



## IAPD Report

# ANTHONY WILLIAM FRIGOLETTO

CRD# 2902070

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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

#### ANTHONY WILLIAM FRIGOLETTO (CRD# 2902070)

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 **10/07/2024**.

#### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	09/08/2020
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	09/09/2020

#### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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>IA</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	FREEHOLD, NJ	01/05/2004 - 09/15/2020
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	FREEHOLD, NJ	12/12/2001 - 09/15/2020
<b>B</b>	UBS PAINEWEBBER INC.	8174	WEEHAWKEN, NJ	09/03/1999 - 12/20/2001

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	3



## 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 **28** 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>B</b>	FINRA	General Securities Representative	Approved	09/09/2020
<b>B</b>	California	Agent	Approved	09/09/2020
<b>B</b>	Colorado	Agent	Approved	10/07/2024
<b>B</b>	Connecticut	Agent	Approved	09/09/2020
<b>B</b>	Delaware	Agent	Approved	09/18/2020
<b>B</b>	District of Columbia	Agent	Approved	09/09/2020
<b>B</b>	Florida	Agent	Approved	09/09/2020
<b>B</b>	Georgia	Agent	Approved	09/09/2020
<b>B</b>	Illinois	Agent	Approved	09/09/2020
<b>B</b>	Indiana	Agent	Approved	09/21/2020
<b>B</b>	Maryland	Agent	Approved	09/09/2020
<b>B</b>	Minnesota	Agent	Approved	09/09/2020
<b>B</b>	Montana	Agent	Approved	09/09/2020



## Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	09/09/2020
B	New Hampshire	Agent	Approved	06/15/2022
B	New Jersey	Agent	Approved	09/09/2020
IA	New Jersey	Investment Adviser Representative	Approved	09/11/2020
B	New York	Agent	Approved	09/09/2020
B	North Carolina	Agent	Approved	09/09/2020
B	Ohio	Agent	Approved	09/23/2020
B	Oregon	Agent	Approved	09/09/2020
B	Pennsylvania	Agent	Approved	09/09/2020
IA	Pennsylvania	Investment Adviser Representative	Approved	01/12/2023
B	Rhode Island	Agent	Approved	09/09/2020
B	South Carolina	Agent	Approved	09/29/2020
B	Tennessee	Agent	Approved	09/09/2020
B	Texas	Agent	Approved	09/09/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	09/08/2020
B	Vermont	Agent	Approved	04/11/2024
B	Virginia	Agent	Approved	09/14/2020
B	Washington	Agent	Approved	09/16/2020



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Wisconsin	Agent	Approved	09/09/2020

### Branch Office Locations

**LPL FINANCIAL LLC**  
65 MECHANIC ST, STE. 107  
RED BANK, NJ 07701




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



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/05/2004

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/28/1997

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/11/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/08/1997

### 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
IA	01/05/2004 - 09/15/2020	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FREEHOLD, NJ
B	12/12/2001 - 09/15/2020	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FREEHOLD, NJ
B	09/03/1999 - 12/20/2001	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	08/28/1997 - 09/10/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	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
09/2020 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	RED BANK, NJ, United States
11/2016 - 09/2020	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	FREEHOLD, NJ, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	FREEHOLD, NJ, 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.

1)09/01/2020 - Rivers Edge Wealth Partners - DBA for LPL Business (entity for LPL business) - inv rel - at reported business location(s) - start: 09/2020

2) 9/16/2021 - Retirement Partners - Not Investment Related - 14541 Delano Street, Van Nuys, CA 91411 - Business Entity For Tax/Investment Purposes Only - Started 02/15/2017 - 0 Hours Per Month.



