



IAPD Report

FABRIZIO ANTONIOCARLO FABRIZIO

CRD# 2191710

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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

FABRIZIO ANTONIOCARLO FABRIZIO (CRD# 2191710)

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 **03/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	08/17/2022
IA	LPL FINANCIAL LLC	CRD# 6413	08/17/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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	PEOPLE'S UNITED ADVISORS, INC.	292454	Fairfield, CT	06/11/2018 - 08/17/2022
B	PEOPLE'S SECURITIES, INC.	13704	FAIRFIELD, CT	07/20/1994 - 08/17/2022
IA	PEOPLE'S SECURITIES, INC.	13704	FAIRFIELD, CT	01/03/2000 - 03/31/2020

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	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 **35** 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 Principal	Approved	08/17/2022
B	FINRA	General Securities Representative	Approved	08/17/2022
B	Alabama	Agent	Approved	09/20/2022
B	Arizona	Agent	Approved	08/17/2022
B	California	Agent	Approved	08/17/2022
B	Colorado	Agent	Approved	08/17/2022
B	Connecticut	Agent	Approved	08/17/2022
IA	Connecticut	Investment Adviser Representative	Approved	08/17/2022
B	Delaware	Agent	Approved	09/29/2022
B	District of Columbia	Agent	Approved	09/15/2022
B	Florida	Agent	Approved	08/18/2022
B	Georgia	Agent	Approved	08/17/2022
B	Hawaii	Agent	Approved	06/30/2025



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	08/17/2022
B Indiana	Agent	Approved	08/17/2022
B Kentucky	Agent	Approved	08/17/2022
B Louisiana	Agent	Approved	08/17/2022
B Maine	Agent	Approved	09/09/2022
B Maryland	Agent	Approved	08/17/2022
B Massachusetts	Agent	Approved	08/17/2022
B Michigan	Agent	Approved	03/18/2026
B Minnesota	Agent	Approved	09/09/2022
B Missouri	Agent	Approved	08/17/2022
B New Hampshire	Agent	Approved	08/17/2022
B New Jersey	Agent	Approved	08/17/2022
B New York	Agent	Approved	08/17/2022
B North Carolina	Agent	Approved	08/17/2022
B Ohio	Agent	Approved	09/12/2024
B Oregon	Agent	Approved	08/17/2022
B Pennsylvania	Agent	Approved	08/17/2022
B Rhode Island	Agent	Approved	08/17/2022
B South Carolina	Agent	Approved	08/17/2022



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	04/17/2023
B Texas	Agent	Approved	08/17/2022
IA Texas	Investment Adviser Representative	Restricted Approval	09/01/2022
B Vermont	Agent	Approved	08/17/2022
B Virginia	Agent	Approved	08/17/2022
B Washington	Agent	Approved	09/09/2022
B West Virginia	Agent	Approved	09/09/2022

Branch Office Locations

LPL FINANCIAL LLC
1055 POST ROAD
FAIRFIELD, CT 06824

LPL FINANCIAL LLC
MONROE, CT



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	04/13/1995

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/26/1991

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/11/1995
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/02/1991

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	06/11/2018 - 08/17/2022	PEOPLE'S UNITED ADVISORS, INC.	CRD# 292454	Fairfield, CT
B	07/20/1994 - 08/17/2022	PEOPLE'S SECURITIES, INC.	CRD# 13704	FAIRFIELD, CT
IA	01/03/2000 - 03/31/2020	PEOPLE'S SECURITIES, INC.	CRD# 13704	FAIRFIELD, CT
B	04/23/1993 - 06/16/1994	FIS SECURITIES, INC.	CRD# 30533	BOSTON, MA
B	07/28/1992 - 01/11/1993	FLEET BROKERAGE SECURITIES, INC.	CRD# 7313	NEW YORK, NY
B	06/24/1992 - 07/24/1992	AUERBACH, POLLAK & RICHARDSON INC.	CRD# 29824	STAMFORD, CT
B	04/06/1992 - 06/24/1992	STUART, COLEMAN & CO., INC.	CRD# 8642	NEW YORK, NY
B	11/29/1991 - 04/09/1992	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

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
08/2022 - Present	LPL FINANCIAL LLC	Registered Representative	Y	FAIRFIELD, CT, United States
08/2022 - Present	LPL FINANCIAL LLC	Registered Representative	Y	FAIRFIELD, CT, United States
06/2018 - Present	People's United Advisors, Inc	Financial Advisor	Y	Bridgeport, CT, United States
06/1994 - Present	PEOPLE'S SECURITIES, INC.	Financial Advisor	Y	FAIRFIELD, CT, 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. 08/18/2022 - Wilmington Advisor@M&T - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Financial Advisor - Start Date - 08/18/2022 - 160 Hours Per Month/160 Hours During Securities 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

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PEOPLE'S SECURITIES INC.
Allegations:	BREACH OF FIDUCIARY DUTY, SUITABILITY, MISREPRESENTATION, OMISSION OF FACTS, COMMON LAW FRAUD, CONVERSION, RECKLESSNESS
Product Type:	Other: UNSPECIFIED SECURITIES
Alleged Damages:	\$93,574.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #09-06605
Date Notice/Process Served:	11/17/2009
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	12/03/2010
Disposition Detail:	FABRIZIO WAS A SUBJECT OF THE CUSTOMERS' STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE, ALONG WITH HIS MEMBER FIRM, CAUSED/ATTRIBUTED TO THE SALES PRACTICE VIOLATION(S). ACCORDINGLY, FABRIZIO'S MEMBER FIRM IS LIABLE FOR AND SHALL PAY TO CLAIMANTS COMPENSATORY DAMAGES IN THE AMOUNT OF \$10,000.



