



IAPD Report

Anthony Gurrieri

CRD# 2974522

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

i 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

Anthony Gurrieri (CRD# 2974522)

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 **05/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	01/06/2012
IA	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	09/25/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	WORLD GROUP SECURITIES, INC.	114473	OAKBROOK TERRACE, IL	04/12/2002 - 01/06/2012
B	WMA SECURITIES, INC.	32625	DULUTH, GA	06/29/1998 - 04/12/2002

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

Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**
Main Address: TWO LIBERTY PLACE
50 SOUTH 16TH STREET, SUITE 3700
PHILADELPHIA, PA 19102
Firm ID#: 16164

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	01/06/2012
B	FINRA	Investment Co./Variable Contracts Prin	Approved	01/06/2012
B	Alaska	Agent	Approved	12/21/2022
B	Arkansas	Agent	Approved	03/25/2024
B	California	Agent	Approved	01/06/2012
B	Colorado	Agent	Approved	05/22/2026
B	Florida	Agent	Approved	03/06/2014
B	Illinois	Agent	Approved	01/06/2012
IA	Illinois	Investment Adviser Representative	Approved	09/25/2017
B	Minnesota	Agent	Approved	03/20/2026
B	Texas	Agent	Approved	04/29/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	04/29/2019
B	Wisconsin	Agent	Approved	01/06/2012



Qualifications

Regulator	Registration	Status	Date
-----------	--------------	--------	------

Branch Office Locations

TRANSAMERICA FINANCIAL ADVISORS, LLC
ONE TRANS AM PLAZA
OAKBROOK TERRACE, IL 60181




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
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/07/1999

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/26/1998

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/23/2017
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/29/1998

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	04/12/2002 - 01/06/2012	WORLD GROUP SECURITIES, INC.	CRD# 114473	OAKBROOK TERRACE,
B	06/29/1998 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA

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
10/2023 - Present	WealthWave	NA	Y	Oakbrook Terrace, IL, United States
11/2020 - Present	Apollo Agency	Referral Agent	Y	Chicago, IL, United States
11/2020 - Present	College Loan Freedom	referral partner	N	Henderson, NV, United States
11/2020 - Present	College Loan Freedom	Referral Partner	Y	Henderson, NV, United States
02/2020 - Present	Evolve Financial Advocates Inc	President	Y	Glen Ellyn, IL, United States
03/2019 - Present	Healthcare Solutions	Referral Associate	Y	Lombard, IL, United States
06/2012 - Present	HEARTLAND FINANCIAL INSTITUTE	FINANCIAL EDUCATOR	Y	CHICAGO, IL, United States
01/2012 - Present	TRANSAMERICA FINANCIAL ADVISORS, INC	Mass Transfer	Y	OAKBROOK TERRACE, IL, United States
06/2010 - Present	UNITE EVENTS	JOINT ACCOUNT HOLDER	Y	OAKBROOK TERRACE, IL, United States
11/2007 - Present	UNITE FINANCIAL GROUP, LLC	PARTNER	Y	OAKBROOK, IL, United States
06/2001 - Present	WFG	ASSOCIATE	Y	OAKBROOK TERRACE, IL, United States
07/2021 - 11/2025	LSPN Pro, LLC	Independent Rep	Y	Lindon, UT, United States
07/2013 - 02/2023	DEBTMERICA, LLC	REFERRAL PERSON	N	SANTA ANA, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2010 - 02/2021	AKG FINANCIAL GROUP	ACCT USED TO OPERATE EXPENSES FOR PERSONAL EQUIPMENT AND SUPPLY	N	CHICAGO, IL, 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.

Sales of insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors (TFA).

HEARTLAND INSTITUTE FOR FINANCIAL EDUCATION, AURORA, CO, START DATE 7-2-2012, NOT INVESTMENT RELATED REGISTRY INSTRUCTOR, 10-20 HRS/WEEK

UNITE FINANCIAL GROUP, TERRACE, IL, START DATE 4-2002, NOT INVESTMENT RELATED, PARTNER, 25 % OWNERSHIP IN OFFICE CONDO, 0 HRS

UNITE EVENTS, OAKBROOK TERRACE, IL, START DATE 06-2010 NOT INVESTMENT RELATED, ACCOUNT HOLDER, 0 HRS

Healthcare Solutions / 0319-Present / INVESTMENT RELATED: NO / 1900 S. Highland Ave. Lombard, IL 60148 / Referral Associate / Health Insurance / hrs work monthly: 1 / Sec trading hrs: 1 / I will be referring people to this company for health insurance policies.

Evolve Financial Advocates Inc; Investment Related/No; 22W065 Glen Valley Dr. Glen Ellyn, IL 60137; President 2/11/2020; Pass through account; hrs/month 0; hrs during sec. trading 0; Pass through account

Apollo Agency/No/747 N LaSalle Dr. 200 Chicago, IL 60654/Referral Agent/11/19/2020/Heath Insurance Sales/4/0/Referring business/approved with Restrictions

College Loan Freedom / 1120-Present / Investment Related: No / 129 W. Lake Mead Parkway #19 Henderson, NV 89015 / Referral Partner / Document Preparation / Hrs. Work Monthly: 4 / Sec Trading Hrs: 0 / Referring people who need help.

COLLEGE LOAN FREEDOM

POSITION: referral partner NATURE: referral partner INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2020

ADDRESS: 129 W Lake Mead Pkwy, Henderson NV 89015, United States

DESCRIPTION: Send contact information to College Loan Freedom and they reach out to contact



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:	WMA SECURITIES, INC.
Allegations:	CUSTOMER ALLEGES THAT THE REGISTERED REPRESENTATIVE MISREPRESENTED THE VARIABLE UNIVERSAL LIFE INSURANCE POLICY ISSUED IN JANUARY 1999.
Product Type:	Insurance
Alleged Damages:	\$10,100.00

Customer Complaint Information

Date Complaint Received:	03/31/2009
Complaint Pending?	No
Status:	Denied
Status Date:	04/08/2009
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	THE COMPLAINT HAS BEEN DENIED BY THE PRODUCT PROVIDER.

Disclosure 2 of 3

Reporting Source:	Individual
--------------------------	------------



Employing firm when activities occurred which led to the complaint: WMA SECURITIES, INC.

Allegations: CLIENTS ARE ALLEGING VUL AND VA ARE UNSUITABLE

Product Type: Insurance

Other Product Type(s): ANNUITIES

Alleged Damages: \$52,287.91

Customer Complaint Information

Date Complaint Received: 11/19/2004

Complaint Pending? No

Status: Denied

Status Date: 12/06/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement MR. & MRS. WITOWICZ HAVE BOTH DECIDED TO KEEP THEIR VUL DESPITE THIS COMPLAINT.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WMA SECURITIES, INC.

Allegations: CLIENT ALLEGES HE THOUGHT HE PURCHASED A RETIREMENT VEHICLE, BUT NOW REALIZES HE BOUGHT A LIFE INSURANCE WHEN SOLD HIS VARIABLE UNIVERSAL LIFE POLICY ISSUED 2/15/99.

Product Type: Insurance

Alleged Damages: \$7,400.00

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: 05/21/2001

Complaint Pending? No

Status: Denied

Status Date: 05/30/2001

Settlement Amount:

Individual Contribution Amount:



End of Report

This page is intentionally left blank.