



IAPD Report

ANIELLO GINO FABI

CRD# 2446575

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

i 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

ANIELLO GINO FABI (CRD# 2446575)

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 **11/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HSBC SECURITIES (USA) INC.	CRD# 19585	12/14/2007
IA	HSBC SECURITIES (USA) INC.	CRD# 19585	08/14/2008

QUALIFICATIONS

This representative is currently registered in **14** SRO(s) and **24** 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	GUNNALLEN FINANCIAL, INC	17609	CARLE PLACE, NY	06/16/2006 - 12/07/2007
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	BROOKLYN, NY	01/04/1999 - 06/21/2006
B	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL	01/08/1998 - 01/04/1999

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 **24** jurisdiction(s) and 14 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **HSBC SECURITIES (USA) INC.**
Main Address: 66 HUDSDON BOULEVARD EAST
NEW YORK, NY 10001
Firm ID#: 19585

Regulator	Registration	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	02/24/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	02/24/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	02/24/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	02/24/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/07/2013
B FINRA	General Securities Representative	Approved	12/14/2007
B Investors' Exchange LLC	General Securities Representative	Approved	02/24/2020
B NYSE American LLC	General Securities Representative	Approved	12/14/2007
B NYSE Arca, Inc.	General Securities Representative	Approved	06/07/2013
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/29/2008
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/22/2011
B Nasdaq Stock Market	General Securities Representative	Approved	12/14/2007
B Nasdaq Texas, LLC	General Securities Representative	Approved	08/24/2011



Qualifications

	Regulator	Registration	Status	Date
B	New York Stock Exchange	General Securities Representative	Approved	12/14/2007
B	Arizona	Agent	Approved	04/24/2018
IA	Arizona	Investment Adviser Representative	Approved	12/16/2022
B	California	Agent	Approved	04/18/2011
B	Colorado	Agent	Approved	07/08/2024
B	Connecticut	Agent	Approved	12/14/2007
B	Florida	Agent	Approved	01/03/2008
B	Georgia	Agent	Approved	02/08/2016
B	Hawaii	Agent	Approved	12/14/2021
B	Kentucky	Agent	Approved	07/13/2012
B	Maine	Agent	Approved	02/21/2013
B	Maryland	Agent	Approved	10/02/2013
IA	Maryland	Investment Adviser Representative	Approved	10/02/2013
B	Massachusetts	Agent	Approved	10/25/2011
B	Michigan	Agent	Approved	03/17/2010
B	Minnesota	Agent	Approved	12/23/2013
IA	Minnesota	Investment Adviser Representative	Approved	02/25/2020
B	Nevada	Agent	Approved	04/06/2017
IA	Nevada	Investment Adviser Representative	Approved	04/18/2017



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	01/15/2019
B New Jersey	Agent	Approved	12/14/2007
IA New Jersey	Investment Adviser Representative	Approved	08/18/2008
B New York	Agent	Approved	12/14/2007
IA New York	Investment Adviser Representative	Approved	07/06/2021
B North Carolina	Agent	Approved	06/09/2011
B Pennsylvania	Agent	Approved	01/04/2008
IA Pennsylvania	Investment Adviser Representative	Approved	08/14/2008
B Rhode Island	Agent	Approved	03/20/2020
B South Carolina	Agent	Approved	01/29/2016
B Vermont	Agent	Approved	03/08/2023
IA Virginia	Investment Adviser Representative	Approved	06/22/2018
B Virginia	Agent	Approved	06/26/2018
B Wisconsin	Agent	Approved	05/29/2020

Branch Office Locations

HSBC SECURITIES (USA) INC.
Staten Island, NY

HSBC SECURITIES (USA) INC.
6702 BAY PARKWAY
BROOKLYN, NY 11204



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

Principal/Supervisory Exams


Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams



Exam	Category	Date
------	----------	------


 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

 General Securities Representative Examination (S7)	Series 7	04/18/1994
--	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

  Uniform Combined State Law Examination (S66)	Series 66	08/07/2008
---	-----------	------------

 Uniform Securities Agent State Law Examination (S63)	Series 63	07/08/1994
--	-----------	------------

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	06/16/2006 - 12/07/2007	GUNNALLEN FINANCIAL, INC	CRD# 17609	CARLE PLACE, NY
B	01/04/1999 - 06/21/2006	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	BROOKLYN, NY
B	01/08/1998 - 01/04/1999	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	10/28/1997 - 12/19/1997	FIRST METROPOLITAN SECURITIES, INC.	CRD# 7594	NEW YORK, NY
B	06/19/1997 - 10/31/1997	SHAMUS GROUP, INC.	CRD# 5036	
B	02/03/1997 - 05/23/1997	FIRST CAMBRIDGE SECURITIES CORPORATION	CRD# 21846	NEW YORK, NY
B	07/13/1995 - 01/31/1997	SOVEREIGN EQUITY MANAGEMENT CORP.	CRD# 20016	DEERFIELD BEACH, FL
B	04/20/1994 - 07/11/1995	HANOVER, STERLING & COMPANY LTD.	CRD# 15491	NEW YORK, NY
B	03/17/1995 - 06/09/1995	JOSEPH ROBERTS & CO., INC.	CRD# 15971	POMPANO BEACH, 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
08/2016 - Present	HSBC BANK USA, N.A.	Wealth Relationship Manager	Y	STATEN ISLAND, NY, United States
04/2013 - Present	HSBC SECURITIES (USA) INC.	Wealth Relationship Manager	Y	STATEN ISLAND, NY, 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.

Dual hatted as a Bank Officer for HSBC Bank (USA) N.A., an affiliate of HSBC Securities (USA) Inc., engaging in the sale of bank related products and services. This position will be in conjunction with my current role as a registered representative with HSBC



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Securities (USA)Inc.



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: HANOVER STERLING & CO., LTD.

Allegations: UNAUTHORIZED TRADING; EXECUTIONS-FAILURE TO EXECUTE

Product Type:

Alleged Damages: \$6,289.50

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #95-01545](#)

Date Notice/Process Served: 05/03/1995

Arbitration Pending? No

Disposition: Other

Disposition Date: 11/21/1995

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$6,289.50 JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$75.00



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HANOVER STERLING & CO., LTD.
Allegations:	CUSTOMER ALLEGED THAT I FAILED TO EXECUTE THE SALE OF STOCK WHICH RESULTED IN A LOSS OF \$6,239.00 IN POTENTIAL PROFITS.
Product Type:	
Alleged Damages:	\$6,289.50
Customer Complaint Information	
Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	National Association of Securities Dealers, Inc.; 95-01545
Date Notice/Process Served:	05/03/1995
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/21/1995
Monetary Compensation Amount:	\$6,364.50
Individual Contribution Amount:	\$3,219.50
Broker Statement	CLIENT WAS AWARDED \$6,364.50. I SETTLED THE MATTER WITH CLIENT FOR \$3,219.50 AND HAVE PAID THE CLIENT. HANOVER STERLING IS LIABLE FOR THE ADDITIONAL AMOUNT DUE THE CLIENT. THE CLAIM FILED BY THE CLIENT WAS FRIVOLOUS AND SHOULD HAVE BEEN DISMISSED. I DENY ALL ALLEGATIONS MADE BY THE CLIENT.



End of Report

This page is intentionally left blank.