



IAPD Report

GREGG ANDREW FARRAUTO

CRD# 1894541

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

GREGG ANDREW FARRAUTO (CRD# 1894541)

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 **11/19/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FARRAUTO WEALTH MANAGEMENT, INC	CRD# 129684	04/03/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	SECURITIES SERVICE NETWORK, INC.	13318	KNOXVILLE, TN	01/05/2018 - 01/12/2018
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	NEW YORK, NY	11/02/2009 - 12/31/2017
B	LPL FINANCIAL CORPORATION	6413	NEW YORK, NY	03/22/2002 - 11/09/2009

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	1
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FARRAUTO WEALTH MANAGEMENT, INC**
Main Address: ONE LIBERTY PLAZA, 165 BROADWAY
23RD FLOOR
NEW YORK, NY 10006
Firm ID#: 129684

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	04/03/2022

Branch Office Locations

FARRAUTO WEALTH MANAGEMENT, INC
ONE LIBERTY PLAZA, 165 BROADWAY
23RD FLOOR
NEW YORK, NY 10006




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	09/27/2002

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	01/12/2018
	General Securities Representative Examination (S7)	Series 7	11/24/1995

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/30/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/30/1995

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	01/05/2018 - 01/12/2018	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	11/02/2009 - 12/31/2017	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	NEW YORK, NY
B	03/22/2002 - 11/09/2009	LPL FINANCIAL CORPORATION	CRD# 6413	NEW YORK, NY
B	12/14/2000 - 03/26/2002	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/28/1998 - 01/01/2001	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	04/28/1998 - 01/01/2001	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	12/18/1997 - 02/10/1998	LA JOLLA CAPITAL CORPORATION	CRD# 24341	SAN DIEGO, CA
B	09/18/1997 - 12/11/1997	CAPITAL PLANNING ASSOCIATES, INC.	CRD# 15107	SOUTH PLAINFIELD, NJ
B	12/23/1996 - 08/15/1997	LA JOLLA CAPITAL CORPORATION	CRD# 24341	SAN DIEGO, CA
B	02/27/1996 - 03/28/1997	CRESSIDA CAPITAL, INC	CRD# 32352	NEW YORK, NY
B	11/12/1996 - 01/02/1997	PCM SECURITIES LIMITED, L.P.	CRD# 28761	GREEN ACRES, FL

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
02/2004 - Present	FARRAUTO ASSET MANAGEMENT	IAR	Y	NEW YORK, NY, United States
01/2018 - 01/2018	SSN Advisory Inc	Investment Advisor	Y	New York, NY, United States
01/2018 - 01/2018	Securities Service Network	Registered Rep	Y	New York, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2009 - 12/2017	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC	IA REP	Y	FAIRFIELD, IA, United States
11/2009 - 12/2017	CAMBRIDGE INVESTMENT RESEARCH, INC	REG REP	Y	FAIRFIELD, IA, 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. Farrauto Asset Management DBA Farrauto Management Wealth - 77 Water Street, 8th Floor, New York, NY 10005 - 11/2009 - NIR - Fixed Insurance Sales, Independent Insurance agent that sells health, DI, LTC and Life insurance TPA for association plan. - Insurance agent. Needs based to help client achieve their goals - S-Corp - 20-25 hrs/mo trading
2. Farrauto Asset Management DBA Farrauto Management Wealth - 77 Water Street, 8th Floor, New York, NY 10005 - 01/2018 - NIR - Coaching & Consulting - coaching relationship with regards to provide one off advice as needed. Coaching & Consulting that may no be financial in nature and maybe entrepreneurial. Non clients who would like advice on their other business. - S-Corp - 15-20 hrs/mo trading
3. Farrauto Asset Management DBA Farrauto Management Wealth - 77 Water Street, 8th Floor, New York, NY 10005 - 11/2019 - Investment Related - RIA with New York State, prepares financial plans for fee. RIA with NY State and prepares financial plans for a fee - S-Corp - 32 hrs/mo trading
4. Farrauto Asset Management DBA Farrauto Management Wealth-165 Broadway, 23rd Floor, New York, NY 10006- 01/2021 Investment Related - RIA with New York State, prepares financial plans for fee. RIA with NY State and prepares financial plans for a fee - S-Corp - 32 hrs/mo 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
Regulatory Event	1
Customer Dispute	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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/26/2013
Docket/Case Number:	2013-0001-C
Employing firm when activity occurred which led to the regulatory action:	LPL FINANCIAL LLC
Product Type:	Annuity-Fixed
Allegations:	RR SOLICITED, NEGOTIATED AND SOLD IN THE STATE OF NEW YORK ANNUITY CONTRACTS ISSUED BY ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA, AN UNAUTHORIZED INSURER, AND OTHERWISE AIDED AND FACILITATED ALLIANZ IN DOING AND INSURANCE BUSINESS IN THE STATE OF NEW YORK.
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:	04/05/2013
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	IN FULL
Is Payment Plan Current:	Yes
Date Paid by individual:	03/26/2013
Was any portion of penalty waived?	No
Amount Waived:	



