IAPD Report

ANTHONY LOPOPOLO

CRD# 3054422

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 LOPOPOLO (CRD# 3054422)

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 **06/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	06/09/2021
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA	06/09/2021 - 06/29/2023
IA	VOYA FINANCIAL ADVISORS, INC.	2882	Worcester, MA	08/21/2014 - 06/09/2021
B	VOYA FINANCIAL ADVISORS, INC.	2882	Worcester, MA	02/28/2014 - 06/09/2021

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
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 **25** 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	06/09/2021
B	Arizona	Agent	Approved	06/09/2021
B	California	Agent	Approved	06/09/2021
B	Colorado	Agent	Approved	01/05/2024
B	Connecticut	Agent	Approved	06/09/2021
B	Florida	Agent	Approved	06/11/2021
B	Georgia	Agent	Approved	06/09/2021
B	Hawaii	Agent	Approved	01/29/2025
B	Kansas	Agent	Approved	01/04/2024
B	Maine	Agent	Approved	06/09/2021
B	Maryland	Agent	Approved	01/10/2024
B	Massachusetts	Agent	Approved	06/09/2021
B	Michigan	Agent	Approved	01/08/2024

Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	01/11/2024
B	New Hampshire	Agent	Approved	06/09/2021
B	New Jersey	Agent	Approved	01/04/2024
B	New York	Agent	Approved	06/09/2021
B	North Carolina	Agent	Approved	06/09/2021
B	Ohio	Agent	Approved	01/11/2022
B	Pennsylvania	Agent	Approved	06/09/2021
B	Rhode Island	Agent	Approved	06/09/2021
B	South Carolina	Agent	Approved	06/09/2021
B	Texas	Agent	Approved	06/09/2021
B	Utah	Agent	Approved	01/09/2024
B	Vermont	Agent	Approved	10/26/2021
B	Virginia	Agent	Approved	06/09/2021

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
324 Grove Street
Worcester, MA 01605

CETERA ADVISOR NETWORKS LLC
208 BONNET STREET
MANCHESTER CENTER, VT 05255

CETERA ADVISOR NETWORKS LLC
Sandwich, MA

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Qualifications

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/29/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
324 Grove Street
Worcester, MA 01605

CETERA INVESTMENT ADVISERS LLC
208 Bonnet Street
Manchester Center, VT 05255

CETERA INVESTMENT ADVISERS LLC
Sandwich, MA

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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/23/2001

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	07/21/1998

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/31/1998

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	06/09/2021 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
IA	08/21/2014 - 06/09/2021	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	Worcester, MA
B	02/28/2014 - 06/09/2021	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	Worcester, MA
IA	07/23/2013 - 03/05/2014	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WORCESTER, MA
B	07/27/1998 - 03/05/2014	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WORCESTER, MA
IA	07/05/2007 - 10/11/2007	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WORCESTER, MA
B	07/27/1998 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
05/2025 - Present	ARCHSTONE FINANCIAL PARTNERS	OWNER	Y	WORCESTER, MA, United States
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2021 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	El Segundo, CA, United States
09/2014 - 06/2021	VOYA FINANCIAL ADVISORS	REG REP	Y	WORCESTER, MA, 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. NAME OF ENTITY:Archstone Group; Yes; 329 GROVE ST; WORCESTER; MA; 1605; Financial Services/DBA; Managing Partner; 5/1/2015; 160; 160; Sale of fixed insurance, securities, and investment products.

2. NAME OF ENTITY:Archstone Financial; Yes; 347 GROVE ST; WORCESTER; MA; 1605; Financial Services/DBA; Managing

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Partner; 5/1/2015; 160; 160; Sale of fixed insurance, securities, and investment products.

