



## IAPD Report

# JOSEPH LAZARUS SORICELLI

CRD# 1894595

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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

### JOSEPH LAZARUS SORICELLI (CRD# 1894595)

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 **05/28/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	11/07/2003
<b>IA</b>	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	05/08/2021
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	08/03/2021
<b>IA</b>	AGING ISSUES MANAGEMENT LLC	CRD# 328473	12/06/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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>B</b>	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA	12/13/2000 - 11/10/2003
<b>B</b>	METROPOLITAN LIFE INSURANCE COMPANY 4095		NEW YORK, NY	12/13/2000 - 11/10/2003
<b>B</b>	TOWER SQUARE SECURITIES, INC.	833	EL SEGUNDO, CA	03/26/1999 - 12/12/2000

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
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## Report Summary

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

### Employment 1 of 3

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

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	11/07/2003
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	11/07/2003
<b>B</b> Connecticut	Agent	Approved	11/07/2003
<b>B</b> Florida	Agent	Approved	11/07/2003
<b>B</b> Georgia	Agent	Approved	11/19/2021
<b>B</b> New Jersey	Agent	Approved	11/07/2003
<b>B</b> New York	Agent	Approved	11/07/2003
<b>IA</b> New York	Investment Adviser Representative	Approved	08/03/2021
<b>B</b> Pennsylvania	Agent	Approved	11/07/2003
<b>B</b> Tennessee	Agent	Approved	01/25/2024
<b>B</b> Virginia	Agent	Approved	12/04/2020

### Branch Office Locations

**LPL FINANCIAL LLC**  
143 BROADWAY SUITE 110  
HAWTHORNE, NY 10532



## Qualifications

### Employment 2 of 3

Firm Name: **AGING ISSUES MANAGEMENT LLC**  
 Main Address: 143 BROADWAY  
 SUITE 110  
 HAWTHORNE, NY 10532  
 Firm ID#: 328473

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	12/06/2023

### Branch Office Locations

**AGING ISSUES MANAGEMENT LLC**  
 143 BROADWAY  
 SUITE 110  
 HAWTHORNE, NY 10532

### Employment 3 of 3

Firm Name: **PRIVATE ADVISOR GROUP, LLC**  
 Main Address: 305 MADISON AVENUE  
 MORRISTOWN, NJ 07960  
 Firm ID#: 155216

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	05/08/2021

### Branch Office Locations

**PRIVATE ADVISOR GROUP, LLC**  
 143 Broadway, Ste 110  
 Hawthorne, NY 10532



## 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
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/16/2003
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/13/1989

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	08/22/2023
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/29/1989

