IAPD Report

ANTHONY A MANISCALCO Sr

CRD# 1543474

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

ANTHONY A MANISCALCO Sr (CRD# 1543474)

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 **07/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA INVESTMENT SERVICES LLC	CRD# 15340	07/28/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	07/28/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	OSAIC INSTITUTIONS, INC.	35371	Bensonhurst, NY	06/06/2023 - 07/30/2025
IA	OSAIC INSTITUTIONS, INC.	35371	Bensonhurst, NY	06/06/2023 - 07/30/2025
IA	CETERA INVESTMENT ADVISERS LLC	105644	MILLTOWN, NJ	06/01/2021 - 05/30/2023

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

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 **4** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA INVESTMENT SERVICES LLC**

Main Address: 400 FIRST ST. S. SUITE 300
ST. CLOUD, MN 56301

Firm ID#: 15340

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/28/2025
B	FINRA	General Securities Representative	Approved	07/28/2025
B	FINRA	Municipal Securities Representative	Approved	07/28/2025
B	Florida	Agent	Approved	07/29/2025
B	New Jersey	Agent	Approved	07/07/2026
B	New York	Agent	Approved	07/31/2025
B	Pennsylvania	Agent	Approved	12/19/2025

Branch Office Locations

CETERA INVESTMENT SERVICES LLC
4401 13TH AVE
BROOKLYN, NY 11219

CETERA INVESTMENT SERVICES LLC
28-31 31ST STREET
ASTORIA, NY 11102

CETERA INVESTMENT SERVICES LLC
8424 5TH AVE
BROOKLYN, NY 11209

CETERA INVESTMENT SERVICES LLC
1218 KINGS HIGHWAY
BROOKLYN, NY 11229

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Qualifications

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	07/28/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
4401 13TH AVE
BROOKLYN, NY 11219

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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	09/01/1994

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/15/1987

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/25/2019
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/27/1987

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.

User Guidance

www.adviserinfo.sec.gov

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	06/06/2023 - 07/30/2025	OSAIC INSTITUTIONS, INC.	CRD# 35371	Bensonhurst, NY
IA	06/06/2023 - 07/30/2025	OSAIC INSTITUTIONS, INC.	CRD# 35371	Bensonhurst, NY
IA	06/01/2021 - 05/30/2023	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	MILLTOWN, NJ
B	05/28/2021 - 05/30/2023	CETERA INVESTMENT SERVICES LLC	CRD# 15340	MILLTOWN, NJ
IA	04/26/2019 - 05/26/2021	SANTANDER SECURITIES	CRD# 41791	Staten Island, NY
B	02/21/2019 - 05/26/2021	SANTANDER SECURITIES LLC	CRD# 41791	Staten Island, NY
B	02/01/2018 - 03/07/2019	LPL FINANCIAL LLC	CRD# 6413	ROCKVILLE CENTRE, N
B	08/20/2013 - 01/22/2018	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	RADNOR, PA
B	08/01/2012 - 11/09/2012	GUARDIAN INVESTOR SERVICES LLC	CRD# 6635	NEW YORK, NY
B	05/02/2006 - 07/02/2012	HARTFORD LIFE DISTRIBUTORS, LLC	CRD# 8326	HARTFORD, CT
B	03/12/2003 - 05/09/2006	DWS SCUDDER DISTRIBUTORS, INC.	CRD# 37306	CHICAGO, IL
B	05/08/2002 - 03/13/2003	TOWER SQUARE SECURITIES, INC.	CRD# 833	EL SEGUNDO, CA
B	06/01/1992 - 02/25/2002	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	02/06/1991 - 06/01/1992	CITICORP FINANCIAL SERVICES,INC.	CRD# 14675	
B	11/28/1990 - 06/01/1992	CITICORP FINANCIAL SERVICES,INC.	CRD# 14675	
B	08/25/1989 - 11/27/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	02/02/1989 - 08/25/1989	THOMSON MCKINNON SECURITIES INC.	CRD# 829	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	08/18/1987 - 02/01/1989	D. H. BLAIR & CO., INC.	CRD# 6833	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
07/2025 - Present	ALMA BANK	REGISTERED REPRESENTATIVE	Y	BROOKLYN, NY, United States
07/2025 - Present	CETERA INVESTMENT ADVISERS LLC	IAR REGISTERED REPRESENTATIVE	Y	BROOKLYN, NY, United States
07/2025 - Present	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
06/2023 - Present	Infinex Investments, Inc.	Reg rep	Y	Meriden, CT, United States
05/2023 - Present	Ridgewood Financial Services	Financial Consultant	Y	Brooklyn, NY, United States
03/2022 - 05/2023	Kearny Bank	REGISTERED REPRESENTATIVE	Y	Milltown, NJ, United States
05/2021 - 05/2023	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	MILLTOWN, NJ, United States
05/2021 - 03/2022	INVESTORS BANK	EMPLOYEE	N	MORGANVILLE, NJ, United States
02/2019 - 05/2021	Santander Bank, NA	Bank Employee	Y	Boston, MA, United States
02/2019 - 05/2021	Santander Securities, LLC	Financial Consultant	Y	Dorchester, MA, United States
02/2018 - 02/2019	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	BROOKLYN, NY, United States
08/2013 - 01/2018	LINCOLN FINANCIAL DISTRIBUTORS	REGIONAL MARKETING DIRECTOR	Y	RADNOR, PA, 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. LIFETIME DIRECTOR AT ITALIAN CLUB OF STATEN ISLAND FOUNDATION; PARTIPCATE IN FOOD DRIVE AND SCHOLARSHIP DISTRIBUTION;
2. MEMBER OF NORTH CENTRAL KIWANIS CLUB OF STATEN ISLAND;
3. MEMBER OF BOARD OF TRUSTEES AT HAVE A HEART FOUNDATION OF STATEN ISLAND; PARTICIPATE IN QUARTERLY MEEETINGS

