IAPD Report

MARK ANTHONY D'ANNUNZIO

CRD# 2454789

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

MARK ANTHONY D'ANNUNZIO (CRD# 2454789)

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 **05/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
IA	LPL FINANCIAL LLC	CRD# 6413	07/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	CADARET GRANT & CO INC	10641	Little Silver, NJ	02/18/2021 - 07/10/2025
B	CADARET, GRANT & CO., INC.	10641	Little Silver, NJ	10/09/2020 - 07/10/2025
B	CADARET, GRANT & CO., INC.	10641	Wall, NJ	05/24/2019 - 11/04/2019

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
Financial	8

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 **16** 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	07/10/2025
B	FINRA	General Securities Representative	Approved	07/10/2025
B	FINRA	Municipal Securities Representative	Approved	07/10/2025
B	FINRA	Operations Professional	Approved	07/10/2025
B	Arizona	Agent	Approved	07/10/2025
B	California	Agent	Approved	07/10/2025
B	Connecticut	Agent	Approved	07/10/2025
B	Florida	Agent	Approved	07/11/2025
IA	Florida	Investment Adviser Representative	Approved	07/11/2025
B	Georgia	Agent	Approved	07/10/2025
B	Iowa	Agent	Approved	07/10/2025
B	Massachusetts	Agent	Approved	07/10/2025
B	New Jersey	Agent	Approved	07/10/2025

Qualifications

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	07/10/2025
B	New York	Agent	Approved	07/10/2025
B	North Carolina	Agent	Approved	07/10/2025
B	Ohio	Agent	Approved	07/10/2025
B	Pennsylvania	Agent	Approved	07/10/2025
B	South Carolina	Agent	Approved	07/10/2025
B	Texas	Agent	Approved	10/29/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	10/29/2025
B	Virginia	Agent	Approved	07/10/2025
B	Washington	Agent	Approved	07/10/2025

Branch Office Locations

LPL FINANCIAL LLC
44 CHURCH STREET
LITTLE SILVER, NJ 07739

LPL FINANCIAL LLC
NAPLES, FL

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/30/1998

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/29/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/17/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/16/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	02/18/2021 - 07/10/2025	CADARET GRANT & CO INC	CRD# 10641	Little Silver, NJ
B	10/09/2020 - 07/10/2025	CADARET, GRANT & CO., INC.	CRD# 10641	Little Silver, NJ
B	05/24/2019 - 11/04/2019	CADARET, GRANT & CO., INC.	CRD# 10641	Wall, NJ
B	02/23/2018 - 05/30/2019	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	WALL, NJ
B	04/02/1997 - 02/27/2018	PETERSEN INVESTMENTS, INC.	CRD# 38537	WALL, NJ
B	04/11/1997 - 05/14/1997	PETERSEN INVESTMENTS, INC.	CRD# 38537	
B	05/02/1994 - 04/03/1997	GRUNTAL & CO., L.L.C.	CRD# 372	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
07/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	Little Silver, NJ, United States
10/2021 - 07/2025	Cadaret, Grant & Co., Inc.	RR/IAR	Y	Naples, FL, United States
10/2020 - 07/2025	CADARET, GRANT & CO., INC.	RR	Y	Wall, NJ, United States
11/2018 - 07/2025	CB Daily	Consultant	N	Manalapan, NJ, United States
05/2019 - 11/2019	Cadaret, Grant & Co., Inc.	Reg. Rep.	Y	Wall, NJ, United States
02/2018 - 05/2019	ROYAL ALLIANCE	REG REP	Y	WALL, NJ, United States
03/1997 - 02/2018	PETERSEN INVESTMENTS, INC.	NOT PROVIDED	Y	NEW YORK, 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. 07/10/2025- Petersen Advisors- Non-Variable Insurance- INV Related- At Reported Business Location(s)- Start date 06/17/2025- 1 Hour Per Month-1 Hour During Trading
2. 07/10/2025- Petersen Advisors- DBA for LPL Business (entity for LPL business)- INV Related- At Reported Business Location(s)- Start date 06/17/2025- 40 Hours Per Month- 40 Hours During Trading
3. 04/15/2026 - Mark DAnnunzio - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - Start Date 04/14/2026 - 2 hours per month/ 0 hours 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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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
Financial	8

