IAPD Report

FRANK MARIO AMELIO

CRD# 1488977

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

FRANK MARIO AMELIO (CRD# 1488977)

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 **07/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/31/2013
IA	LPL FINANCIAL LLC	CRD# 6413	01/19/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	FOCUS INVESTMENT ADVISORS, INC	109970	SOLANA BEACH, CA	08/06/2013 - 02/14/2025
IA	1ST GLOBAL ADVISORS INC	111133	ENCINITAS, CA	12/03/2004 - 06/03/2013
B	1ST GLOBAL CAPITAL CORP.	30349	ENCINITAS, CA	12/01/2004 - 06/03/2013

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
Customer Dispute	2
Termination	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 **7** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/31/2013
B	California	Agent	Approved	05/31/2013
IA	California	Investment Adviser Representative	Approved	01/21/2025
B	Florida	Agent	Approved	12/22/2014
B	New Jersey	Agent	Approved	06/21/2013
B	Ohio	Agent	Approved	01/23/2024
B	South Carolina	Agent	Approved	10/20/2016
B	Texas	Agent	Approved	02/24/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	01/19/2025
B	Washington	Agent	Approved	09/05/2024

Branch Office Locations

LPL FINANCIAL LLC
CARLSBAD, CA

LPL FINANCIAL LLC
27201 PUERTA REAL, STE 250
MISSION VIEJO, CA 92691

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/19/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/22/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1986

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	08/06/2013 - 02/14/2025	FOCUS INVESTMENT ADVISORS, INC	CRD# 109970	SOLANA BEACH, CA
IA	12/03/2004 - 06/03/2013	1ST GLOBAL ADVISORS INC	CRD# 111133	ENCINITAS, CA
B	12/01/2004 - 06/03/2013	1ST GLOBAL CAPITAL CORP.	CRD# 30349	ENCINITAS, CA
B	12/02/2003 - 12/03/2004	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY
IA	12/02/2003 - 12/03/2004	MONY SECURITIES CORPORATION	CRD# 4386	ENCINITAS, CA
IA	06/11/2002 - 12/02/2003	TRUSTED ADVISORS	CRD# 24049	ENCINITAS, CA
B	04/12/2002 - 12/02/2003	TRUSTED SECURITIES ADVISORS CORP.	CRD# 24049	NEW YORK, NY
B	01/13/2000 - 04/03/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	05/05/1994 - 11/30/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	06/05/1990 - 04/30/1994	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	04/23/1986 - 06/15/1990	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	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
05/2013 - Present	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	ENCINITAS, CA, United States
05/2013 - 01/2025	FOCUS INVESTMENT ADVISORS	Investment Adviser Representative	Y	ENCINITAS, CA, 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) 06/10/2025 - Pence Financial Group - Investment Related - DBA for LPL Business (entity for LPL business) - At Reported Business Location(s) - Start Date:01/21/2025 - 160 Hrs/Mth - 8 Hrs During Trading.

2) 11/26/2025 - Amelio Family Trust - Real Estate Rental - Investment Related - Carlsbad, CA - Start Date 09/03/2024 - 0 hours per month/ during trading

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
Customer Dispute	2
Termination	1

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:	A.G. EDWARDS, INC
Allegations:	SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Alleged Damages:	$170,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #95-00339
Date Notice/Process Served:	02/14/1995
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	07/15/1996
Disposition Detail:	RESPONDENT FRANK AMELIO IS LIABLE FOR AND SHALL PAY TO CLAIMANTS THE SUM OF $25,000.00 AS COMPENSATORY DAMAGES. THE CLAIM FOR PUNITIVE DAMAGES IS DISMISSED BY THE PANEL.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS, INC

Allegations: SELLING AWAY FROM THE FIRM, DAMAGES OF $170,000.
7A. WHAT WAS THE PRODUCT? LEGACY GROUP, INC.

Product Type:

Alleged Damages: $170,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-00339

Date Notice/Process Served: 02/14/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/15/1996

Monetary Compensation Amount: $25,000.00

Individual Contribution Amount:

Firm Statement MR. AMELIO WAS ORDERED TO PAY THE [CUSTOMER'S] $25,000.
NOT PROVIDED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS, INC

Allegations: SELLING AWAY, VIOLATION OF SECTION 40 OF THE RULES OF FAIR PRACTICE, DAMAGES OF $175,000.

Product Type:

Alleged Damages: $170,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-00339

Date Notice/Process Served: 02/14/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/15/1996

Monetary Compensation Amount: $25,000.00

Individual Contribution Amount:

Broker Statement MR. AMELIO WAS ORDERED TO PAY THE [CUSTOMERS] $25,000. THE INVESTMENT BY THE [CUSTOMERS] IN THE LEGACY GROUP, INC. WAS MADE INDEPENDENT OF ANY RECOMMENDATION BY ME OR A.G. EDWARDS AND WITH- OUT ANY ASSISTANCE OR PARTICIPATION BY ME OR A.G. EDWARDS. THE [CUSTOMERS] WERE, IN FACT, ADVISED ON SEVERAL OCCASIONS THAT, BY REASON OF THE REQUIREMENTS OF SUCH ULES AS SECTIONS 40 OF THE NASD RULES OF FAIR PRACTICE (NOTT MENTIONED BY NAME), I COULD NOT RECOMMEND THE INVESTMENT OR PARTICIPATE IN ANY WAY IN ITS PLACEMENT.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS

Allegations:

Product Type:

Alleged Damages: $27,000.00

Customer Complaint Information

Date Complaint Received: 07/19/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $10,000.00

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS

Allegations: THAT I HAD MISMANAGED THEIR PERSONAL TRUST
ACCOUNT AND THE OSBRINK TRUST ACCOUNT BY SWITCHING FOR COMMISSIONS. THERE WERE NO LOSSES AND NO DAMAGES. BOTH ACCOUNTS MADE MONEY (WERE VERY PROFITABLE). THE ALLEGED DAMAGE
HAD TO DO WITH THE AMOUNT OF COMMISSION, I.E. $27,000.00 OVER A THREE YEAR PERIOD ON $900,000.00 UNDER MANAGEMENT.

Product Type:

Alleged Damages: $27,000.00

Customer Complaint Information

Date Complaint Received: 07/19/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $10,000.00

Individual Contribution Amount:

Broker Statement SETTLEMENT FOR $18,000.00 OSBRINK TRUST.
SETTLEMENT FOR $1,000.00 [CUSTOMER] TRUST.
NOT PROVIDED

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	A. G. EDWARDS & SONS
Termination Type:	Voluntary Resignation
Termination Date:	04/26/1994
Allegations:	SELLING AWAY
Product Type:	Other
Other Product Types:	PRIVATE COMPANY CONTROLLED BY MY FATHER, GILBERT AMELIO.
Broker Statement	I WAS NOT TERMINATED, BUT I RESIGNED AND TOOK JOB WITH SMITH BARNEY.

End of Report

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