User Guidance

www.adviserinfo.sec.gov

IAPD Report

ANDREW PAUL CASTELLANO

CRD# 2854445

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

ANDREW PAUL CASTELLANO (CRD# 2854445)

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 **08/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	05/26/2000
IA	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	09/15/2016

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
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	RICHMOND, VA	05/23/2002 - 12/31/2016
B	CRESTAR SECURITIES CORPORATION	17464	RICHMOND, VA	07/21/1998 - 05/26/2000
B	SCOTTSDALE SECURITIES, INC.	8206	ST. LOUIS, MO	06/02/1998 - 07/14/1998

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

Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

Firm ID#: 17499

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/26/2000
B	FINRA	Investment Co./Variable Contracts Prin	Approved	10/19/2005
B	Arizona	Agent	Approved	06/11/2026
B	California	Agent	Approved	08/14/2026
B	Colorado	Agent	Approved	04/04/2019
B	Delaware	Agent	Approved	08/14/2026
B	District of Columbia	Agent	Approved	08/18/2026
B	Florida	Agent	Approved	02/15/2012
B	Georgia	Agent	Approved	07/13/2022
B	Illinois	Agent	Approved	07/13/2022
B	Kansas	Agent	Approved	08/14/2026
B	Louisiana	Agent	Approved	08/14/2026
B	Maine	Agent	Approved	08/17/2026

Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	03/27/2007
B	Massachusetts	Agent	Approved	08/17/2026
B	Montana	Agent	Approved	05/13/2026
B	Nebraska	Agent	Approved	08/18/2026
B	New Hampshire	Agent	Approved	11/14/2024
B	New Jersey	Agent	Approved	08/14/2026
B	New Mexico	Agent	Approved	06/05/2026
B	New York	Agent	Approved	06/23/2021
B	North Carolina	Agent	Approved	01/17/2002
B	North Dakota	Agent	Approved	08/19/2026
B	Ohio	Agent	Approved	05/22/2025
B	Oklahoma	Agent	Approved	05/19/2026
B	Oregon	Agent	Approved	08/22/2026
B	Pennsylvania	Agent	Approved	06/10/2026
B	South Carolina	Agent	Approved	08/25/2020
B	Tennessee	Agent	Approved	01/14/2022
B	Texas	Agent	Approved	08/13/2024
B	Utah	Agent	Approved	05/12/2026
B	Virginia	Agent	Approved	05/26/2000

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	11/21/2024
B	West Virginia	Agent	Approved	08/20/2026
B	Wisconsin	Agent	Approved	08/18/2026
B	Wyoming	Agent	Approved	08/14/2026

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.
11501 W BROAD ST
RICHMOND, VA 23233

SUNTRUST INVESTMENT SERVICES, INC.
11400 NUCKOLS RD
GLEN ALLEN, VA 23059

SUNTRUST INVESTMENT SERVICES, INC.
11200 PATTERSON AVE
RICHMOND, VA 23238

SUNTRUST INVESTMENT SERVICES, INC.
10000 W BROAD ST
GLEN ALLEN, VA 23060

SUNTRUST INVESTMENT SERVICES, INC.
GLEN ALLEN, VA

SUNTRUST INVESTMENT SERVICES, INC.
5600 W BROAD ST
RICHMOND, VA 23230

SUNTRUST INVESTMENT SERVICES, INC.
5816 GROVE AVE
RICHMOND, VA 23226

SUNTRUST INVESTMENT SERVICES, INC.
7016 MECHANICSVILLE TPKE
MECHANICSVILLE, VA 23111

SUNTRUST INVESTMENT SERVICES, INC.
9283 CHAMBERLAYNE RD
MECHANICSVILLE, VA 23116

Employment 2 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

Firm ID#: 283390

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	06/02/2026
IA	Virginia	Investment Adviser Representative	Approved	09/15/2016

Qualifications

Branch Office Locations

TRUIST ADVISORY SERVICES, INC.
11501 W BROAD ST
RICHMOND, VA 23233

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	10/18/2005

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/24/1997
B	Municipal Securities Representative Examination (S52)	Series 52	03/06/1997

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/27/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/14/1997

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
IA	05/23/2002 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	RICHMOND, VA
B	07/21/1998 - 05/26/2000	CRESTAR SECURITIES CORPORATION	CRD# 17464	RICHMOND, VA
B	06/02/1998 - 07/14/1998	SCOTTSDALE SECURITIES, INC.	CRD# 8206	ST. LOUIS, MO
B	03/07/1997 - 02/03/1998	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
09/2016 - Present	TRUIST ADVISORY SERVICES, INC	FINANCIAL ADVISOR	Y	HENRICO, VA, United States
05/2000 - Present	TRUIST INVESTMENT SERVICES, INC	FINANCIAL ADVISOR	Y	HENRICO, VA, 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.

NORFOLK COLLEGIATE SCHOOL
POSITION: Trustee NATURE: Private School in Norfolk Virginia. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 06/01/2023
ADDRESS: Norfolk VA, United States
DESCRIPTION: One of 20 trustees that will help in making decisions on school operations and current and future directions.

RENTAL CONDO
POSITION: Co-Owner with my wife NATURE: We have a condo at Emerald Isle NC that we will be making available for rent. We have a rental Co that will be handling all of the rent, reservations.... INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 1 START DATE: 07/06/2026
ADDRESS: Emerald Isle NC, United States
DESCRIPTION: We have a condo and will have a real estate company manage the weekly 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	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:	Individual
Employing firm when activities occurred which led to the complaint:	TRUIST INVESTMENT SERVICES, INC.
Allegations:	Clients allege the representative failed to invest their funds in a managed account as agreed upon in 2022.
Product Type:	Money Market Fund Other: Managed Account
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Firm determination made that alleged damages would exceed $5,000.
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:	09/04/2024
Complaint Pending?	No
Status:	Denied
Status Date:	09/20/2024

Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Clients were receiving monthly statements reflecting the position of the assets for the two-year period in question. Client's complaint was denied in its entirety and the firm found no fault with the representatives' actions.

End of Report

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