IAPD Report

Anthony James Del Prete

CRD# 1638478

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

Anthony James Del Prete (CRD# 1638478)

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 **01/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	11/15/2024
B	MML INVESTORS SERVICES, LLC	CRD# 10409	02/26/2025

QUALIFICATIONS

This representative is currently registered in **1** 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	KOVACK ADVISORS, INC.	140808	Deer Park, NY	10/24/2020 - 12/04/2024
B	KOVACK SECURITIES INC.	44848	Deer Park, NY	09/09/2020 - 12/04/2024
B	EQUITY SERVICES, INC.	265	LINDENHURST, NY	06/02/2015 - 12/31/2019

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
Financial	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 **5** 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	02/26/2025
B	Connecticut	Agent	Approved	07/14/2025
B	Florida	Agent	Approved	02/26/2025
B	New Jersey	Agent	Approved	01/27/2026
IA	New York	Investment Adviser Representative	Approved	11/19/2024
B	New York	Agent	Approved	02/26/2025
B	Virginia	Agent	Approved	07/15/2025

Branch Office Locations

MML INVESTORS SERVICES, LLC
1600 Deer Park Ave
Suite B
Deer Park, NY 11729

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, 3 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	05/01/2015
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/16/1995

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/01/2020
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/08/2015

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	10/24/2020 - 12/04/2024	KOVACK ADVISORS, INC.	CRD# 140808	Deer Park, NY
B	09/09/2020 - 12/04/2024	KOVACK SECURITIES INC.	CRD# 44848	Deer Park, NY
B	06/02/2015 - 12/31/2019	EQUITY SERVICES, INC.	CRD# 265	LINDENHURST, NY
B	05/08/2009 - 08/05/2009	AMERITAS INVESTMENT CORP.	CRD# 14869	NEW HYDE PARK, NY
B	11/27/2006 - 12/12/2008	NEW ENGLAND SECURITIES	CRD# 615	WEST BABYLON, NY
B	03/16/2005 - 09/07/2005	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA
B	01/22/2003 - 12/31/2004	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	PHOENIX, AZ
B	01/31/2001 - 02/06/2003	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	05/11/1998 - 01/02/2001	EQUITY SERVICES, INC.	CRD# 265	MONTPELIER, VT
B	11/01/1996 - 04/06/1998	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	11/01/1996 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	06/19/1995 - 10/25/1996	EQ FINANCIAL CONSULTANTS, INC.	CRD# 6627	NEW YORK, NY
B	06/19/1995 - 10/25/1996	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
03/2025 - Present	LEGACY TAX SPECIALIST, INC.	OWNER	Y	DEER PARK, NY, United States
11/2024 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	DEER PARK, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2024 - Present	MASSMUTUAL LIFE INSURANCE CO	AGENT	Y	DEER PARK, NY, United States
05/2020 - 03/2025	ALMAR TAX SERVICE	TAX MANAGER/OWNER	Y	DEER PARK, NY, United States
10/2020 - 11/2024	KOVACK ADVISORS, INC.	IAR	Y	DEER PARK, NY, United States
09/2020 - 11/2024	KOVACK SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	DEER PARK, NY, United States
01/2020 - 08/2023	COPPER STEEL	SECURITY GUARD	N	DEER PARK, NY, United States
07/2020 - 09/2020	VANDERBILT SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	DEER PARK, NY, United States
01/1993 - 02/2020	TD TAX & FINANCIAL SOLUTIONS	PRESIDENT	Y	LINDENHURST, NY, United States
04/2015 - 12/2019	EQUITY SERVICES, INC.	REGISTERED REP	Y	MONTPELIER, VT, United States
01/2010 - 08/2016	TD FINANCIAL SERVICES	OWNER	Y	LINDENHURST, 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.

(1) NAME: LEGACY TAX SPECIALIST, INC. INV REL: Y ADD: 1600 DEER PARK AVE, SUITE B, DEER PARK, NY 11729 NATURE: TAX PREPARATION POSITION: OWNER START DATE: 03/10/2025 NO. HR/MO: 20 NO. HR/MO DURING SEC TRADING: 10 DUTIES: PREPARE AND ADVISE CLIENT ON THEIR TAXES.

(2) NAME: ANTHONY DELPRETE INV REL: Y ADD: RESIDENTIAL ADDRESS NATURE: OUTSIDE INSURANCE SALES POSITION: INSURANCE BROKER START DATE: 1/1/2020 NO HRS/MO: 5 NO HRS/MO DUR TRADING: 0 DESCRIBE DUTIES: LIFE, FIXED ANNUITIES, DISABILITY, LONG-TERM CARE, & HEALTH.

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
Financial	2

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:	Individual
Regulatory Action Initiated By:	Florida Department of Financial Services
Sanction(s) Sought:	Denial
Date Initiated:	02/12/2021
Docket/Case Number:	91 7199 9991 7039 5705 2466
Employing firm when activity occurred which led to the regulatory action:	Kovack Securities Inc.
Product Type:	No Product
Allegations:	The Florida Department of Financial Services issued a notice of denial for the representative's application for licensure as a nonresident life including variable annuity (8-14) agent. The Department cited a material misstatement which occurred when attempting to obtain the license or appointment as the basis for the denial.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	02/12/2021
Sanctions Ordered:	Denial

Disclosure 2 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STATEMENT INSURANCE DEPARTMENT
Sanction(s) Sought:	Suspension
Date Initiated:	03/18/2010
Docket/Case Number:	2009-0052-C
Employing firm when activity occurred which led to the regulatory action:	ALLIANZ
Product Type:	Annuity-Fixed
Allegations:	THE NY STATE INSURANCE DEPARTMENT ALLEGED THAT DURING THE TIME PERIOD OF MAY 2007 THROUGH OCTOBER 2008 THE REGISTERED REPRESENTATIVE SOLICITED, NEGOTIATED, AND SOLD IN THE STATE OF NY, ANNUITY CONTRACTS ISSUED BY ALLIANZ LIFE INS CO OF NORTH AMERICA, AN UNAUTHORIZED INSURER, AND AIDED AND FACILITATED ALLIANZ IN DOING INSURANCE BUSINESS IN THE STATE OF NY, IN VIOLATION OF SECTION 2117 OF THE INSURANCE LAW. IN CONNECTION WITH THOSE CONTRACTS THE REGISTERED REPRESENTATIVE KNOWINGLY SUBMITTED TO ALLIANZ APPLICATIONS WHICH FALSLY STATED THAT THE ANNUITANT SIGNED THE APPLICATION IN FL WHEN IN FACT THE APPLICATION WAS SIGNED IN NY.
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/18/2011
Sanctions Ordered:	Denial Suspension Other: REGISTERED REP SURRENDERED ALL LICENSES ISSUED TO HIM BY NY STATE AND CONSENTED TO THE DENIAL OF ANY/ALL PENDING APPLICATIONS FOR LICENSES.

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	INSURANCE LICENSE
Duration:	1 YEAR
Start Date:	03/18/2010
End Date:	03/18/2011

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 2

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	05/24/2017
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	US Bankruptcy Court Eastern District of NY
Location of Court:	Central Islip, NY
Docket/Case #:	8:17-bk-7391
Action Pending?	No
Disposition:	Dismissed
Disposition Date:	08/11/2017

Disclosure 2 of 2

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	10/19/2017
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	US Bankruptcy Court Eastern District of NY
Location of Court:	Central Islip, NY
Docket/Case #:	8:17-bk-73191
Action Pending?	No
Disposition:	Discharged
Disposition Date:	02/01/2018

End of Report

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