



IAPD Report

Albert Vincent Pette

CRD# 1423862

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



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

Albert Vincent Pette (CRD# 1423862)

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 **09/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BRIXTON CAPITAL WEALTH ADVISORS, LLC	CRD# 288810	08/21/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **5** 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
IA	WESTERN INTERNATIONAL SECURITIES	39262	Massapequa, NY	11/19/2018 - 08/01/2025
B	WESTERN INTERNATIONAL SECURITIES, INC.	39262	Massapequa, NY	11/19/2018 - 08/01/2025
B	NORTHEAST SECURITIES, LLC	25996	MITCHEL FIELD, NY	11/07/2016 - 12/31/2018

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
Criminal	1
Customer Dispute	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 **5** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BRIXTON CAPITAL WEALTH ADVISORS, LLC**
Main Address: 1305 FRANKLIN AVE
SUITE 300
GARDEN CITY, NY 11530
Firm ID#: 288810

	Regulator	Registration	Status	Date
	Arizona	Investment Adviser Representative	Approved	09/12/2025
	New Jersey	Investment Adviser Representative	Approved	09/16/2025
	New York	Investment Adviser Representative	Approved	08/21/2025
	North Carolina	Investment Adviser Representative	Approved	08/21/2025
	Virginia	Investment Adviser Representative	Approved	09/04/2025

Branch Office Locations

BRIXTON CAPITAL WEALTH ADVISORS, LLC
1305 FRANKLIN AVE
SUITE 300
GARDEN CITY, NY 11530







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 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	NYSE Branch Manager Examination (S12)	Series 12	04/06/2004
	Municipal Securities Principal Examination (S53)	Series 53	11/17/2000
	Registered Options Principal Examination (S4)	Series 4	10/21/1993
	General Securities Principal Examination (S24)	Series 24	02/07/1992

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Limited Representative-Equity Trader Exam (S55)	Series 55	03/21/2000
	General Securities Representative Examination (S7)	Series 7	10/15/1988

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	10/14/2004
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/05/1989



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
IA	11/19/2018 - 08/01/2025	WESTERN INTERNATIONAL SECURITIES	CRD# 39262	Massapequa, NY
B	11/19/2018 - 08/01/2025	WESTERN INTERNATIONAL SECURITIES, INC.	CRD# 39262	Massapequa, NY
B	11/07/2016 - 12/31/2018	NORTHEAST SECURITIES, LLC	CRD# 25996	MITCHEL FIELD, NY
IA	04/19/2017 - 12/11/2018	NORTHEAST ASSET MANAGEMENT LLC	CRD# 117567	MITCHEL FIELD, NY
IA	10/24/2016 - 11/07/2016	PRIMARY ASSET MANAGEMENT, LLC	CRD# 170610	NEW YORK, NY
B	09/24/2015 - 11/07/2016	PRIMARY CAPITAL, LLC	CRD# 127921	Garden City, NY
IA	06/03/2015 - 09/25/2015	GARDEN STATE INVESTMENT ADVISORY SERVICES, LLC	CRD# 133088	NEW YORK, NY
B	05/08/2015 - 09/25/2015	GARDEN STATE SECURITIES, INC.	CRD# 10083	New York, NY
IA	07/24/2014 - 05/12/2015	ROCKWELL GLOBAL ADVISORS, LLC	CRD# 126601	MELVILLE, NY
B	05/07/2014 - 04/21/2015	ROCKWELL GLOBAL CAPITAL LLC	CRD# 142485	MELVILLE, NY
IA	09/19/2012 - 06/05/2014	GLOBAL ARENA INVESTMENT MANAGEMENT, LLC	CRD# 135835	NEW YORK, NY
B	11/01/2010 - 06/05/2014	GLOBAL ARENA CAPITAL CORP	CRD# 16871	MELVILLE, NY
B	02/04/2008 - 11/02/2010	PRESTIGE FINANCIAL CENTER, INC.	CRD# 30407	MELVILLE, NY
IA	02/03/2009 - 08/04/2010	FRIEDMAN SCHNAIER ASSET MANAGEMENT, LLC	CRD# 137269	NEW YORK, NY
IA	12/18/2008 - 12/31/2008	FRIEDMAN SCHNAIER ASSET MANAGEMENT, LLC	CRD# 137269	NEW YORK, NY



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	05/01/2007 - 02/04/2008	WESTROCK ADVISORS, INC.	CRD# 114338	WOODBURY, NY
IA	01/17/2007 - 05/15/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	01/16/2007 - 05/15/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
IA	10/19/2004 - 01/10/2007	LADENBURG THALMANN ASSET MANAGEMENT INC	CRD# 108604	MELVILLE, NY
B	01/26/2004 - 01/10/2007	LADENBURG THALMANN & CO. INC.	CRD# 505	MELVILLE, NY
B	08/25/2000 - 01/22/2004	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	10/21/1997 - 08/25/2000	NORTHEAST SECURITIES, INC.	CRD# 25996	MITCHELFIELD, NY
B	08/05/1997 - 10/28/1997	ALEXANDER, WESCOTT, & CO., INC.	CRD# 35935	UTICA, NY
B	11/08/1991 - 08/08/1997	NORTHEAST SECURITIES, INC.	CRD# 25996	MITCHELFIELD, NY
B	10/19/1988 - 06/14/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY

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
08/2025 - Present	Brixton Capital Wealth Advisors	IAR	Y	Garden City, NY, United States
11/2018 - 08/2025	Western International Securities, Inc.	Registered Representative	Y	Pasadena, CA, United States
11/2016 - 12/2018	Northeast Securities, LLC	Registered Representative	Y	Mitchel Field, NY, United States
04/2017 - 11/2018	Northeast Asset Management LLC	Investment Adviser Representative	Y	Mitchel Field, NY, United States
03/2016 - 11/2016	Primary Asset Management, LLC	Investment Adviser Representative	Y	New York, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2015 - 11/2016	Primary Capital, LLC	Registered Representative	Y	New York, NY, United States

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.

Manager floral pet Inc my parents business non finance related



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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Nassau County District Court
Location of Court:	Hempstead, NY
Docket/Case #:	2009NA008653
Charge Date:	03/20/2009
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Criminal Mischief
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Date of Amended Charge:	10/01/2009
Charge was Amended or reduced to:	Reduced to Criminal Mischief
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Not Guilty
Disposition of Amended Charge:	Reduced



Current Status:	Final
Status Date:	10/01/2009
Disposition Date:	03/20/2009
Sentence/Penalty:	Fine of \$250.00 Paid 10/01/2008
Broker Statement	Charges dismissed. Pled to violation which is not considered a crime by the courts.



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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Prestige Financial Center, Inc.
Allegations:	Failure to Supervise; Negligence
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$122,881.29
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/27/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	12/27/2010
Settlement Amount:	\$22,500.00
Individual Contribution Amount:	\$22,500.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-05029
Date Notice/Process Served:	12/27/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/17/2011
Monetary Compensation Amount:	\$22,500.00
Individual Contribution Amount:	\$22,500.00
Broker Statement	Complaint settled without admitting or denying any wrongdoing. I contributed what I was advised, after doing an economic analysis of the cost for an arbitration



hearing.



End of Report

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