- Citibank, N.A. Foreign Associate, 01/2013 – 06/2015
- Inteligo Bank LTD. Wealth Manager, 01/2008 - 12/2012

#### Item 3 Disciplinary Information

Mr. Roca does not have any reportable disciplinary disclosure.

#### Item 4 Other Business Activities

Mr. Roca is a registered broker at VectorGlobal WMG, a securities broker/dealer affiliated with VectorGlobal IAG, inc. through common control and ownership.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of VectorGlobal IAG, Inc.'s firm brochure for additional disclosures on this topic.

#### Item 5 Additional Compensation

Mr. Roca does not receive any additional compensation for providing advisory services beyond the fee-based compensation he receives through VectorGlobal IAG, Inc.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

# MARIA PIA ACEVEZ

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

## FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about **Maria Pia Acevez** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Maria Pia Acevez** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



MARIA PIA ACEVEZ

YEAR OF BIRTH: 1961

#### ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

##### Formal Education

Ms. Acevez has a Marketing and Business degree at Universidad Panamericana, Guadalajara, Mexico & master's degree in Financiamiento de Proyecto Industriales.

FINRA SERIES 7 & 63, 66 & SIE

##### Business Background for The Previous Five Years

VECTORGLOBAL IAG, INC., INVESTMENT ADVISER REPRESENTATIVE, 03/20/2021 – PRESENT

VECTORGLOBAL WMG, REGISTERED BROKER, 06/2014 – PRESENT.

#### Item 3 Disciplinary Information

Ms. Acevez does not have any reportable disciplinary disclosure.

#### Item 4 Other Business Activities

Ms. Acevez is a registered broker at VectorGlobal WMG, Inc., a securities broker/dealer affiliated with VectorGlobal IAG, Inc. through common control and ownership.

Mrs. Acevez is engaged in the sales and purchasing of artwork (Caiman Contemporary LLC).

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of VectorGlobal IAG, Inc.'s firm brochure for additional disclosures on this topic.

#### Item 5 Additional Compensation

Ms. Acevez does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, Inc.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

# CARLOS SCHWARZ KLEYMAN

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

## FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about **Carlos Schwarz Kleyman** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Carlos Schwarz Kleyman** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Carlos Schwarz Kleyman

Year of Birth: 1989

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Formal Education

Mr. Schwarz has an International Business degree from Tecnológico de Monterrey, Guadalajara Campus, México. He also studied at the University of Arizona for a Business Major.

### FINRA Series 65 & SIE

### Business Background for The Previous Five Years

VectorGlobal IAG, Inc., Investment Adviser Representative, 04/30/2021 – Present

Independent Insurance Agent certified to sell Life Insurance in México, 09/2018 – PRESENT

Construction Supervision and Sales Representative for a commercial development project in the Mexican Caribbean. 03/2017 - 09/2018

Logistic manager for a Lighting Product Manufacturer with its headquarters in Hollywood, Florida. 11/2014 - 03/2017

Junior Consultant for a Logistic Advisor Firm in Mexico City. 05/2014 - 11/2014

### Item 3 Disciplinary Information

Mr. Schwarz does not have any reportable disciplinary disclosure.

### Item 4 Other Business Activities

Mr. Schwarz is an Insurance Agent in Mexico, selling mostly Life Insurance.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of VectorGlobal IAG, Inc.'s firm brochure for additional disclosures on this topic.

### Item 5 Additional Compensation

Mr. Schwarz does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, Inc.

### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

# JUAN MANUEL RAMOS FERNANDEZ

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

## FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about **Juan Manuel Ramos Fernandez** that supplements VECTORGLOBAL IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Juan Manuel Ramos Fernandez** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Juan Manuel Ramos Fernandez

Year of Birth: 1958

#### ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

##### FORMAL EDUCATION

Mr. Ramos Fernandez has a Business Administration degree from San Diego State University.

FINRA SERIES 7 & 63, 66 & SIE

##### Business Background for The Previous Five Years

VectorGlobal IAG, Inc., Investment Adviser Representative, 07/01/2021 – Present

VectorGlobal WMG Registered Broker, 07/01/2021 – Present

Wells Fargo Advisors- San Diego, CA 07/2017 - 06/30/2021

Merrill Lynch- San Diego, CA 05/2006 - 07/2017

#### Item 3 Disciplinary Information

No Investment Advisory Disciplinary Actions

#### Item 4 Other Business Activities

Mr. Ramos Fernandez is a registered broker at VectorGlobal WMG, Inc., a securities broker/dealer affiliated with VectorGlobal IAG, Inc. through common control and ownership.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of VectorGlobal IAG, Inc.'s firm brochure for additional disclosures on this topic.

