



IAPD Report

JOSEPH MARIO MINIERI

CRD# 1195018

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

JOSEPH MARIO MINIERI (CRD# 1195018)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	03/25/2017
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	01/17/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	MSI FINANCIAL SERVICES, INC.	14251	HAUPPAUGE, NY	02/11/2004 - 03/25/2017
B	METROPOLITAN LIFE INSURANCE COMPANY 4095		HAUPPAUGE, NY	02/11/2004 - 07/09/2007
B	CROWN FINANCIAL GROUP, INC.	540	JERSEY CITY, NJ	08/03/1998 - 10/23/2003

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	2
Judgment/Lien	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 6 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/25/2017
B Connecticut	Agent	Approved	01/03/2019
B New Jersey	Agent	Approved	07/21/2017
B New York	Agent	Approved	03/25/2017
IA New York	Investment Adviser Representative	Approved	06/14/2021
B North Carolina	Agent	Approved	03/25/2017
B Texas	Agent	Approved	01/07/2019
IA Texas	Investment Adviser Representative	Restricted Approval	01/17/2019
B Virginia	Agent	Approved	01/02/2019

Branch Office Locations

MML INVESTORS SERVICES, LLC
1393 Veteran's Memorial Hwy
Suite 307S
Hauppauge, NY 11788

MML INVESTORS SERVICES, LLC
FARMINGDALE, NY





Qualifications

PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	08/23/1989
 Registered Options Principal Examination (S4)	Series 4	05/09/1988

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/19/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/22/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	02/11/2004 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	HAUPPAUGE, NY
B	02/11/2004 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	HAUPPAUGE, NY
B	08/03/1998 - 10/23/2003	CROWN FINANCIAL GROUP, INC.	CRD# 540	JERSEY CITY, NJ
B	03/17/1997 - 07/31/1998	SHARPE CAPITAL, INC.	CRD# 18452	NEW YORK, NY
B	06/09/1994 - 02/21/1997	ROYCE INVESTMENT GROUP, INC.	CRD# 10494	WOODBURY, NY
B	07/26/1993 - 06/07/1994	WESTFIELD FINANCIAL CORPORATION	CRD# 8143	NEW YORK, NY
B	08/20/1990 - 09/07/1993	AMERICAN BOND GROUP, INC.	CRD# 18318	
B	10/09/1986 - 08/24/1990	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	
B	11/11/1987 - 11/23/1987	DIVERSIFIED EQUITIES CORP.	CRD# 14248	
B	11/23/1983 - 10/14/1986	NORBAY SECURITIES INC.	CRD# 5431	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2017 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	HAUPPAUGE, NY, United States
07/2016 - Present	MASSMUTUAL LIFE INSURANCE CO	AGENT	Y	HAUPPAUGE, NY, United States
02/2004 - 03/2017	METLIFE SECURITIES INC.	FINANCIAL SERVICES REPRESENTATIVE	Y	HAUPPAUGE, NY, United States
02/2004 - 07/2016	METROPOLITAN LIFE INSURANCE COMPANY	FINANCIAL SERVICES REPRESENTATIVE	Y	HAUPPAUGE, NY, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

(1) NAME: JOSEPH M. MINIERI INV REL: N ADDR: AT RESIDENTIAL ADDRESS NATURE: OTHER - FARMINGDALE CHAMBER OF COMMERCE POSITION: MEMBER START: 1/1/2010 NO HRS/MO: 10 NO HRS/MO DUR TRADING: 0.

(2) NAME: SSNA INV REL: Y ADDR: 532 BROADHOLLOW RD, MELLVILLE, NY 11747 NATURE: HEALTH, GROUP HEALTH POSITION: AGENT START: 1/4/2016 NO HRS/MO: 30 NO HRS/MO DUR TRADING: 0.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	2
Judgment/Lien	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: DFI OF WASHINGTON

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/23/1998

Docket/Case Number: 97-11-538

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: Offer and/or sale of unregistered securities.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 02/23/1998

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: It is agreed that Joseph Mario Minieri will not engage in the offer and/or sale of securities unless the



respondent is currently registered in regards to RCW 21.20.140. It is also agreed that the respondent will pay \$500 to reimburse the Division for the cost of the investigation. Upon payment registration will be reinstated. Reimbursement paid.