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PEOPLE'S SECURITIES, INC.
Allegations:	<p>[CUSTOMER'S] ARBITRATION STATEMENT MAKES CLAIMS RESULTING FROM MR. FABRIZIO'S RECOMMENDATION OF 3 CORPORATE BONDS THAT PERFORMED POORLY DURING THE FINANCIAL CRISIS OF 2008/2009. THE BONDS WERE INVESTMENT GRADE AT THE TIME MR. FABRIZIO RECOMMENDED THEIR PURCHASE TO [CUSTOMER]. [CUSTOMER] ALLEGES THAT THE INITIAL TRANSACTIONS WERE NOT SUITABLE AND THE FACTS SURROUNDING SUBSEQUENT EVENTS ARE ALSO DISPUTED.</p> <p>THE ALLEGATIONS INCLUDE: BREACH OF FIDUCIARY DUTY; VIOLATIONS OF SECTIONS 10(B) AND 20(A) OF THE EXCHANGE ACT; VIOLATIONS OF THE CT UNIFORM SECURITIES ACT; VIOLATIONS OF THE DECEPTIVE TRADE PRACTICES ACT; UNSUITABLE ACCOUNT ACTIVITY; COMMON LAW FRAUD (WITH RELATION TO THE COMMISSIONS EARNED ONLY); RECKLESSNESS; BREACH OF CONTRACT; AND, AS TO THE FIRM, FAILURE TO SUPERVISE.</p> <p>PEOPLE'S SECURITIES AND MR. FABRIZIO DISPUTE THE ACCURACY OF [CUSTOMER'S] RECITATION OF FACTS AND DENY EVERY ALLEGATION OF WRONGDOING. PSI'S POSITION IS THAT THE INITIAL TRANSACTIONS WERE SUITABLE BASED ON THE INFORMATION PROVIDED BY THE CLIENT. BOTH PEOPLE'S SECURITIES AND MR. FABRIZIO VIGOROUSLY CONTESTED EACH AND EVERY ALLEGATION IN [CUSTOMER'S] ARBITRATION STATEMENT.</p>
Product Type:	Debt-Corporate
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	IN THE STATEMENT OF CLAIM, CLAIMANT REQUESTED COMPENSATORY DAMAGES IN THE AMOUNT OF BETWEEN \$100,000 AND \$500,000, UNSPECIFIED PUNITIVE DAMAGES, INTEREST, ATTORNEY'S FEES, AND OTHER COSTS ASSOCIATED WITH THE PROCEEDING.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION - NORTHEAST REGIONAL OFFICE
Docket/Case #:	09-06605
Filing date of arbitration/CFTC reparation or civil litigation:	11/24/2009
Customer Complaint Information	
Date Complaint Received:	11/30/2009
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	12/03/2010



Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement

IN THE STATEMENT OF CLAIM, CLAIMANT REQUESTED COMPENSATORY DAMAGES IN THE AMOUNT OF BETWEEN \$100,000 AND \$500,000, UNSPECIFIED PUNITIVE DAMAGES, INTEREST, ATTORNEY'S FEES, AND OTHER COSTS ASSOCIATED WITH THE PROCEEDING. AT THE CLOSE OF HEARING, CLAIMANTS REQUESTED COMPENSATORY DAMAGES IN THE AMOUNT OF \$93,574.

BOTH PEOPLE'S SECURITIES AND MR. FABRIZIO VIGOROUSLY CONTESTED EACH AND EVERY ALLEGATION IN [CUSTOMER'S] ARBITRATION STATEMENT. AT THE CLOSE OF HEARING, RESPONDENT REQUESTED AN AWARD DENYING CLAIMANT'S CLAIMS AND SUCH OTHER AND FURTHER RELIEF AS IS PERMITTED BY LAW AND WHICH THE PANEL DEEMS JUST AND PROPER.

AFTER CONSIDERING THE PLEADINGS, THE TESTIMONY AND EVIDENCE PRESENTED AT THE HEARING, THE PANEL HAS DECIDED IN FULL AND FINAL RESOLUTION OF THE ISSUES SUBMITTED FOR DETERMINATION AS FOLLOWS: 1. RESPONDENT IS LIABLE FOR AND SHALL PAY TO CLAIMANTS COMPENSATORY DAMAGES IN THE AMOUNT OF \$10,000. 2. ANY AND ALL RELIEF NOT SPECIFICALLY ADDRESSED HEREIN, INCLUDING PUNITIVE DAMAGES, IS DENIED.



End of Report

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