



## IAPD Report

# JOSEPH ANTHONY AMATO

CRD# 2751635

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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

### JOSEPH ANTHONY AMATO (CRD# 2751635)

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 **03/10/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	ALEXANDER CAPITAL, L.P.	CRD# 40077	01/02/2013
<b>IA</b>	ALEXANDER CAPITAL WEALTH MANAGEMENT LLC	CRD# 157714	04/18/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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>B</b>	NETWORK 1 FINANCIAL SECURITIES INC.	13577	New York, NY	11/01/2016 - 05/14/2019
<b>B</b>	ALEXANDER CAPITAL, L.P.	40077	NEW YORK, NY	03/29/2012 - 12/20/2012
<b>B</b>	LEGEND SECURITIES, INC.	44952	NEW YORK, NY	03/31/2008 - 04/24/2012

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	6



## 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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **ALEXANDER CAPITAL, L.P.**  
Main Address: 10 DRS JAMES PARKER BLVD  
SUITE 202  
RED BANK, NJ 07701  
Firm ID#: 40077

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Principal	Approved	01/02/2013
<b>B</b> FINRA	General Securities Representative	Approved	01/02/2013
<b>B</b> FINRA	Investment Banking Representative	Approved	01/02/2013
<b>B</b> FINRA	Registered Options Principal	Approved	01/02/2013
<b>B</b> FINRA	Operations Professional	Approved	05/16/2013
<b>B</b> FINRA	Investment Banking Principal	Approved	10/01/2018
<b>B</b> FINRA	Compliance Officer	Approved	04/01/2019
<b>B</b> Arizona	Agent	Approved	07/20/2015
<b>B</b> California	Agent	Approved	12/13/2018
<b>B</b> Florida	Agent	Approved	03/18/2013
<b>B</b> Iowa	Agent	Approved	04/01/2015
<b>B</b> Maryland	Agent	Approved	07/19/2013
<b>B</b> New Hampshire	Agent	Approved	12/12/2013



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New Jersey	Agent	Approved	05/17/2013
<b>B</b> New York	Agent	Approved	01/02/2013
<b>B</b> Pennsylvania	Agent	Approved	03/31/2014
<b>B</b> Wyoming	Agent	Approved	03/12/2026

### Branch Office Locations

**ALEXANDER CAPITAL, L.P.**  
10 DRS JAMES PARKER BLVD, SUITE 202  
RED BANK, NJ 07701

### Employment 2 of 2

Firm Name: **ALEXANDER CAPITAL WEALTH MANAGEMENT LLC**  
Main Address: 10 DRS. JAMES PARKER BLVD  
SUITE 202  
RED BANK, NJ 07701  
Firm ID#: 157714

Regulator	Registration	Status	Date
<b>IA</b> New York	Investment Adviser Representative	Approved	04/18/2021

### Branch Office Locations

**ALEXANDER CAPITAL WEALTH MANAGEMENT LLC**  
5379 Arthur Kill Road, 2nd Floor  
Staten Island, NY 10307








## 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 5 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**


#### Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	02/07/2007
 General Securities Principal Examination (S24)	Series 24	03/20/2006
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/15/2002
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/11/2002

#### General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	10/15/1997
 General Securities Representative Examination (S7)	Series 7	09/17/1997