Regulator Statement

Solicted and sold stocks while registration was pending. CONTACT: VICTORIA SHELDON (360) 902-8775

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF WASHINGTON
Sanction(s) Sought: Other
Other Sanction(s) Sought: FINE OF \$500.00
Date Initiated: 02/23/1998
Docket/Case Number: 97-11-538
Employing firm when activity occurred which led to the regulatory action: SHARPE CAPITAL
Product Type: Equity - OTC
Other Product Type(s):
Allegations: THE ALLEGATIONS ON JOSEPH M. MINIERI WERE THAT HE FAILED TO BE REGISTERED IN THE STATE OF WASHINGTON BETWEEN MARCH 15, 1997 AND OCTOBER 29, 1997.
Current Status: Final
Resolution: Stipulation and Consent
Resolution Date: 02/23/1998
Sanctions Ordered: Monetary/Fine \$500.00
Other Sanctions Ordered:
Sanction Details: THE RESULT WAS A \$500.00 FINE PAID BY JOSEPH M. MINIERI

Broker Statement

SHARPE CAPITAL FAILED TO PROVIDE THE STATE OF WASHINGTON THE REQUESTED INFORMATION IN A TIMELY MANNER RESULTING IN MY SUSPENSION AND FINE.

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: SC Securities Division
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 06/18/1998
Docket/Case Number: 98197



Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: Applicant filed a materially incomplete application.

Current Status: Final

Resolution: Decision

Resolution Date: 06/18/1998

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: After notification, applicant failed to provide a completed application.

Regulator Statement SC Securities Division 803-734-4731

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Reporting Source: Individual

Regulatory Action Initiated By: STATE OF SOUTH CAROLINA (SECURITIES DEPARTMENT)

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 06/18/1998

Docket/Case Number: 98197

Employing firm when activity occurred which led to the regulatory action: SHARPE CAPITAL

Product Type: No Product

Other Product Type(s):

Allegations: FAILURE TO RESPOND IN TIMELY MANNER FOR ADDITIONAL INFORMATION PERTAINING TO HISTORY.

Current Status: Final

Resolution: Decision

Resolution Date: 06/20/1998

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: DENIAL OF REGISTRATION IN SOUTH CAROLINA

Broker Statement SHARPE CAPITAL FAILED TO SUPPLY REQUESTED ADDITIONAL INFORMATION IN A TIMELY MANNER.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: AMERICAN BOND GROUP, INC

Allegations: VIOLATIONS OF FEDERAL AND FLORIDA SECURITIES LAWS INCLUDING RICO LAWS, UNFAIR OR DECEPTIVE TRADE PRACTICES, CIVIL THEFT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, BREACH OF CONTRACT, CONVERSION, FRAUD, AND MISREPRESENTATION

Product Type:

Alleged Damages:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #94-02501](#)

Date Notice/Process Served: 07/19/1994

Arbitration Pending? No

Disposition: Other

Disposition Date: 04/02/1996

Disposition Detail: AWARD AGAINST PARTY
 ** MINIERI IS FOUND LIABLE, JOINTLY AND SEVERALLY, AND SHALL PAY TO THE CLAIMANTS THE AMOUNT OF \$41,295.00 PLUS INTEREST TO 12/7/1995 IN THE AMOUNT OF \$14,999.71 FOR A TOTAL AMOUNT OF \$56,294.71. MINIERI IS ALSO JOINTLY AND SEVERALLY LIABLE FOR A FURTHER AMOUNT OF CLAIMANT'S ATTORNEY'S FEES **

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN BOND GROUP, INC

Allegations: MISREPRESENTATION EXECUTIONS FAILURE TO EXECUTE BREACH OF FIDUCIARY DUTY.

Product Type: Other

Other Product Type(s): COMMON STOCK

Alleged Damages: \$89,000.00

Customer Complaint Information



Date Complaint Received: 01/01/1994
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 04/02/1996
Settlement Amount: \$56,294.71
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD: 94-02501](#)

Date Notice/Process Served: 07/19/1994
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 04/02/1996
Monetary Compensation Amount: \$56,294.71
Individual Contribution Amount: \$0.00

Broker Statement AWARD FOR CLIENT JOINT AND SEVERAL AGANST AMERICAN BOND OF \$56,417. PUNTITIVE AND TREBLE DAMAGES WERE DENIED NOT PROVIDED

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AMERICAN BOND
Allegations: MONEY DUE ON SETTLEMENT DATE WAS NOT WIRED BY DATE OF COMPLAINT.
Product Type: Other
Other Product Type(s): COMMON STOCK

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 02/05/1993
Complaint Pending? No
Status: Settled
Status Date: 03/03/1993
Settlement Amount: \$23,000.00
Individual Contribution Amount: \$0.00



Broker Statement

CUSTOMER RESCINDED COMPLAINT AND HE RECEIVED FUNDS DUE IN THE APPROXIMATE AMOUNT OF \$23,000.00 NOT PROVIDED



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	AKRAM NIROOMAND RAD
Judgment/Lien Amount:	\$277,259.00
Judgment/Lien Type:	Civil
Date Filed with Court:	05/02/2006
Date Individual Learned:	05/02/2006
Type of Court:	State Court
Name of Court:	11th Circuit Court
Location of Court:	Dade County, FL.
Docket/Case #:	7048/06
Judgment/Lien Outstanding?	Yes



End of Report

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