



IAPD Report

ANGELO JOSEPH COPPOLINO

CRD# 3003467

<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

ANGELO JOSEPH COPPOLINO (CRD# 3003467)

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 **09/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	AVANTAX ADVISORY SERVICES	104556	CRANFORD, NJ	10/25/2019 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	CRANFORD, NJ	10/25/2019 - 09/05/2025
IA	1ST GLOBAL ADVISORS INC	111133	CRANFORD, NJ	03/06/2006 - 10/25/2019

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
Regulatory Event	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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/05/2025
B New Jersey	Agent	Approved	09/05/2025
B Ohio	Agent	Approved	09/05/2025
B Virginia	Agent	Approved	09/23/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
340 NORTH AVENUE
3RD FLOOR
CRANFORD, NJ 07016

CETERA ADVISOR NETWORKS LLC
601 OLD FORGE LANE
FRANKLIN LAKES, NJ 07417

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC



Qualifications

601 OLD FORGE LANE
FRANKLIN LAKES, NJ 07417

CETERA INVESTMENT ADVISERS LLC
340 NORTH AVENUE
3RD FLOOR
CRANFORD, NJ 07016



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

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	11/30/1998
---	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/04/1998
--	-----------	------------

B Uniform Securities Agent State Law Examination (S63)	Series 63	07/29/1998
---	-----------	------------

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
IA	10/25/2019 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	CRANFORD, NJ
B	10/25/2019 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	CRANFORD, NJ
IA	03/06/2006 - 10/25/2019	1ST GLOBAL ADVISORS INC	CRD# 111133	CRANFORD, NJ
B	12/07/1998 - 10/25/2019	1ST GLOBAL CAPITAL CORP.	CRD# 30349	CRANFORD, NJ

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	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	CRANFORD, NJ, United States
10/2002 - Present	MS INVESTMENT PARTNERS, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	CRANFORD, NJ, United States
05/1974 - Present	MOORE STEPHENS, P.C.	OTHER - CPA	N	CRANFORD, NJ, United States
10/2019 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	CRANFORD, NJ, United States
10/2019 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	CRANFORD, NJ, United States
03/2006 - 10/2019	1ST GLOBAL ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CRANFORD, NJ, United States
01/1998 - 10/2019	1ST GLOBAL CAPITAL CORP.	FINANCIAL ADVISOR	Y	CRANFORD, NJ, 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) MS INVESTMENT PARTNERS, LLC

POSITION: REFERRING ADVISOR NATURE: FIXES INSUANCE, DISABILITY INSURANCE INVESTMENT RELATED: Yes

NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 3 START DATE:

ADDRESS: , Cranford NJ , United States

DESCRIPTION: THE SERVICING OF AN EXISTING POLICY NOT SOLD THROUGH 1ST GLOBAL INSURANCE SERVICES, INC.

2) MOORE STEPHENS, P.C.; OTHER - CPA; NIR; 05/01/1974;



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	CENSURE
Date Initiated:	05/19/1999
Docket/Case Number:	REL. 34-41425, AAE-1135, FILE #3-9903
Employing firm when activity occurred which led to the regulatory action:	MOORE STEPHENS, P.C.
Product Type:	No Product
Other Product Type(s):	
Allegations:	+07/27/2001+ ** +05/21/99+ SEC NEWS DIGEST, ISSUE #99-96, DATED 05/19/1999, ENFORCEMENT PROCEEDINGS, AND SEC LITIGATION RELEASE #41425, DATED 05/19/1999, DISCLOSES: THE SEC HAS INSTITUTED A PUBLIC ADMINISTRATIVE PROCEEDING AGAINST ANGELO J. COPPOLINO ("COPPOLINO" OR "RESPONDENT") PURSUANT TO SECTION 21C OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT"), AND RULES 102(E)(1)(II) AND (III)[1] OF THE SEC'S RULES OF PRACTICE. THE RESPONDENT COPPOLINO, A CERTIFIED PUBLIC ACCOUNTANT, IS ALSO A PRINCIPAL OF A PUBLIC ACCOUNTING FIRM ("FIRM"). THE RESPONDENT FAILED TO COMPLY WITH ESTABLISHED STANDARDS OF AUDITOR INDEPENDENCE IN CONNECTION WITH FIRM'S AUDITS OF THE FINANCIAL STATEMENTS OF SEVEN PUBLICLY-HELD ISSUERS FOR VARYING PERIODS BETWEEN 1992 AND 1998.



Current Status: Final

Resolution: Order

Resolution Date: 05/19/1999

Sanctions Ordered: Cease and Desist/Injunction
Censure

Other Sanctions Ordered: ORDERED TO ATTEND CONTINUING PROFESSIONAL EDUCATION COURSES.

