IAPD Report

BRIAN JOSEPH DIBRINO

CRD# 2837066

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

BRIAN JOSEPH DIBRINO (CRD# 2837066)

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 **08/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/14/2025
IA	LPL FINANCIAL LLC	CRD# 6413	04/16/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	OSAIC WEALTH, INC.	23131	Fairfield, NJ	10/11/2024 - 04/17/2025
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Fairfield, NJ	08/12/2016 - 10/11/2024
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	FAIRFIELD, NJ	06/17/2015 - 08/10/2016

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
Termination	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 **34** 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	04/14/2025
B	FINRA	General Securities Sales Supervisor	Approved	04/14/2025
B	Alabama	Agent	Approved	06/03/2025
B	Arizona	Agent	Approved	04/14/2025
B	Arkansas	Agent	Approved	06/12/2025
B	California	Agent	Approved	06/02/2025
B	Colorado	Agent	Approved	05/12/2025
B	Connecticut	Agent	Approved	06/02/2025
B	Delaware	Agent	Approved	04/14/2025
B	District of Columbia	Agent	Approved	06/02/2025
B	Florida	Agent	Approved	04/14/2025
B	Georgia	Agent	Approved	04/14/2025
B	Illinois	Agent	Approved	06/09/2025

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	08/11/2025
B	Iowa	Agent	Approved	06/03/2025
B	Maryland	Agent	Approved	04/14/2025
B	Michigan	Agent	Approved	06/05/2025
B	Minnesota	Agent	Approved	06/02/2025
B	Mississippi	Agent	Approved	06/11/2025
B	Missouri	Agent	Approved	08/26/2025
B	Nevada	Agent	Approved	06/08/2025
B	New Hampshire	Agent	Approved	06/19/2025
IA	New Jersey	Investment Adviser Representative	Approved	04/16/2025
B	New Jersey	Agent	Approved	04/17/2025
B	New Mexico	Agent	Approved	06/02/2025
B	New York	Agent	Approved	04/14/2025
B	North Carolina	Agent	Approved	04/21/2025
B	Ohio	Agent	Approved	06/04/2025
B	Oklahoma	Agent	Approved	06/02/2025
B	Oregon	Agent	Approved	04/14/2025
B	Pennsylvania	Agent	Approved	04/14/2025
B	Rhode Island	Agent	Approved	04/21/2025

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	04/14/2025
B	Texas	Agent	Approved	05/31/2025
B	Utah	Agent	Approved	04/14/2025
B	Virginia	Agent	Approved	04/17/2025
B	Wisconsin	Agent	Approved	06/10/2025

Branch Office Locations

LPL FINANCIAL LLC
271 ROUTE 46 WEST
SUITE B201
FAIRFIELD, NJ 07004

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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/07/2000
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/06/2000

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	08/13/1999
B	General Securities Representative Examination (S7)	Series 7	12/31/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/11/2025
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/08/1997

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
B	10/11/2024 - 04/17/2025	OSAIC WEALTH, INC.	CRD# 23131	Fairfield, NJ
B	08/12/2016 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	Fairfield, NJ
IA	06/17/2015 - 08/10/2016	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	FAIRFIELD, NJ
B	06/15/2015 - 07/26/2016	FIRST ALLIED SECURITIES, INC.	CRD# 32444	Fairfield, NJ
B	03/02/2007 - 06/16/2015	SII INVESTMENTS, INC.	CRD# 2225	FAIRFIELD, NJ
IA	03/02/2007 - 06/16/2015	SII INVESTMENTS, INC.	CRD# 2225	FAIRFIELD, NJ
IA	05/17/2004 - 03/12/2007	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	FLORHAM PARK, NJ
B	05/17/2004 - 03/12/2007	OPPENHEIMER & CO. INC.	CRD# 249	FLORHAM PARK, NJ
IA	05/22/2002 - 04/30/2004	MORGAN STANLEY	CRD# 7556	FAIRFIELD, NJ
B	01/02/1997 - 04/30/2004	MORGAN STANLEY DW 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
04/2025 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Fairfield, NJ, United States
10/2024 - 04/2025	OSAIC WEALTH, INC.	Mass Transfer	Y	Fairfield, NJ, United States
08/2016 - 10/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	N	FAIRFIELD, NJ, United States
06/2015 - 08/2016	FIRST ALLIED SECURITIES, INC	FINANCIAL ADVISOR	Y	SAN DIEGO, CA, 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 - 03/2025 - Insurance Sales - Non-Variable Insurance - Inv Related - 4 Hours/Month - 1 Hour During Trading - NJ 07004 - OBA Start Date: 01/01/1996.
2 - 03/2025 - Moonchild Properties, LLC - Real Estate Rental - Inv Related - 4 Hours/Month - 1 Hour During Trading - NJ 08734 - OBA Start Date: 01/01/2016.
3 - 03/2025 - Real Estate Rental - Inv Related - NJ 07004 - OBA Start Date: 01/01/2009.