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

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: Individual

Employing firm when activities occurred which led to the complaint: CITICORP INVESTMENT SERVICES

Allegations: CLIENT ALLEGES "IF ANTHONY [MANISCALCO] HAD BEEN TRUTHFUL IN THE BEGINNING SAYING AFTER 13 MONTHS YOU HAVE NO RECOURSE IF YOU LOOSE, ... I WOULD NOT HAVE INVESTED INTO SUCH A RISKY VENTURE WHICH I KNOW LITTLE ABOUT."

Product Type: Unit Investment Trust(s)

Alleged Damages: $33,768.81

Customer Complaint Information

Date Complaint Received: 08/29/2001

Complaint Pending? No

Status: Denied

Status Date: 09/28/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED AS WITHOUT MERIT.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITICORP INVESTMENT SERVICES
Allegations:	CUSTOMERS ALLEGED IMPROPER SOLICITATION OF A VARIABLE ANNUITY PRODUCT IN THAT CUSTOMER STATES SHE WAS NOT IN THE STATE OF NY IN 10/99 AND COULD NOT HAVE SIGNED THE DOCUMENTS THERE AS THE ANNUITY DOCUMENTS INDICATE.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$15,276.51

Customer Complaint Information

Date Complaint Received:	05/03/2001
Complaint Pending?	No
Status:	Settled
Status Date:	05/31/2001
Settlement Amount:	$15,276.51
Individual Contribution Amount:	$7,638.26
Broker Statement	CLIENT CONTACTED ME TO REVIEW HER PORTFOLIO. WE DISCUSSED ALTERNATIVE OPTIONS AND AGREED ON THE INVESTMENT IN QUESTION. CLIENT WAS EXPECTED TO SIGN THESE DOCUMENTS IN THE STATE F NEW YORK. CLIENT WAS UNABLE TO KEEP HER SCHEDULED APPOINTMENT. CONSEQUENTLY I FORWARDED THE DOCUMENTS AS A COURTESY WITH NO ATTEMPT TO CIRCUMVENT ANY RULES OR REGULATIONS. I HAVE HAD A TROUBLE FREE RELATIONSHIP WITH THE CLIENT SINCE 1993.

End of Report

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