#### Item 5 Additional Compensation

Mr. Ramos Fernandez does not receive any additional compensation for providing advisory services beyond the fee-based compensation he receives through VectorGlobal IAG, Inc.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

**MICHAEL F. RICCIARDI**

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about **Michael F. Ricciardi** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Michael F. Ricciardi** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

MICHAEL F. RICCIARDI

Year of Birth: 1977

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Formal Education

Mr. Ricciardi has a Master of Business Administration & Master of Science Degree from Seton Hall University, South Orange, NJ.

FINRA Series 7, 66 & 63 & SIE. (Combined State Law License from Brokerage and Investment Advisor)

### Business Background for The Previous Five Years

VectorGlobal IAG, Inc., Investment Adviser Representative, 10/01/2021 – Present

VectorGlobal WMG Registered Broker, 10/01/2021 – Present

Citigroup Global Markets Inc-Houston, Tx 12/2018 - 10/2021

Citigroup Global Markets Inc-Jalisco, Mexico 09/2014 - 10/2018

### Item 3 Disciplinary Information

Mr. Ricciardi does not have any reportable disciplinary disclosure.

### Item 4 Other Business Activities

Mr. Ricciardi is a registered broker at VectorGlobal WMG, a securities broker/dealer affiliated with VectorGlobal IAG, inc. through common control and ownership.

Mr. Ricciardi is a Landlord-Owner – Real Estate Property.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of Vector Global IAG, Inc.'s firm brochure for additional disclosures on this topic.

### Item 5 Additional Compensation

Mr. Ricciardi does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, Inc.

### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

**PAULINA MERINO**

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about **Paulina Merino** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Paulina Merino** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



Paulina Merino

YEAR OF BIRTH: 1987

## ITEM 2 Educational Background and Business Experience

### Formal Education

Mrs. Merino has a Bachelor of Science in Nutrition from Autónoma University of Aguascalientes, Mexico.

FINRA Series 7, 11, 65 & 63 & SIE. (Combined State Law License from Brokerage and Investment Advisor)

### Business Background for The Previous Five Years

VectorGlobal IAG, Inc., Investment Adviser Representative, 05/2021 – Present

VectorGlobal WMG Registered Broker, 05/2021 – Present

Actinver Securities Inc-Houston, Tx 05/2016 - 05/2021

## Item 3 Disciplinary Information

Mrs. Merino does not have any reportable disciplinary disclosure.

## Item 4 Other Business Activities

Mrs. Merino is a registered broker at VectorGlobal WMG, a securities broker/dealer affiliated with VectorGlobal IAG, inc. through common control and ownership.

Mrs. Merino is a yoga teacher; she offers yoga classes in Soultribes Studio, and she is Employed As an independent contractor.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of Vector Global IAG, Inc.'s firm brochure for additional disclosures on this topic.

## Item 5 Additional Compensation

Mrs. Merino does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, Inc.

## Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

## ANDRES SILVA

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

### FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about **Andres Silva** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Andres Silva** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Andres Silva

Year of Birth: 1981

#### ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

##### Formal Education

Mr. Silva is a Commercial Engineer with a minor in Business administrations from Pontificia Catholic University of Chile.

FINRA Series 65, 7 & SIE

##### Business Background for The Previous Five Years

VectorGlobal IAG, Inc., Investment Adviser Representative, 11/2021 – Present

VectorGlobal WMG Agencia de Valores, Chile - 12/2014 – Present

##### Item 3 Disciplinary Information

Mr. Silva does not have any reportable disciplinary disclosure.

##### Item 4 Other Business Activities

Mr. Silva is a registered broker at VectorGlobal WMG, a securities broker/dealer affiliated with VectorGlobal IAG, inc. through common control and ownership.

Mr. Silva does not have other business activities.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of Vector Global IAG, Inc.'s firm brochure for additional disclosures on this topic.

##### Item 5 Additional Compensation

Mr. Silva does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, Inc.

##### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

## JAVIER AUGUSTO SORIA

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

### FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about **Javier Augusto Soria** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Javier Augusto Soria** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

JAVIER SORIA

Year of Birth: 1968

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Formal Education

- Mr. Soria - master's degree in economics and business
- Centro de Estudios Macroeconomicos (CEMA) Buenos Aires, Argentina
- Bachelor's Degree in Science, Computer Information Systems, Universidad CAECE, Buenos Aires, Argentina
- FINRA SERIES Securities Industry Essentials (SIE), General Securities Representative (Series7) & Uniform Combined State Law (Series 66)
- Canadian Securities Course (CSC), Wealth Management Essential (WME)

### Business Background for The Previous Five Years

- VectorGlobal IAG, Inc., Investment Adviser Representative, 01/2021 – Present
- VectorGlobal WMG - 12/2020 – Present
- Andbank Private Bankers-Miami 01/2017 - 06/2019
- Scotiabank, Bank of Nova Scotia- Toronto, Ontario 01/2015 - 10/2016

### Item 3 Disciplinary Information

Mr. Soria does not have any reportable disciplinary disclosure.