### 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
B	12/13/2000 - 11/10/2003	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	12/13/2000 - 11/10/2003	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	03/26/1999 - 12/12/2000	TOWER SQUARE SECURITIES, INC.	CRD# 833	EL SEGUNDO, CA
B	09/25/1997 - 03/31/1999	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	03/20/1989 - 09/09/1997	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	03/20/1989 - 09/09/1997	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	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
11/2023 - Present	AGING ISSUES MANAGEMENT LLC	MANAGING PARTNER AND CHIEF COMPLIANCE OFFICER	Y	BRONX, NY, United States
11/2022 - Present	COLDWELL BANKER SIGNATURE PROPERTIES	SALESPERSON	Y	VALHALLA, NY, United States
03/2005 - Present	PRIVATE ADVISOR GROUP, LLC	REGISTERED REPRESENTATIVE AND INVESTMENT ADVISOR REPRESENTATIVE	Y	NEW ROCHELLE, NY, United States
11/2003 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	NEW ROCHELLE, NY, United States
06/1985 - Present	JOSEPH L. SORICELLI INSURANCE AND FINANCIAL SERVICES	SENIOR FINANCIAL CONSULTANT	Y	BRONX, NY, 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. 10/17/03: No Business Name--InvestRel--AtReprtBus.Location(s)--Non-Variable Insurance.
2. 4/22/08: CEFEX--NotInvestRel--Other-Assessment Services--5% Time Spent.
3. 9/8/21 -Private Advisor Group, LLC- Inv Rel- At Rep Bus Loc(s)-Registered Investment Advisor Hybrid-Started 9/1/21- 60 Hrs A Mth/40 Hours During Trading - I provide investment advisory services through Private Advisor Group an independent investment advisor firm. I started this business activity in 9/2021. I expect to spend approximately 60 hours per month on this activity. Please see the advisory firm's Form ADV..
4. 9/8/21 -Joseph L.Soricelli Insurance and Financial Service - Inv Rel-At Rep Bus Loc(s) - Registered Investment Advisor DBA - Started 9/1/21-60 Hrs A Mth/40 Hrs During Trading - I provide investment advisory services through Private Advisor Group an independent investment advisor firm. I started this business activity in 9/2021. I expect to spend approximately 60 hours per month on this activity. Please see the advisory firm's Form ADV...
5. 9/29/21 - Joseph L. Soricelli Insurance and Financial Services - Inv Rel- At Rep Bus Loc(s) - DBA for LPL Business (entity for LPL business) - Started 9/1/21 - 80 Hrs A Mth During Trading.
6. 9/29/21 - Joseph L.Soricelli Insurance and Financial Service - Inv Rel- At Rep Bus Loc(s) - Registered Investment Advisor DBA - Started 9/1/21 - 80 Hours Per Month/60 Hours During Securities Trading - I provide investment advisory services through Private Advisor Group an independent investment advisor firm. I started this business activity in 9/2021. I expect to spend approximately 80 hours per month on this activity. Please see the advisory firm's Form ADV...
7. 3/24/2023 - COLDWELL BANKER SIGNATURE PROPERTIES - Inv Rel- VALHALLA, NY 10595 - Mortgage/Real Estate Services - Senior Real Estate Specialist - Start Date - 01/04/2021 - 5 Hours Per Month/0 Hours During Securities Trading
8. 3/29/2023 - Aging Issues Management - Inv Rel- At Rep Bus Loc(s) - Registered Investment Advisor DBA - Start Date - 3/13/2023 - 40 Hours Per Month/10 Hours During Securities Trading - I provide investment advisory services through Private Advisor Group, an independent investment advisor firm. I started this business activity in 03/2023. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV...
9. 12/8/23: Aging Issues Management LLC- Registered Investment Advisor- IAR- INV REL- At Rep Bus Loc(s)- Start 10/2/23- 40hrs a mth/ 10hrs during trading- I provide financial planning and consulting services through Aging Issues Management, LLC], an independent investment advisor firm. I started this business activity in 10/2023. I expect to spend approximately 40 hours per month on this activity. Please see the advisory firm's Form ADV...
10. 5/24/2024- Aging Solutions Management- Registered Investment Advisor DBA- IAR- Investment Related- At Reported Business Location(s)- Started 4/26/24- 40 HRs/Mth; 10Hrs 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	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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	METLIFE SECURITIES
<b>Allegations:</b>	CUSTOMER ALLEGED THE VARIABLE LIFE INSURANCE POLICY PURCHASED FROM THE REPRESENTATIVE IN AUGUST 1996 WAS NOT APPROPRIATE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
<b>Product Type:</b>	Insurance
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE NOT LESS THAN \$5,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/23/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	09/06/2012



**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Individual

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

**Allegations:** CUSTOMER ALLEGED THE VARIABLE LIFE INSURANCE POLICY PURCHASED FROM THE REPRESENTATIVE IN AUGUST 1996 WAS NOT APPROPRIATE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

**Product Type:** Insurance

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE NOT LESS THAN \$5,000

**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:** 08/23/2012

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/06/2012

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** AS AN AGENT OF METLIFE IN 1996, I SOLD THIS CLIENT AN APPROPRIATE INSURANCE POLICY. PRIOR TO HER PURCHASE, I FULLY DISCUSSED THE NATURE OF THE INSURANCE PRODUCT AND REVIEWED ALL NECESSARY POLICY APPLICATION MATERIALS WITH HER. THE CLIENT HAS PAID PREMIUMS SINCE 1996 AND SHE HAS BEEN SERVICED BY METLIFE. TO MY KNOWLEDGE, THE CLIENT HAS NOT MADE ANY PRIOR COMPLAINTS, NOR HAS THERE BEEN ANY INVESTIGATION OF THIS COMPLAINT OR ANY FINDINGS OF WRONGDOING ON MY PART BY METLIFE.



## End of Report

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