



IAPD Report

Christopher LOUIS DiMattio

CRD# 2044457

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 7
Disclosure Information	8



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

Christopher LOUIS DiMattio (CRD# 2044457)

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 **05/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	01/05/2018
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	01/05/2018

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **11** 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	INVEST FINANCIAL CORPORATION	12984	DUNMORE, PA	01/05/2018 - 01/08/2018
B	INVEST FINANCIAL CORPORATION	12984	DUNMORE, PA	06/14/1997 - 01/08/2018
B	FLEET SECURITIES INC.	7147	NEW YORK, NY	01/16/1997 - 06/10/1997

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 **11** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
Main Address: ONE BRYANT PARK
NEW YORK, NY 10036
Firm ID#: 7691

Regulator	Registration	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	01/05/2018
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	01/05/2018
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	01/05/2018
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	01/05/2018
B Cboe Exchange, Inc.	General Securities Representative	Approved	01/05/2018
B Cboe Exchange, Inc.	General Securities Principal	Approved	07/06/2021
B FINRA	General Securities Principal	Approved	01/05/2018
B FINRA	General Securities Representative	Approved	01/05/2018
B Nasdaq Stock Market	General Securities Principal	Approved	01/05/2018
B Nasdaq Stock Market	General Securities Representative	Approved	01/05/2018
B New York Stock Exchange	General Securities Principal	Approved	01/05/2018
B New York Stock Exchange	General Securities Representative	Approved	01/05/2018
B Connecticut	Agent	Approved	05/23/2022



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	01/05/2018
B Louisiana	Agent	Approved	02/09/2021
B Maryland	Agent	Approved	10/01/2019
B New Jersey	Agent	Approved	01/05/2018
B New York	Agent	Approved	01/05/2018
B North Carolina	Agent	Approved	01/05/2018
B Oklahoma	Agent	Approved	05/11/2026
B Pennsylvania	Agent	Approved	01/05/2018
IA Pennsylvania	Investment Adviser Representative	Approved	01/05/2018
B South Carolina	Agent	Approved	01/05/2018
B Virginia	Agent	Approved	01/05/2018

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
417 LACKAWANNA AVE
SCRANTON, PA 18503



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	06/18/1996

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/21/1990

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/2017
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/25/1990

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	01/05/2018 - 01/08/2018	INVEST FINANCIAL CORPORATION	CRD# 12984	DUNMORE, PA
B	06/14/1997 - 01/08/2018	INVEST FINANCIAL CORPORATION	CRD# 12984	DUNMORE, PA
B	01/16/1997 - 06/10/1997	FLEET SECURITIES INC.	CRD# 7147	NEW YORK, NY
B	09/08/1995 - 01/14/1997	FMG SECURITIES CORP.	CRD# 38092	
B	10/19/1994 - 01/31/1996	NATWEST INVESTOR SERVICES CORPORATION	CRD# 17434	NEW YORK, NY
B	04/25/1990 - 10/10/1994	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
03/2018 - Present	Bank of America, N.A.	Financial Advisor	Y	Scranton, PA, United States
01/2018 - Present	Merrill Lynch, Pierce, Fenner & Smith Incorporated	Financial Advisor	Y	Scranton, PA, United States
06/1997 - 01/2018	INVEST FINANCIAL CORPORATION	REGISTERED REP	Y	Tampa, FL, 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.

I*131953
 Non-Profit Organization
 Greater Scranton Chamber of Commerce/SLIBCO
 Investment related: N
 Scranton, PA
 Other, Non-Profit Chamber, Director,
 7/1/1997
 Number of hours devoted: 1 hour(s) Quarterly



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Number of hours devoted during trading hours: 4

Member, policy decision making and promotion of activities that support the economic growth in the greater Scranton area

1. La Festa Italiana, various locations, restaurants, offices. Non- investment related, President/Chairman. Volunteer organization, a non-profit Labor Day weekend event in the city of Scranton. Vendors, entertainers and cultural activities are planned to preserve the Italian American heritage. Start date 1/1/95, 6hrs./month and zero during trading hours (accept for the event).

2. Nativity Miguel School, various locations, restaurants, offices. Non- investment related, Director. Volunteer organization, this is a 'new' school for the extreme poor children in the Scranton area. I assist with fundraising policy and programs. Start date 1/1/16, 1hr./month and zero during trading hours.