### Item 4 Other Business Activities

Mr. Soria is a registered broker at VectorGlobal WMG, a securities broker/dealer affiliated with VectorGlobal IAG, inc. through common control and ownership.

Mr. Soria is a Landlord-Owner - one rental property in Canada, Rental income Provided (Non-Investment related). Less than 3 hours monthly devoted toward this function. SinResortes SA Non-Investment related- Trampoline business.

Please refer to the Fees and Compensation section and the Client Referrals and Other Compensation section of Vector Global IAG, Inc.'s firm brochure for additional disclosures on this topic.

### Item 5 Additional Compensation

Mr. Soria does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, Inc.

### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

## GIBRAN JOSE ABDALA HADAD

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

### FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about **Gibrán Jose Abdala Hadad**, that supplements VECTORGLOBAL IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Gibrán Jose Abdala Hadad** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Gibrán José Abdala

Year of Brith: 1978

#### ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

##### Formal Education

Mr. Gibrán Abdala - master's degree in economics and business

Anáhuac University of Norther Mexico

Bachelor's degree in economics

Anáhuac University of Northern Mexico

FINRA SERIES 7, 63, 66 & SIE

##### Business Background for The Previous Five Years

Vector Casa de Bolsa S.A. DE C.V.- VectorGlobal WMG: 2012 - Present

#### Item 3 Disciplinary Information

No Investment Advisory Disciplinary Actions

#### Item 4 Other Business Activities

Mr. Abdala is a registered broker at VectorGlobal WMG, Inc., a securities broker/dealer affiliated with VectorGlobal IAG, Inc. through common control and ownership. Mr. Abdala is his leisure time participates in the Patronato Francisco Mendez (Orphanage) Mr. Abdala owns a Taxi Plate business and is a member of the Hamsi Bros (hotel) partnership.

#### Item 5 Additional Compensation

Mr. Abdala does not receive any additional compensation for providing advisory services beyond the fee- based compensation he receives through VectorGlobal IAG, Inc.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

## JUAN CARLOS SANCHEZ COSTES

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

### FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about **Juan Carlos Sanchez Costes** that supplements VECTORGLOBAL IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Juan Carlos Sanchez Costes** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



Juan Carlos Sanchez Costes

Year of Brith: 1979

#### ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

##### Formal Education

Mr. Sanchez Costes -M.I.M. master's in international management / Itam Mexico City  
B.S. In Business Administration, M. Finance/ Universidad PANAMERICANA MEXICO City

FINRA: Series 7, 66, 63, SIE & life and health

##### Business Background for The Previous Five Years

#### 22 YEARS OF EXPERIENCE IN FINANCIAL INSTITUTIONS

VectorGlobal WMG Inc- 01/27/2023 - Present  
UBS Financial Services Inc-04/2019 - 01/27/2023  
Banamex/Citibank- 03/2012 - 03/2019

#### Item 3 Disciplinary Information

Mr. Sanchez Costes does not have any reportable disciplinary disclosure.

#### Item 4 Other Bussiness Activities

Mr. Sanchez Costes is a registered broker at VectorGlobal WMG, Inc., a securities broker/dealer affiliated with VectorGlobal IAG, Inc. through common control and ownership.

#### Item 5 Additional Compensation

Mr. Sanchez Costes does not receive any additional compensation for providing advisory services beyond the fee-based compensation he receives through VectorGlobal IAG, Inc.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

## ANDRE FILIPE DA SILVA REID

INVESTMENT ADVISER REPRESENTATIVE

VectorGlobal IAG, Inc.  
1001 Brickell Bay Drive, Suite 1900  
Miami, Florida 33131  
Phone: 305.350.3350

03/13/2024

### FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about **Andre Filipe da Silva Reid** that supplements VECTORGLOBAL IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm at 305.350.3350 if you did not receive Vectorglobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Andre Filipe da Silva Reid** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Andre Filipe da Silva Reid

Year of Birth: 1979

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Formal Education

Mr. Andre Filipe Da Silva Reid – Postgraduate Degree in Risk Management and Derivatives - Universidade Catolica - Porto E BDP (Bolsa De Derivados Do Porto) Portugal- September 97 - August 98

MA in Finance-London of Economics – August 95 - October 95

Ba- Accountancy and Finance (Third Honours)- University of Greenwich, UK -September 92 - July 95

FINRA: Series 7, 65 & SIE

### Business Background for The Previous Five Years

VECTORGLOBAL WMG INC- 02/14 /2023 - PRESENT

Bulltick Wealth Management-January 2013-february 2023 - Director

## Item 3 Disciplinary Information

Mr. Filipe da Silva Reid does not have any reportable disciplinary disclosure.