4) 04/30/2025 - Northern Advisory Group - Investment Related - DBA for LPL Business (entity for LPL business) - At Reported Business Location(s) -Start Dtae:04/28/2025 - 0 Hrs/Mth - 0 Hrs During Trading.

5) 04/25/2025 - DiBrino Financial LLC - No Investment Related - Business Entity For Tax/Investment Purposes Only - Lane Absecon, NJ - Start Date: 04/14/2025 - 0 Hrs/Mth - 0 Hrs 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*.
  - 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.

User Guidance

www.adviserinfo.sec.gov

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
Termination	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SII Investments, Inc. First Allied Securities, Inc.
Allegations:	Claimants allege their former representatives recommended alternative investments that were not suitable for them. Claimants generally allege misrepresentation, unsuitable recommendations, breach fiduciary duty, failure to supervise, breach of contract and negligence.
Product Type:	Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	$125,000.00
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 #:	20-01704
Filing date of arbitration/CFTC reparation or civil litigation:	06/01/2020

Customer Complaint Information

Date Complaint Received:	07/15/2020
Complaint Pending?	No
Status:	Settled
Status Date:	03/31/2022
Settlement Amount:	$1,500.00
Individual Contribution Amount:	$0.00
Firm Statement	I deny all allegations of the Claimants. All investments were discussed in thorough with the Claimants. Claimants understood all risks associated with all investments. Claimants have not been clients for over 3 years.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SII Investments, Inc. First Allied Securities, Inc.
Allegations:	Claimants allege their former representatives recommended alternative investments that were not suitable for them. Claimants generally allege misrepresentation, unsuitable recommendations, breach fiduciary duty, failure to supervise, breach of contract and negligence.
Product Type:	Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	$125,000.00
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 #:	20-01704
Filing date of arbitration/CFTC reparation or civil litigation:	06/01/2020

Customer Complaint Information

Date Complaint Received:	07/15/2020
Complaint Pending?	No
Status:	Settled
Status Date:	03/31/2022
Settlement Amount:	$1,500.00
Individual Contribution Amount:	$0.00
Broker Statement	I deny all allegations of the Claimants. All investments were discussed in thorough with the Claimants. Claimants understood all risks associated with all investments. Claimants have not been clients for over 3 years.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SII
Allegations:	CLIENT CLAIMS THAT REPRESENTATIVE FAILED TO REPORT MARKET LOSSES TO HIM BEGINNING IN 2008 AND MISMANAGED HIS ACCOUNT.
Product Type:	Unit Investment Trust
Alleged Damages:	$70,000.00
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:	04/02/2012
Complaint Pending?	No
Status:	Denied
Status Date:	05/24/2012
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT'S STATEMENTS WERE SENT DIRECTLY FROM THE INVESTMENT COMPANY ON A MONTHLY BASIS TO THE CLIENTS ADDRESS OF RECORD. I COMMUNICATED REGULARLY WITH THE CLIENT VIA TELEPHONE AND FACE TO FACE MEETINGS DURING THE SAID PERIOD. ALL OF THE NECESSARY PAPERWORK WAS SIGNED BY THE CLIENT AND THE INVESTMENTS FELL WITHIN HIS RISK TOLERANCE.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	First Allied Securities, Inc.
Termination Type:	Discharged
Termination Date:	07/18/2016
Allegations:	Registered Investment Adviser Representative failed to follow firm policy by permitting a non-registered assistant to reuse client signatures and working in concert with the same assistant to alter client signed documents
Product Type:	No Product

Reporting Source:	Firm
Firm Name:	First Allied Securities, Inc.
Termination Type:	Discharged
Termination Date:	07/18/2016
Allegations:	Registered Representative failed to follow firm policy by permitting a non-registered assistant to reuse client signatures and working in concert with the same assistant to alter client signed documents.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	First Allied Securities, Inc.
Termination Type:	Discharged
Termination Date:	07/18/2016
Allegations:	Registered Investment Adviser Representative failed to follow firm policy by permitting a non-registered assistant to reuse client signatures and working in concert with the same assistant to alter client signed documents
Product Type:	No Product
Broker Statement	My Assistant emailed my client paperwork for a variable annuity subsequent purchase. He had asked to have it emailed to his wife's email address for they were together at home at the time. My assistant emailed it and his wife asked if they could use the husband's e-signature. My assistant replied "No" please have your husband sign. The wife used the e-signature anyway with full permission from her husband. I did not realize this until after the business was submitted and approved by First Allied. Also they claim that the documents were altered after signature. The documents were incomplete so the husband came in later that day and in front of him after discussion I filled in the missing information as he sat across from me. Because I did not have him initial, First Allied claims I altered the documents. What they accuse is incorrect.

End of Report

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