



IAPD Report

ALBERT DANDREA JR

CRD# 2949179

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

ALBERT DANDREA JR (CRD# 2949179)

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 **12/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	09/11/2025
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	09/11/2025

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **12** 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	CITIGROUP GLOBAL MARKETS INC.	7059	HOLBROOK, NY	02/23/2016 - 09/22/2025
B	CITIGROUP GLOBAL MARKETS INC.	7059	HOLBROOK, NY	02/22/2016 - 09/22/2025
IA	LPL FINANCIAL LLC	6413	PORT JEFFERSON STA, NY	08/02/2012 - 02/19/2016

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	1
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 **12** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 19616

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/11/2025
B Cboe Exchange, Inc.	General Securities Representative	Approved	09/11/2025
B FINRA	General Securities Representative	Approved	09/11/2025
B NYSE American LLC	General Securities Representative	Approved	09/11/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	09/11/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	09/11/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	09/11/2025
B Nasdaq ISE, LLC	General Securities Representative	Approved	09/11/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/11/2025
B Nasdaq Stock Market	General Securities Representative	Approved	09/11/2025
B New York Stock Exchange	General Securities Representative	Approved	09/11/2025
B California	Agent	Approved	09/11/2025
B Connecticut	Agent	Approved	09/11/2025



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	09/11/2025
B District of Columbia	Agent	Approved	09/11/2025
B Florida	Agent	Approved	09/12/2025
B Massachusetts	Agent	Approved	09/11/2025
B New Jersey	Agent	Approved	09/12/2025
B New York	Agent	Approved	09/11/2025
IA New York	Investment Adviser Representative	Approved	09/11/2025
B North Carolina	Agent	Approved	09/11/2025
B Pennsylvania	Agent	Approved	09/11/2025
B South Carolina	Agent	Approved	09/11/2025
B Virginia	Agent	Approved	09/11/2025

Branch Office Locations

WELLS FARGO ADVISORS
5801 SUNRISE HWY
HOLBROOK, NY 11741

WELLS FARGO ADVISORS
3178 MIDDLE COUNTRY RD
LAKE GROVE, NY 11755




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 Principal Examination (S24)	Series 24	12/22/2001

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	10/06/1997

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	07/09/2004
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/17/1997

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	02/23/2016 - 09/22/2025	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HOLBROOK, NY
B	02/22/2016 - 09/22/2025	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HOLBROOK, NY
IA	08/02/2012 - 02/19/2016	LPL FINANCIAL LLC	CRD# 6413	PORT JEFFERSON STA
B	11/11/2010 - 02/19/2016	LPL FINANCIAL LLC	CRD# 6413	PORT JEFFERSON STA
IA	12/08/2008 - 10/29/2010	HSBC SECURITIES (USA) INC.	CRD# 19585	EAST SETAUKET, NY
B	12/01/2008 - 10/29/2010	HSBC SECURITIES (USA) INC.	CRD# 19585	EAST SETAUKET, NY
IA	07/13/2004 - 11/18/2008	CAPITAL ONE FINANCIAL ADVISORS LLC	CRD# 127236	MELVILLE, NY
B	01/03/2005 - 09/12/2008	CAPITAL ONE INVESTMENT SERVICES LLC	CRD# 25658	VALLEY STREAM, NY
B	01/06/2004 - 01/03/2005	GREENPOINT SECURITIES LLC	CRD# 127042	LAKE SUCCESS, NY
B	06/26/2002 - 03/21/2003	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	10/20/1997 - 05/23/2002	LADENBURG CAPITAL MANAGEMENT INC.	CRD# 14623	BETHPAGE, 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
09/2025 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	MELVILLE, NY, United States
02/2016 - 09/2025	CITIGROUP	FINANCIAL CONSULTANT	Y	HOLBROOK, 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.

Trivona Corp; Not investment-related; Patchogue, NY; Affiliation started 04/28/2017; Title: Secretary; Duties: Partner - May oversee restaurant eight hours a month; No time is devoted to the business each month during security trading hours; 8 hours are devoted to the business each month outside of securities trading hours. //Kranmars Inc.; Restaurant consulting; Not investment-related; Miller Place, NY; Affiliation started 06/01/2018; Title: Consultant; Duties: Consult on management of restaurant; No time is devoted to the business each month during securities trading hours; 20 hours are devoted to the business each month outside of securities trading hours. What is the name of the outside business?: BANGZOOM CORP//What is the nature of the outside business?: Food service//Is the outside business investment-related, per the definition given above? No//What is the location of the outside business?: BAYSHORE, NY//What date did you start the outside business affiliation?: 08-29-2025//What is your title in the outside business?: Secretary//What are your duties in the outside business? (be brief): no active day to day duties, just investing//How many hours do you devote to the outside business each month during securities trading hours?: 0//How many hours do you devote to the outside business each month outside of securities trading hours?: 6



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
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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CAPITAL ONE INVESTMENT SERVICES LLC

Allegations: CUSTOMER SENT LETTER ALLEGING MISREPRESENTATION BY RR D'ANDREA, STATING HE WAS ADVISED HIS FULL PRINCIPAL WOULD BE RETURNED TO HIM AFTER THREE YEARS.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$6,000.00

Customer Complaint Information

Date Complaint Received: 12/19/2008

Complaint Pending? No

Status: Denied

Status Date: 01/15/2009

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: CAPITAL ONE INVESTMENT SERVICES LLC

Allegations: CUSTOMER SENT LETTER ALLEGING MISREPRESENTATION BY RR D'ANDREA, STATING HE WAS ADVISED HIS FULL PRINCIPAL WOULD BE RETURNED TO HIM AFTER THREE YEARS.

Product Type: Annuity-Variable

Alleged Damages: \$6,000.00

Customer Complaint Information

Date Complaint Received: 12/19/2008

Complaint Pending? No

Status: Denied

Status Date: 01/15/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement [CUSTOMER] WAS INFORMED OF THE PRODUCT AND ITS FEATURES, WHICH DID NOT INCLUDE A PRINCIPAL PROTECTION RIDER. TO THE BEST OF MY KNOWLEDGE, [CUSTOMER] RECEIVED HIS STATEMENTS FOR THE PAST THREE YEARS WHICH SHOWED HIS ACCOUNT BALANCES.



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: CAPITAL ONE INVESTMENT SERVICES LLC
Termination Type: Discharged
Termination Date: 09/02/2008
Allegations: RR SENT EMAIL TO OUTSIDE PARTY WHICH CONTAINED CONFIDENTIAL CUSTOMER INFORMATION
Product Type: No Product
Other Product Types:

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Reporting Source: Individual
Firm Name: CAPITAL ONE FINANCIAL ADVISORS
Termination Type: Discharged
Termination Date: 09/02/2008
Allegations: RR SENT EMAIL TO OUTSIDE PARTY WHICH CONTAINED CONFIDENTIAL CUSTOMER INFORMATION
Product Type: No Product
Other Product Types:

Broker Statement I SENT AN EMAIL TO MY BEST FRIEND TO HELP ME SORT AND ORGANIZE AN EXCEL SPREADSHEET. THERE WAS NEVER ANY MALICIOUS INTENT, AND THE INFO WAS NEVER USED IN A SINISTER MANNER.



End of Report

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