I*111537

Non-Profit Organization

Scranton Area Foundation

Investment related: N

Scranton, PA

Charitable Organization,

Advisory Board Member,

1/2/2017

hours : 20 Annually

hours during trading: 4

Organization receives and distributes funds to needy organizations/charities/scholarships

6. UNICO Foundation, Fairfield, NJ. Not Investment related, Board of Trustee Member. UNICO Foundation is an established fund and presents gifts through scholarships, grants, etc. Some of these are restricted to the donor's request and some are un-restricted and rely on Trustees and committee members to review grants and make recommendations. My role as Trustee is to help grow the awareness of the Fund and to set rules in regards to grant applications and also vote on final approval of grant requests. My wife and I also have a restricted scholarship that is awarded to two individuals annually. We have donated to the Foundation over the past 15 years. Start date 10/1/16; 1HPM, zero during trading.

I*111538

NON-PROFIT ORGANIZATION

UNICO NATIONAL FOUNDATION

INVESTMENT RELATED: N

FAIRFIELD, NJ

CHARITABLE ORGANIZATION,

START DATE: 05/02/1990

HOURS: 100 ANNUALLY

HOURS DURING TRADING: 10

SERVICE ORGANIZATION SIMILAR TO LIONS, KIWANIS, ROTARY. I SERVED AS NATIONAL PRESIDENT AND LOCAL PRESIDENT AND THEREFORE SERVE ON BOTH BOARDS TO HELP IN FUNDRAISING, AWARD GRANTS AND PLAN ACTIVITIES

I*133786

Non-Profit Organization

Diocese of Scranton

Investment related: N

Scranton, PA

Charitable Organization,

Committee Member,

Start date of relationship: 10/7/2020

Number of hours devoted: 20 hour(s) Annually

Number of hours devoted during trading hours: 0

Our main job is to requirement is to reach out to parishes, volunteers, priests and ministers and ask them to support the Appeal.

I*133788

Non-Profit Organization



Registration & Employment History



OTHER BUSINESS ACTIVITIES

La Festa Italiana of Lackawanna County

Investment related: N

Scranton, PA

Other, Non For Profit

Officer,

1/4/1988

Number of hours devoted: 100 hour(s) Annually

Number of hours devoted during trading hours: 20

Duties: I basically organize the event - vendors, entertainment, security, entertainment, logistical set-ups, clean-ups, refuse, etc.

I*1753283

Entity Type, Name of OBA: Entity For Profit CLD Realty LLC

Address: Moscow PA

Investment Related: No

Compensation: Yes

Position, Title, Association: Owner

Employee Start Date: 03/06/2024

No Hours: Weekly

No Hours during trading: 0

Duties: Building and garages for personal and my son's landscaping business

I*1750285

Entity Type: Charitable

Name of OBA: The Catholic Foundation for the Diocese of Scranton

Address: Scranton, PA

Investment Related: No

Position, Title, Association: Board Member

Start Date: 04/01/2024

No Hours: 2 Monthly

No Hours during trading: 0

Duties: Set guidelines on what areas the Diocese is lacking in financial support and to be able to help in those areas. Fundraising for the Church endowment.



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:	INVEST FINANCIAL CORPORATION
Allegations:	ALLEGES LIFE INSURANCE WAS NOT SUITABLE
Product Type:	Insurance
Alleged Damages:	\$95,000.00
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:	11/18/2016
Complaint Pending?	No
Status:	Settled
Status Date:	03/21/2017
Settlement Amount:	\$95,000.00
Individual Contribution Amount:	\$15,000.00

Disclosure 2 of 2



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INVEST FINANCIAL CORPORATION

Allegations: CLIENT ALLEGES THAT REP MISREPRESENTED THE RISK OF A PARTICULAR INVESTMENT.

Product Type: Mutual Fund(s)

Alleged Damages: \$318,521.35

Customer Complaint Information

Date Complaint Received: 02/27/2008

Complaint Pending? No

Status: Denied

Status Date: 04/23/2008

Settlement Amount:

Individual Contribution Amount:



End of Report

This page is intentionally left blank.