#### State Securities Law Exams


Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/21/1997



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/30/1997

### 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	11/01/2016 - 05/14/2019	NETWORK 1 FINANCIAL SECURITIES INC.	CRD# 13577	New York, NY
B	03/29/2012 - 12/20/2012	ALEXANDER CAPITAL, L.P.	CRD# 40077	NEW YORK, NY
B	03/31/2008 - 04/24/2012	LEGEND SECURITIES, INC.	CRD# 44952	NEW YORK, NY
IA	07/10/2006 - 04/10/2008	GUNNALLEN FINANCIAL, INC	CRD# 17609	STATEN ISLAND, NY
B	06/18/2004 - 04/10/2008	GUNNALLEN FINANCIAL, INC	CRD# 17609	STATEN ISLAND, NY
B	09/12/2002 - 06/21/2004	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	10/11/2000 - 09/17/2002	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	09/18/1997 - 10/09/2000	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
03/2013 - Present	ALEXANDER CAPITAL WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2013 - Present	ALEXANDER CAPITAL LP	OWNER/PARTNER/P RESIDENT	Y	NEW YORK, NY, United States
03/2012 - Present	ALEXANDER CAPITAL, L.P.	PRINCIPAL	Y	GARDEN CITY, NY, United States
10/2016 - 05/2019	Network 1 Financial Securities, Inc.	Registered Representative	Y	Red Bank, NJ, 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) NESA MANAGEMENT LLC - 5379 ARTHUR KILL RD STATEN ISLAND, NY 10307- - A HOLDING COMPANY FORMED SEPTEMBER 2012 MANAGING MEMBER OPERATES OUTSIDE OF MARKET HOURS DEVOTES 1 HOUR PER MONTH.
- 2) ALEXANDER CAPITAL WEALTH MANAGEMENT LLC - 10 DR JAMES PARKER BLVD , RED BANK NJ 07701 STE 202 - OWNER/PARTNER, OPERATIONAL APRIL 2014 DEVOTES 5 HOURS PER MONTH. COMPENSATION IN THE FORM OF PROFITS.
- 3) ALEXANDER CAPITAL INSURANCE AGENCY LLC - 10 DR JAMES PARKER BLVD , RED BANK NJ 07701 STE 202 - OWNER/PARTNER -OPERATIONAL APRIL 2014 DEVOTES 5 HOURS PER MONTH, COMPENSATION IN THE FORM OF PROFITS.
- 4) ALEXANDER CAPITAL VENTURES MGT CO (20% TIME DURING MARKET HRS)-COMP IN FORM OF commissions-stock-warrants - 5379 ARTHUR KILL RD STATEN ISLAND, NY 10307 - (INVESTMENT RELATED).
- 5) ALEXANDER CAPITAL VENTURES(20% TIME DURING MARKET HRS)-COMP IN FORM OF commissions-stock-warrants - 5379 ARTHUR KILL RD STATEN ISLAND, NY 10307 - (INVESTMENT RELATED).
- 6) SANE MANAGEMENT LLC, REAL ESTATE HOLDING CO. - 11834 CR 101, Suite 203 | The Villages, FL 32162- NON-INVESTMENT RELATED (1-20% TIME DURING MKT HRS) COMPENSATION IN THE FORM OF SALE OR RENTAL
- 7) SENA MANAGEMENT LLC, HOLDING CO. OWNER/SHAREHOLDER 5379 ARTHUR KILL RD STATEN ISLAND, NY 10307 NON-INVESTMENT RELATED (1-20% TIME DURING MKT HRS).
- 8) Mountain View LLC 10 Drs. James Parker Blvd, Suite 202 Red Bank, NJ 07701- 50% OWNER/PARTNER-NON INVESTMENT RELATED-1 HOUR PER WEEK- COMPENSATION IN THE FORM OF SALES OR RENTALS



## 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	6

### 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 6

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Alexander Capital, L.P.
<b>Allegations:</b>	Breach of Fiduciary Duty; Aiding and Abetting; Negligence (Failure to Supervise). Violations of Georgia State Laws.
<b>Product Type:</b>	Real Estate Security Other: Private Offerings.
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Claimants request an amount to be determined at trial.

#### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	25-01247
<b>Date Notice/Process Served:</b>	07/14/2025
<b>Arbitration Pending?</b>	Yes
<b>Broker Statement</b>	I should not have been named in this complaint. I had no involvement with the customers who filed this complaint and no involvement in the transactions at issue. The complaint does not allege otherwise. I was named simply because I am an indirect owner of Alexander Capital. I will defend myself vigorously against this



complaint.

### Disclosure 2 of 6

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Alexander Capital, L.P.

**Allegations:** Allegations include; breach of fiduciary duties; failure to supervise; negligence and gross negligence; violation of FINRA Rules, violation of the federal securities laws, and violation of the Best Interest Obligations (Reg BI).  
December 2018 & May 2019.

**Product Type:** Other: REITS and Alternative Investments

**Alleged Damages:** \$499,000.99

**Alleged Damages Amount Explanation (if amount not exact):** Seeks damages in excess of 100,000.01 but less than 500,000.00

### Arbitration Information

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

**Docket/Case #:** 24-02233

**Date Notice/Process Served:** 06/10/2025

**Arbitration Pending?** Yes

**Broker Statement** The allegations against me are false and are based solely on the false claim that I was a control person for Arive Capital. I am not accused of being directly involved in any of the alleged wrongdoing. The facts will show that these allegations are false, that I was not a control person for Arive Capital, and that I had no contact with or knowledge of the customer who filed this case.

