



IAPD Report

GENNARO VUONO

CRD# 2133896

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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

GENNARO VUONO (CRD# 2133896)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	02/21/2025
IA	LPL FINANCIAL LLC	CRD# 6413	02/21/2025

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	BESTVEST INVESTMENTS, LTD.	40302	MEDIA, PA	09/11/2015 - 03/13/2025
B	BESTVEST INVESTMENTS, LTD.	40302	MEDIA, PA	02/27/2013 - 03/13/2025
B	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	KING OF PRUSSIA, PA	08/11/2011 - 10/19/2012

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	3
Financial	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 5 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

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

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/21/2025
B	Florida	Agent	Approved	02/21/2025
B	Georgia	Agent	Approved	03/10/2025
B	Maine	Agent	Approved	03/10/2025
B	New Jersey	Agent	Approved	02/21/2025
B	Pennsylvania	Agent	Approved	02/21/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	02/21/2025

Branch Office Locations

LPL FINANCIAL LLC
600 N JACKSON ST STE 305
MEDIA, PA 19063



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	11/30/1992
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/26/1991

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	12/18/1992
Uniform Securities Agent State Law Examination (S63)	Series 63	06/11/1991

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	09/11/2015 - 03/13/2025	BESTVEST INVESTMENTS, LTD.	CRD# 40302	MEDIA, PA
B	02/27/2013 - 03/13/2025	BESTVEST INVESTMENTS, LTD.	CRD# 40302	MEDIA, PA
B	08/11/2011 - 10/19/2012	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	KING OF PRUSSIA, PA
IA	08/11/2011 - 10/19/2012	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	BALA CYNWYD, PA
B	04/18/2007 - 08/17/2011	OPPENHEIMER & CO. INC.	CRD# 249	JENKINTOWN, PA
IA	04/18/2007 - 08/17/2011	OPPENHEIMER & CO. INC.	CRD# 249	JENKINTOWN, PA
IA	08/08/2005 - 04/27/2007	RYAN BECK & CO.	CRD# 3248	CONSHOHOCKEN, PA
B	04/29/2002 - 04/27/2007	RYAN BECK & CO.	CRD# 3248	CONSHOHOCKEN, PA
B	12/15/2000 - 05/13/2002	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	09/04/1997 - 12/15/2000	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	07/15/1997 - 08/14/1997	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	09/10/1993 - 07/23/1997	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/31/1993 - 09/24/1993	SMITH BARNEY SHEARSON INC.	CRD# 7059	NEW YORK, NY
B	12/07/1992 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	04/02/1991 - 10/26/1992	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	04/02/1991 - 10/26/1992	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ



Registration & Employment History

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
02/2025 - Present	LPL Financial	Registered Representative	Y	Media, PA, United States
02/2013 - 02/2025	BESTVEST INVESTMENTS LTD	REGISTERED REPRESENTATIVE	Y	Media, PA, United States
08/2011 - 02/2025	INDEPENDENT INSURANCE AGENT	INSURANCE AGENT	N	Media, PA, 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.

1-01/2025 / BestVest Investments, Ltd. / DBA for LPL Business (entity for LPL business) / INV RLTD / AT LOCATION



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	3
Financial	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 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RYAN BECK, OPPENHEIMER & CO. INC.

Allegations: FROM 2003 THROUGH 2009, VUONO ALLEGEDLY INDUCED CLAIMANT TO EXECUTE PROMISSORY NOTES, WHICH THE COMPLAINT ALLEGES WERE UNREGISTERED SECURITIES

Product Type: Promissory Note

Alleged Damages: \$140,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: COURT OF COMMON PLEAS

Location of Court: PHIADEOPHIA CTY

Docket/Case #: 001486

Date Notice/Process Served: 04/11/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/08/2015

Monetary Compensation Amount: \$15,000.00



Individual Contribution Amount: \$2,500.00

Firm Statement THE ABOVE SETTLEMENT AMOUNTS REFLECT ONLY THOSE SETTLEMENT AMOUNTS KNOWN TO OPPENHEIMER. THIS MATTER IS PROCEEDING AGAINST OTHER DEFENDENTS.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RYAN BECK, OPPENHEIMER & CO

Allegations: 2003 THROUGH 2009 A THIRD PARTY BORROWED MONEY AND GAVE PROMMISSORY NOTES WHILE WORKING WITH MR. VUONO AT A BROKERAGE HOUSE

Product Type: Promissory Note

Alleged Damages: \$140,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: PHILA COMMON PLEAS, PHILADELPHIA COUNTY

Location of Court: PHILADELPHIA PA

Docket/Case #: 001486

Date Notice/Process Served: 05/02/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 01/30/2015

Monetary Compensation Amount: \$2,500.00

Individual Contribution Amount: \$2,500.00

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RYAN BECK AND OPPENHEIMER & CO. INC.

Allegations: COMPLAINT ALLEGES [THIRD PARTY] AND VUONO BORROWED MONIES FROM PLAINTIFFS FOR INVESTMENTS AND NEVER PAID THEM BACK. ONLY [OTHER CUSTOMER NAMED] WAS AN OPPENHEIMER CUSTOMER.