## 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	3

### 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 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC

**Allegations:** NJ RESIDENT PURCHASED A RIVERSOURCE VA ON 10/11/05. CLIENT ADDED AN INCOME RIDER THAT LIMITED HIS ABILITY TO GET OUT OF THE MARKET AT WILL. WHEN CLIENT LEARNED THIS ON 10/7/08 HE SURRENDERED THE CONTRACT AND INCURRED A CHARGE OF \$20,201.91. CLIENT WOULD LIKE TO BE REIMBURSED THE SURRENDER CHARGE BASED ON HIS BELIEF THAT HE WOULD NOT HAVE HAD TO SURRENDER THE CONTRACT IF HE HAD BEEN ABLE TO MOVE INTO THE MONEY MARKET.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$20,201.91

### Customer Complaint Information

**Date Complaint Received:** 10/17/2008

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 12/03/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** CLIENT WITHDREW HIS COMPLAINT IN WRITING AND STATED THAT HE



WAS AWARE OF THE CONTRACT PROVISIONS AND THAT THE FINANCIAL ADVISOR DID NOTHING WRONG. ALTHOUGH RIVERSOURCE AGREED TO TAKE THE FUNDS BACK INTO THE CONTRACT AND PROVIDE HIM WITH A PENALTY FREE 1035 EXCHANGE INTO A DIFFERENT PRODUCT, THE CLIENT CHOSE TO INVEST IN BANK CDS. THE FILE IS CLOSED WITH NO FURTHER ACTION.

### Disclosure 2 of 3

**Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

WACHOVIA SECURITIES, LLC

**Allegations:**

CALIFORNIA CLIENT STATED THAT THE PURCHASE TRANSACTIONS DONE IN HER JOINT ACCOUNT IN SEPTEMBER 2007 AND NOVEMBER 2007 WERE UNAUTHORIZED. THE CLIENT PURCHASED THE CLASS A SHARES OF THE FOLLOWING MUTUAL FUNDS FOR HER JOINT ACCOUNT ON TRADE DATE SEPTEMBER 25, 2007: 1) 38,860.104 SHARES OF THE COLUMBIA FUNDS CALIFORNIA TAX-EXEMPT FUND (CLMPX) FOR A NET AMOUNT OF \$300,007.50; 2) 40,431.267 SHARES OF THE FRANKLIN CALIFORNIA TAX-FREE INCOME FUND (FKTFX) FOR A NET AMOUNT OF \$300,007.50. ON TRADE DATE NOVEMBER 28, 2007 THE CLIENT PURCHASED THE CLASS A SHARES OF THE FOLLOWING MUTUAL FUNDS FOR HER JOINT ACCOUNT: 1) 12,936.611 SHARES OF (CLMPX) FOR A NET AMOUNT OF \$100,007.50; 2) 15,923.567 SHARES OF THE DRYDEN CALIFORNIA MUNICIPAL INCOME FUND (PBCAX) FOR A NET AMOUNT OF \$175,007.50; AND, 3) 13,477.089 SHARES OF (FKTFX) FOR A NET AMOUNT OF \$100,007.50. THE CLIENTS AGGREGATE INVESTMENTS IN THE THREE FUNDS HAVE DECLINED IN VALUE BY APPROXIMATELY \$25,776.10 (INCLUSIVE OF RE-INVESTED DIVIDENDS).

**Product Type:**

Mutual Fund(s)

**Alleged Damages:**

\$25,776.10

**Customer Complaint Information****Date Complaint Received:**

12/28/2007

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

01/11/2008

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE FIRM DENIED THE COMPLAINT ON JANUARY 11, 2008. BASED UPON A REVIEW OF THE ACCOUNT AND THE TRANSACTIONS IN QUESTION AND BASED UPON INFORMATION PROVIDED BY THE FA, THE FIRM COULD NOT CONCLUDE THAT THE TRADES THAT WERE DONE IN THE CLIENTS ACCOUNT IN SEPTEMBER 2007 AND NOVEMBER 2007 WERE UNAUTHORIZED. FURTHER, IT APPEARED THAT THE MUTUAL FUNDS PURCHASED BY THE CLIENT WERE CONSISTENT WITH HER MODERATE GROWTH AND INCOME OBJECTIVES. CLIENT CONTACTED ME FOR WIRING INSTRUCTIONS TO SEND MONEY DIRECTLY INTO THE BROKERAGE ACCOUNT FOR THE SOLE PURPOSE OF INVESTING IN CALIFORNIA TAX FREE BOND FUNDS. WE SPOKE SEVERAL TIMES TO INVEST AND DID SO