### Disclosure 3 of 6

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** ALEXANDER CAPITAL, L.P.

**Allegations:** Breach of Fiduciary Duty, Fraudulent Inducement, Negligence, Breach of Contract, Violation of FINRA Rule 2010, Equity. February 2021.

**Product Type:** Other: Private Equity

**Alleged Damages:** \$2,894,000.00

**Arbitration Information**

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

**Docket/Case #:** 22-02061

**Date Notice/Process Served:** 10/17/2024



**Arbitration Pending?** Yes

**Broker Statement** I have been added to this matter solely due to my role as an indirect owner of the company. Claimants' counsel has confirmed in written correspondence that claimants have no specific complaints against me.

#### Disclosure 4 of 6

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** ALEXANDER CAPITAL, L.P.

**Allegations:** Start date approximately September 2017 through 2018. Allegations: Fraud; Securities Fraud; Violation of the Investment Advisors Act; Breach of Fiduciary Duty; Conversion; Breach of Contract; Civil Conspiracy.

**Product Type:** Promissory Note

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** No amount alleged

#### Civil Litigation Information

**Type of Court:** Federal Court

**Name of Court:** United States District Court for the Southern District of New York

**Location of Court:** New York, New York

**Docket/Case #:** 1:22-cv-3318

**Date Notice/Process Served:** 05/04/2022

**Litigation Pending?** Yes

**Broker Statement** The allegations are false and the claims are without merit. This case involves a company that raised money from investors. Defaulted on its notes and the noteholders sued the company. Instead of taking responsibility for the notes that it willingly entered into, they had concocted allegations against myself and other individuals.

#### Disclosure 5 of 6

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** ALEXANDER CAPITAL L.P.

**Allegations:** UNSUITABILITY, FRAUDULENT UNAUTHORIZED TRADES, VIOLATIONS OF FINRA RULES 2010, IM02310-2 AND 2020, VIOLATIONS OF NEW YORK STATE COMMON LAW FRAUD AND/OR NEGLIGENT MISREPRESENTATION AND FINRA RULE 2210, FAILURE TO SUPERVISE, CHURNING, EXCESSIVE TRADING,

**Product Type:** Equity-OTC

**Alleged Damages:** \$757,287.00

**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 #:** 13-03605

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 12/19/2013

### Customer Complaint Information

**Date Complaint Received:** 12/19/2013

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 12/19/2013

**Settlement Amount:**

**Individual Contribution  
Amount:**

### Arbitration Information

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

**Docket/Case #:** [13-03605](#)

**Date Notice/Process Served:** 12/19/2013

**Arbitration Pending?** No

**Disposition:** Denied

**Disposition Date:** 07/07/2017

**Broker Statement** THE CHARGES ARE BASELESS AND WITHOUT MERIT. I INTEND TO VIGOROUSLY DEFEND THIS FRIVOLOUS CLAIM.

### Disclosure 6 of 6

**Reporting Source:** Firm

**Employing firm when  
activities occurred which led  
to the complaint:** GUNNALLEN FINANCIAL, INC.

**Allegations:** CUSTOMER, THROUGH COUNSEL, ALLEGES THAT MR. AMATO FAILED TO SUPERVISE A REPRESENTATIVE IN HIS OFFICE WHO ENGAGED IN UNSUITABLE AND UNAUTHORIZED TRANSACTIONS, RESULTING IN DAMAGES BELIEVED TO BE IN EXCESS OF FIVE THOUSAND DOLLARS.

**Product Type:** Options

**Alleged Damages:** \$5,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?****Status:** Arbitration/Reparation**Status Date:** 09/08/2008**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** FINRA CASE NO. 08-02076**Date Notice/Process Served:** 09/08/2008**Arbitration Pending?** Yes**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** GUNNALLEN FINANCIAL, INC.**Allegations:** ALLEGES MR AMATO FAILED TO SUPERVISE A REP IN HIS OFFICE**Product Type:** Options**Alleged Damages:** \$5,000.00**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:** 09/08/2008**Complaint Pending?** No**Status:** Withdrawn**Status Date:** 12/08/2008**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA**Docket/Case #:** FINRA CASE NO. 08-02076**Date Notice/Process Served:****Arbitration Pending?** No**Disposition:** Withdrawn



**Disposition Date:** 12/08/2008



## End of Report

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