Sanction Details: THE SEC TODAY CENSURED RESPONDENT COPPOLINO FOR VIOLATING THE AUDITOR INDEPENDENCE RULES; THE RESPONDENT, PURSUANT TO SECTION 21C OF THE EXCHANGE ACT, CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATION AND ANY FUTURE VIOLATION OF RULE 2-02 OF REGULATION S-X, SECTION 13(A) OF THE EXCHANGE ACT, AND RULE 13A-1 THEREUNDER; AND ORDERED THAT RESPONDENT ATTEND CONTINUING PROFESSIONAL EDUCATION COURSES.

Regulator Statement THE RESPONDENT CONSENTED WITHOUT ADMITTING OR DENYING THE FINDINGS, THE SEC FINDS THAT THE RESPONDENT, THROUGH FIRM, ISSUED AUDIT REPORTS ON THE FINANCIAL STATEMENTS OF SEVEN PUBLIC COMPANIES FOR VARYING PERIODS FROM 1992 THROUGH 1998 WHILE IT WAS NOT INDEPENDENT OF THOSE COMPANIES. THE SEC FINDS THAT FIRM'S INDEPENDENCE WAS IMPAIRED BY SECURITIES OWNERSHIP, INVESTMENT RELATIONSHIPS AND LOANS BETWEEN ANOTHER PRINCIPAL OF FIRM ("ANOTHER PRINCIPAL"), AND CERTAIN OF THE FIRM'S AUDIT CLIENTS OR DIRECTORS OR PRINCIPAL SHAREHOLDERS OF THE AUDIT CLIENTS. THE SEC FINDS THAT COPPOLINO, CHAIR OF FIRM'S ACCOUNTING AND AUDITING COMMITTEE, PERMITTED ANOTHER PRINCIPAL AND THE FIRM TO GO FORWARD AS AUDITOR OF THOSE CLIENTS WITHOUT MAKING SUFFICIENT INQUIRY, AND THAT ANOTHER PRINCIPAL PARTICIPATED AS ENGAGEMENT OR CONCURRING PARTNER IN CERTAIN OF THE AUDITS WHEN SHE KNEW OF CERTAIN OF THE FACTS THAT IMPAIRED INDEPENDENCE. THE SEC FINDS THAT THE RESPONDENT FAILED TO COMPLY WITH RULE 2-02 OF REGULATION S-X, CAUSED AND WILLFULLY AIDED AND ABETTED VIOLATIONS OF SECTION 13(A) OF THE SECURITIES EXCHANGE ACT OF 1934, AND RULE 13A-1 THEREUNDER AND ENGAGED IN IMPROPER PROFESSIONAL CONDUCT WITHIN THE MEANING OF RULE 102(E)(1)(II) OF THE SEC'S RULES OF PRACTICE.

Reporting Source: Individual

Regulatory Action Initiated By: US SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Censure

Other Sanction(s) Sought: CEASE & DESIST FROM VIOLATING RULE 2-02 OF REG S-X AND SECTION 13(A) AND RULE 13A-1 OF THE EXCHANGE ACT

Date Initiated: 05/19/1999

Docket/Case Number: ADM PROCEEDING # 3-9903; REL # 34-41425

Employing firm when activity occurred which led to the regulatory action: 1ST GLOBAL CAPITAL CORP.

Product Type: No Product



Other Product Type(s):

Allegations: ALLEGED VIOLATIONS OF THE SEC INDEPENDENT AUDITOR RULES

Current Status: Final

Resolution: Order

Resolution Date: 05/19/1999

Sanctions Ordered: Cease and Desist/Injunction
Censure

Other Sanctions Ordered: WITHIN ONE YEAR, HAD TO COMPLETE 40 HOURS OF AUDITING & ACCOUNTING CPE WITH 15 HRS COVERING PROFESSIONAL ETHICS. THIS WAS COMPLETED TIMELY BY MAY 19, 2000.

Sanction Details: CENSURE, CEASE AND DESIST, WITHIN ONE YEAR, HAD TO COMPLETE 40 HOURS OF AUDITING & ACCOUNTING CPE WITH 15 HRS COVERING PROFESSIONAL ETHICS. THIS WAS COMPLETED TIMELY BY MAY 19, 2000.

Broker Statement ONLY REASON I WAS ADDED TO ACTION WAS DUE TO MY ROLE AS CHAIRMAN OF THE A&A COMMITTEE OF MY FIRM. I WAS DIRECTLY INVOLVED IN THE INDEPENDENCE VIOLATIONS WHICH INVOLVED 3 OF MY PARTNERS. SEC FELT I SHOULD HAVE KNOWN WHAT THEY WERE DOING AND ADVISED THEM ACCORDINGLY.



End of Report

This page is intentionally left blank.