## Item 4 Other Business Activities

Mr. Da Silva Reid is a registered broker at VectorGlobal WMG, Inc. a securities broker/dealer affiliated with VectorGlobal IAG, Inc. through common control and ownership.

## Item 5 Additional Compensation

Mr. Da Silva Reid does not receive any additional compensation for providing advisory services beyond the fee-based compensation he receives through VectorGlobal IAG, Inc.

## Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

ANDREA NARBONA LETELIER

INVESTMENT REPRESENTATIVE

VECTORGLOBAL IAG, INC.  
1001 BRICKELL BAY DRIVE, SUITE 1900  
MIAMI, FLORIDA 33131  
PHONE: 305.350.3350

03/13/2024

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

This brochure supplement provides information about **Andrea Narbona Letelier** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Andrea Narbona Letelier** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Andrea Narbona Letelier

Year of birth: 1994

#### ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

##### Formal Education

Universidad Adolfo Ibanez, Masters Degree in Finance / 2018

Universidad Adolfo Ibanez, Business Engineering / 2017

FINRA: SIE, Series 7, 66, 86 & 87

##### Business Background for the Previous Five Years

- VectorGlobal WMG, Inc. / 2019 - Present

#### Item 3 Disciplinary Information

Mrs. Narbona Letelier does not have any reportable disciplinary disclosure.

#### Item 4 Other Business Activities

Mrs. Narbona Letelier is a registered broker at VectorGlobal WMG, Inc. a securities broker/dealer affiliated with VectorGlobal IAG, Inc. through common control and ownership.

Mrs. Narbona Letelier serves as a teaching assistant for finance-related eClass online courses, that are part of graduate programs.

Real estate co-proprietor with sister (business location for leasing).

Refers clients to VectorGlobal WMG Agencia de Valores (Chilean broker-dealer that operates locally).

For additional information please refer to sections Fees and Compensation and Client Referrals and Other Compensation on the disclosure brochure of VectorGlobal IAG, Inc.

#### Item 5 Additional Compensation

Mrs. Narbona Letelier does not receive any additional compensation for providing advisory services beyond the fee-based compensation she receives through VectorGlobal IAG, Inc.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.

CRISTINA TORRES DAGER

INVESTMENT ADVISER REPRESENTATIVE

VECTORGLOBAL IAG, INC.  
1001 BRICKELL BAY DRIVE, SUITE 1900  
MIAMI, FLORIDA 33131  
PHONE: 305.350.3350

03/13/2024

FORM ADV PART 2B  
BROCHURE SUPPLEMENT

This brochure supplement provides information about **Cristina Torres Dager** that supplements the VectorGlobal IAG, Inc. brochure. You should have received a copy of that brochure. Please contact our firm on 305.350.3350 if you did not receive VectorGlobal IAG, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about **Cristina Torres Dager** is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Cristina Torres Dager

Year of birth: 1978

#### ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

##### Formal Education

Universidad Tecnologica de Bolivar, Bachelors Degree in Business Administration / 1995-2000

Universidad de la Sabana, coursework in Commercial Management / 2016-2017

FINRA: Series 65

##### Business Background for the Previous Five Years

- VectorGlobal IAG, Inc. (Investment Advisor): 12/2023 – Present
- VectorGlobal WMG, Inc.: 5/2021 – 12/2022
- Itau Panama, S.A. (Commercial Manager): 7/2019 – 8/2020
- Occidental Bank Barbados (Commercial Manager): 3/2014 – 7/2019

#### Item 3 Disciplinary Information

Mrs. Torres Dager does not have any reportable disciplinary disclosure.

#### Item 4 Other Business Activities

Mrs. Torres Dager does not have other business activities.

For additional information please refer to sections Fees and Compensation and Client Referrals and Other Compensation on the disclosure brochure of VectorGlobal IAG, Inc.

#### Item 5 Additional Compensation

Mrs. Torres Dager does not receive any additional compensation for providing advisory services beyond the fee-based compensation she receives through VectorGlobal IAG, Inc.

#### Item 6 Supervision

Raphael Viña, Chief Compliance Officer, is responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address his supervisory responsibilities including periodically reviewing investment recommendations, trades, and communications with clients. Mr. Viña can be reached at 305.350.3350.