ON TWO SEPARATE OCCASIONS. IN BOTH CASES, BREAKPOINTS WERE DISCUSSED AND ACHIEVED AND THE INVESTMENTS WERE IN LINE TO THEIR CONSERVATIVE RISK TOLERANCE. A COUPLE OF MONTHS LATER THE CLIENTS SON CALLED ME AND STATED HE WAS UNHAPPY WITH THE AMOUNT OF THE ACTUAL LOAD ON THE FUND PURCHASES AND ASKED THAT I GET IT LOWERED. I EXPLAINED TO HIM THAT I WAS NOT ABLE TO DO SO AND THE CHARGES AND BREAKPOINTS ARE SET BY THE FUND COMPANY AND THAT HE WAS ON THE PHONE WHEN I ORIGINALLY SPOKE WITH HIS MOTHER. HE ASKED ME TO SEE WHAT I CAN DO ANYWAY AND CALL HIM ON MONDAY, THAT HE'D HATE TO HAVE TO TRANSFER THE ACCOUNT AWAY. . WHEN I CALLED HIM ON MONDAY HE ACTED AS IF HE NEVER HAD SPOKEN TO ME AND PUT THE CLIENT ON THE PHONE AND SHE STATED THE SAME THING. I ASKED WHY HE WAS DOING THIS AND HE HUNG UP. A FEW DAYS HE SENT A LETTER ON HIS MOTHERS BEHALF STATING THAT THE TRADES WERE DONE WITHOUT ANY AUTHORIZATION. THAT IS NOT TRUE. FROM THE WIRING OF THE FUNDS HERE SPECIFICALLY TO INVEST AND THE SEVERAL CALLS WITH THE CLIENT AS WELL AS HER SON BEING ON THE LINE WE SPOKE MANY TIMES BOTH BEFORE AND AFTER THE TRADE.

### Disclosure 3 of 3

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC

**Allegations:** NEW JERSEY CLIENT CONTENDS THAT HE WANTED TO PUT HIS MONEY IN A "SAFE INSTRUMENT" AND "SLEEP" ON IT FOR FOUR YEARS. THE CLIENT COMPLAINS THAT HE WOULD LIKE THE SURRENDER PENALTY WAIVED FOR HIS FOUR YEAR \$286,300 AMERICAN ENTERPRISE LIFE INSURANCE COPMANY EVERGREEN PATHWAYS SELECT ANNUITY PURCHASED ON 11/5/04.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$20,933.96

### Customer Complaint Information

**Date Complaint Received:** 04/21/2005

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 04/29/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** CLIENT WITHDREW THE COMPLAINT SOON AFTER FILING THE COMPLAINT. BOTH THE AMERICAN ENTERPRISE LIFE INSURANCE COMPANY AND WACHOVIA SECURITIES DENIED WAIVING THE SURRENDER PENALTY TO THE CLIENT UNDER THE CIRCUMSTANCES CAUSED BY THE CLIENT. BROKER APPROPRIATELY DISCLOSED AND RECOMMENDED ANNUITY. CLIENT CONFIRMED ACCEPTANCE OF THE ANNUITY CONTRACT IN A LETTER WRITTEN TO THE ANNUITY COMPANY, THE CLIENT THEN CANCELLED THE ANNUITY DURING THE "FREE LOOK" PERIOD IN A LETTER WRITTEN TO THE ANNUITY COMPANY, THE CLIENT SUBSEQUENTLY



RESCINDED HIS CANCELLATION OF THE ANNUITY IN A PHONE CONVERSATION WITH THE ANNUITY COMPANY AFTER THERE WAS A GAIN IN THE INVESTMENT AND NOW THE CLIENT REQUESTS IN THIS COMPLAINT THAT HE WOULD LIKE THE SURRENDER PENALTY WAIVED. BROKER CORRESPONDED REGULARLY AND APPROPRIATELY WITH CLIENT. THE CLIENT DID NOT RECEIVE ANY REMUNERATION.



## End of Report

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