Product Type: Other: PRIVATE SECURITIES

Alleged Damages: \$94,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: PHILADELPHIA COUNTY TRIAL COURT



Location of Court: PHILADELPHIA, PA

Docket/Case #: 2013-000289

Date Notice/Process Served: 02/11/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/08/2015

Monetary Compensation Amount: \$32,500.00

Individual Contribution Amount: \$12,500.00

Firm Statement THE ABOVE SETTLEMENT AMOUNTS REFLECT ONLY THOSE SETTLEMENT AMOUNTS KNOWN TO OPPENHEIMER. THIS MATTER IS PROCEEDING AGAINST OTHER DEFENDANTS.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RYAN BECK, OPPENHEIMER & CO

Allegations: COMPLAINT ALLEGES THIRD PARTY BORROWED MONEY WHILE HE AND MR VUONO WERE REGISTERED REPRESENTATIVES WORKING TOGETHER AT THE BROKERAGE FIRMS.

Product Type: Other: PRIVATE SECURITIES

Alleged Damages: \$94,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: PHILADELPHIA COUNTY COURT

Location of Court: PHILADELPHIA PA

Docket/Case #: 2013-000289

Date Notice/Process Served: 04/17/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 03/17/2015

Monetary Compensation Amount: \$32,500.00

Individual Contribution Amount: \$12,500.00

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RYAN BECK & COMPANY, INC.; OPPENHEIMER HOLDINGS INC.; CETERA ADVISOR NETWORKS F/K/A FINANCIAL NETWORK INVESTMENT CORP.



Allegations: REGISTERED REPRESENTATIVE'S BUSINESS PARTNER WILLIAM BUCCI, ENGAGED IN BORROWING MONEY FROM CUSTOMERS BETWEEN MAY 2004 AND OCTOBER 2008.

Product Type: Promissory Note

Alleged Damages: \$425,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 13-02161

Date Notice/Process Served: 08/01/2013

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/17/2014

Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$10,000.00

Firm Statement CO-DEFENDANT OPPENHEIMER PAID \$60,000., CETERA ADVISOR NETWORKS PAID \$30,000. AND VUONO PAID \$10,000.00. THIS MATTER IS PROCEEDING AGAINST OTHER DEFENDANTS.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RYAN BECK, OPPENHEIMER & CO, INC., FINANCIAL NETWORK INVESTMENT CORP.

Allegations: FROM 2003 THROUGH 2012 VUONO ALLEGEDLY INDUCED CLAIMANTS TO EXECUTE PROMISSORY NOTES, WHICH THE COMPLAINT ALLEGES WERE UNREGISTERED SECURITIES.

Product Type: Promissory Note

Alleged Damages: \$300,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANTS ALLEGEDLY INVESTED \$435,000 AND RECEIVED BACK \$132,000, THEY DEMANDED THE DIFFERENCE, PLUS INTEREST.

Civil Litigation Information

Type of Court: State Court

Name of Court: COURT OF COMMON PLEAS, PHILADELPHIA, CTY.

Location of Court: PHILADELPHIA COUNTY, PA

Docket/Case #: 002284

Date Notice/Process Served: 02/28/2012

Litigation Pending? No

Disposition: Settled



Disposition Date: 06/04/2014
Monetary Compensation Amount: \$100,000.00
Individual Contribution Amount: \$10,000.00
Firm Statement CO-DEFENDANT CETERA ADVISORS PAID \$30,000, OPPENHEIMER PAID \$60,000, VUONO PAID 10,000. THIS MATTER IS PROCEEDING AGAINST OTHER DEFENDANTS.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: RYAN BECK & COMPANY, INC.; OPPENHEIMER HOLDINGS, INC.; FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations: REGISTERED REPRESENTATIVE'S COLLEAGUE, WILLIAM BUCCI, ENGAGED IN BORROWING MONEY FROM CUSTOMERS BETWEEN MAY 2004 AND OCTOBER 2008.
Product Type: Promissory Note
Alleged Damages: \$425,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 13-02161
Filing date of arbitration/CFTC reparation or civil litigation: 02/20/2013

Customer Complaint Information

Date Complaint Received: 02/27/2013
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 02/20/2013
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 13-02161
Date Notice/Process Served: 02/20/2013



Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/05/2014
Monetary Compensation Amount: \$100,000.00
Individual Contribution Amount: \$10,000.00

Civil Litigation Information

Type of Court: State Court
Name of Court: PENNSYLVANIA COURT OF COMMON PLEAS
Location of Court: PHILADELPHIA, PA
Docket/Case #: 120802284
Date Notice/Process Served:
Litigation Pending? Yes
Disposition:
Disposition Date: 02/20/2013
Broker Statement CASE WAS SETTLED WITHOUT ADMISSION OF WRONGDOING.



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 1

Reporting Source: Individual

Action Type: Compromise

Action Date: 04/02/2018

Organization Investment-Related?

Type of Court: Delaware County

Name of Court: Delaware County

Location of Court: Media

Docket/Case #: 17-5843

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/30/2018

If a compromise with creditor, provide:

Name of Creditor: Deutsche Bank National Trust Company

Original Amount Owed: \$140,000.00

Terms Reached with Creditor: Loan forgiven plus \$20,000 and deed to house

Broker Statement

The investment property was purchased through a partnership. The partnership dissolved. Mr. Vuono assumed all of the liability and made a \$20,000 payment plus gave up ownership right to the property through the Deed in Lieu Program offered by the mortgage holder.



End of Report

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