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: Firm

Employing firm when activities occurred which led to the complaint: METLIFE

Allegations: CUSTOMER ALLEGED THE REPRESENTATIVE MISREPRESENTED THE VARIABLE LIFE INSURANCE POLICY PURCHASED IN JANUARY 2000 AND IT DID NOT MEET HIS NEEDS. CUSTOMER HAS ALLEGED DAMAGES FOR A REFUND OF ALL PREMIUMS PAID AS NOTED BELOW.

Product Type: Insurance

Alleged Damages: \$25,903.61

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: 07/02/2009

Complaint Pending? No

Status: Denied

Status Date: 07/23/2009

Settlement Amount:

Individual Contribution Amount:
.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: METLIFE

Allegations: CUSTOMER ALLEGED THE REPRESENTATIVE MISREPRESENTED THE VARIABLE LIFE INSURANCE POLICY PURCHASED IN JANUARY 2000 AND IT DID NOT MEET HIS NEEDS. CUSTOMER HAS ALLEGED DAMAGES FOR A REFUND OF ALL PREMIUMS PAID AS NOTED BELOW.

Product Type: Insurance

Alleged Damages: \$25,903.61

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: 07/02/2009

Complaint Pending? No

Status: Denied

Status Date: 07/23/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE TRASACTION TOOK PLACE MORE THAN 9 YEARS AGO. MR. FARRAUTO DENIES THE ALLEGATIONS AND MAINTAINS THAT THE INVESTMENT RECOMMENDATION WAS SUITABLE.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: METLIFE

Allegations: CLIENTS ALLEGE THAT THEY'RE VARIABLE UNIVERSAL LIFE INSURANCE POLICY'S EQUITY IS DECREASING AND IN DANGER OF LAPSING. CLIENTS ALSO ALLEGE THAT THEIR AGENT'S ASSURED THEM THAT IN CHANGING THEIR CURRENT WHOLE LIFE INSURANCE POLICY TO A VARIABLE UNIVERSAL LIFE INSURANCE POLICY IN SEPTEMBER OF 1999, THEY WOULD NOT HAVE TO PAY A PENNY IN PREMIUMS AND GIVE THEM A PAID UP POLICY. CLIENTS FEEL THAT THEY WERE TAKEN ADVANTAGE OF.

Product Type: Insurance

Alleged Damages: \$8,653.33

Customer Complaint Information

Date Complaint Received: 03/29/2006

Complaint Pending? No

Status: Denied

Status Date: 06/09/2006

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: METLIFE

Allegations: CLIENTS ALLEGE THAT THEIR VARIABLE UNIVERSAL LIFE INSURANCE POLICY'S EQUITY IS DECREASING AND IN DANGER OF LAPSING. CLIENTS ALSO ALLEGE THAT THEIR AGENT'S ASSURED THEM THAT IN CHANGING



THEIR CURRENT WHOLE LIFE INSURANCE POLICY IN SEPTEMBER OF 1999, THEY WOULD NOT HAVE TO PAY A PENNY IN PREMIUMS AND GIVE THEM A PAID UP POLICY. CLIENTS FEEL THAT THEY WERE TAKEN ADVANTAGE OF.

Product Type: Insurance

Alleged Damages: \$8,653.33

Customer Complaint Information

Date Complaint Received: 03/29/2006

Complaint Pending? No

Status: Denied

Status Date: 06/09/2006

Settlement Amount:

Individual Contribution Amount:



End of Report

This page is intentionally left blank.