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:	Firm
Employing firm when activities occurred which led to the complaint:	Petersen Investments, Inc.
Allegations:	Claimant alleges unsuitable recommendations in his brokerage account resulting in market losses, during the time period 2012-7.
Product Type:	Equity-OTC
Alleged Damages:	$420,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant seeks recovery of $220,000 in market losses and an additional $200,000 in lost profits that he allegedly would have realized had he continued his portfolio from his prior brokerage firm.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	18-01135
Date Notice/Process Served:	04/03/2018
Arbitration Pending?	Yes
Firm Statement	Claimant alleges he was a conservative investor, even though he submitted a signed letter at the inception of his account confirming he wished to invest in speculative securities. Claimant actively communicated with his representative over the life of his account and reviewed his account holdings online over 1800

times. Firm and representative have submitted Answers denying all allegations of wrongdoing.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Petersen Investments, Inc
Allegations:	Claimant alleges unsuitable recommendations in his brokerage account resulting in market losses, during the time period 2012-07
Product Type:	Equity-OTC
Alleged Damages:	$420,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant seeks recovery of $220,000 in market losses and an additional $200,000 in lost profits that he allegedly would have realized had he continued his portfolio from his prior brokerage firm.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	18-01135
Date Notice/Process Served:	04/03/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/18/2019
Monetary Compensation Amount:	$35,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PETERSEN INVESTMENTS, INC.
Allegations:	[CUSTOMER] INHERITED AN INDIVIDUAL RETIREMENT ACCOUNT FROM HIS FATHER PART OF WHICH WAS TRANSFERRED TO A TRADITIONAL IRA RATHER THAN A BENEFICIAL IRA, RESULTING IN TAX IMPLICATIONS.
Product Type:	Annuity-Variable
Alleged Damages:	$23,000.00
Alleged Damages Amount Explanation (if amount not exact):	CURRENT TAX DUE $23,000, DISREGARDING PENALTIES AND INTEREST. SPECIFIC DAMAGES UNSPECIFIED BUT COMPLAINT INDICATED [CUSTOMER] IS ENTITLED TO RECOVER DAMAGES IN AN AMOUNT TO BE DETERMINED.

Civil Litigation Information

Type of Court:	State Court

Name of Court:	STATE OF NC FRANKLIN COUNTY GENERAL COURT OF JUSTICE, SUPERIOR COURT DIVISION
Location of Court:	RALEIGH NC 27612 USA
Docket/Case #:	12CVS644
Date Notice/Process Served:	06/20/2012
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	05/08/2014
Monetary Compensation Amount:	$62,500.00
Individual Contribution Amount:	$58,900.00
Broker Statement	IN ORDER TO RESOLVE THIS MATTER AND AVOID FURTHER COSTS OF LITIGATION, ALLIANZ AGREED TO PAY $3,600 AND WAIVE ALL SURRENDER FEES AND PETERSEN AGREED TO PAY $58,900.

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 8

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	04/11/2022
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	07/12/2022
If a compromise with creditor, provide:	
Name of Creditor:	Capital One
Original Amount Owed:	$4,230.70
Terms Reached with Creditor:	settled for $2786.73

Disclosure 2 of 8

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	03/31/2021
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	03/31/2021
If a compromise with creditor, provide:	
Name of Creditor:	Raymour & Flanagan
Original Amount Owed:	$9,449.93
Terms Reached with Creditor:	Settled for $3,000.00

Disclosure 3 of 8

Reporting Source:	Individual
Action Type:	Compromise

Action Date:	08/10/2021
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	08/10/2021
If a compromise with creditor, provide:	
Name of Creditor:	Discover
Original Amount Owed:	$2,886.20
Terms Reached with Creditor:	Settled for $1876.00

Disclosure 4 of 8

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	10/07/2021
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	10/07/2021
If a compromise with creditor, provide:	
Name of Creditor:	Capitol One
Original Amount Owed:	$5,213.17
Terms Reached with Creditor:	settled for $2145.70

Disclosure 5 of 8

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	05/23/2022
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	05/23/2022

If a compromise with creditor, provide:

Name of Creditor:	Fortiva
Original Amount Owed:	$1,752.00
Terms Reached with Creditor:	Settled for $693.00

Disclosure 6 of 8

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	02/17/2022
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	02/17/2022

If a compromise with creditor, provide:

Name of Creditor:	Synchrony Bank
Original Amount Owed:	$2,500.00
Terms Reached with Creditor:	Settled for $1,167.07

Disclosure 7 of 8

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	09/10/2017
Organization Investment-Related?	
Type of Court:	Bankruptcy Court
Name of Court:	Bankruptcy Court, Trenton
Location of Court:	Trenton, NJ
Docket/Case #:	1728373
Action Pending?	No
Disposition:	Dismissed
Disposition Date:	09/27/2017

Disclosure 8 of 8

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	01/05/2018
Organization Investment-Related?	
Type of Court:	Bankruptcy Court
Name of Court:	Bankruptcy Court
Location of Court:	Trenton, NJ
Docket/Case #:	1810212
Action Pending?	No
Disposition:	Dismissed
Disposition Date:	03/09/2018

End of Report

This page is intentionally left blank.