3. NAME OF ENTITY: Independent Insurance Agent; Yes; 340 GROVE ST; WORCESTER; MA; 1605; fixed insurance sales; independent insurance agent; 2/28/2014; 160; 160; sales of fixed insurance

4. NAME OF ENTITY:Anthony Lopopolo- Fishing; No; 215 Ball Hill Road; Princeton; MA; 01541; Commercial Fishing; Owner; 9/1/2020; 8; 0; Commercial fishing permit for Tuna and have the ability to sell Bluefin Tuna;

5. NAME OF OTHER BUSINESS: ARCHSTONE FINANCIAL PARTNERS;
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 5/2025,
POSITION/TITLE/RELATIONSHIP: OWNER,
APX NUMBER OF HOURS PER WEEK: 10,
APX NUMBER OF HOURS DURING TRADING HOURS: 5,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

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
Customer Dispute	1
Termination	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:	MASSACHUSETTS
Sanction(s) Sought:	Cease and Desist Denial
Date Initiated:	05/21/2014
Docket/Case Number:	R-2014-0042
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	ING FINANCIAL PARTNERS, INC.
Product Type:	No Product
Allegations:	LOPOPOLO RESIGNED FROM AMERIPRISE FINANCIAL SERVICES, INC. WHILE HE WAS UNDER SUSPENSION FOR VIOLATIONS OF COMPANY POLICY REGARDING THE SIGNING OF SEVERAL CUSTOMER SIGNATURES ON CUSTOMER DOCUMENTS BY LOPOPOLO. AT FIRST LOPOPOLO DENIED AFFIXING A CLIENT'S SIGNATURE TO A CUSTOMER FORM. HE LATER REVERSED HIS DENIAL AND ADMITTED TO SIGNING THE FORM. HE ALSO ADMITTED TO SIGNING CUSTOMER DOCUMENTS FOR CLIENTS ON 3 TO 4 OCCASIONS.
Current Status:	Final
Limitation Details:	LOPOPOLO MAY NOT EFFECT TRANSACTIONS IN SECURITIES BECAUSE IS NOT REGISTERED IN MASSACHUSETTS AS AN AGENT OF ING.

Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/07/2014
Sanctions Ordered:	Other: Annual attestation of compliance. Conditional registration terms.
Regulator Statement	THE RICE SECTION SEEKS AN ORDER: 1) REQUIRING LOPOPOLO TO PERMANENTLY CEASE AND DESIST FROM FURTHER CONDUCT IN VIOLATION OF THE ACT AND REGULATIONS IN THE COMMONWEALTH; 2) DENYING THE APPLICATION OF LOPOPOLO FOR REGISTRATION AS A BROKER-DEALER AGENT IN THE COMMONWEALTH; AND 3) TAKING ANY SUCH FURTHER ACTIONS WHICH MAY BE NECESSARY AND APPROPRIATE IN THE PUBLIC INTEREST AND FOR THE PROTECTION OF INVESTORS AND CONSISTENT WITH THE PURPOSES FAIRLY INTENDED BY THE POLICY AND PROVISIONS OF THE MASSACHUSETTS UNIFORM SECURITIES ACT.

Reporting Source:	Individual
Regulatory Action Initiated By:	MASSACHUSETTS SECURITIES DIVISION OF REGISTRATION, INSPECTIONS, COMPLIANCE AND EXAMINATIONS "RICE SECTION"
Sanction(s) Sought:	Cease and Desist Denial
Date Initiated:	05/21/2014
Docket/Case Number:	R-2014-0042
Employing firm when activity occurred which led to the regulatory action:	AMERIPRISE FINANCIAL SERVICES, INC
Product Type:	No Product
Allegations:	LOPOPOLO RESIGNED FROM AMERIPRISE FINANCIAL SERVICES, INC. WHILE HE WAS UNDER SUSPENSION FOR VIOLATIONS OF COMPANY POLICY REGARDING AFFIXING OF CUSTOMER SIGNATURES ON CUSTOMER DOCUMENTS BY LOPOPOLO.
Current Status:	Final
Action Appealed To:	State Agency or Commission
Date Appeal filed:	
Appeal Limitation Details:	
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	08/07/2014
Sanctions Ordered:	Other: REPRESENTATIVE WILL BE SUBJECT TO A PLAN OF HEIGHTENED SUPERVISION FOR A PERIOD OF TWO YEARS.

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:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	CLAIMANT ALLEGES SHE WAS SOLD AN UNSUITABLE REIT AND VARIABLE ANNUITY, AND WAS CHARGED EXCESSIVE FEES. SHE ALSO CLAIMS THAT HER ADVISOR FAILED TO PROPERLY DISCLOSE THE RISKS AND FEES OF THE INVESTMENTS, AND BREACHED HIS FIDUCIARY DUTY TO CLAIMANT. SHE REQUESTS RESCISSION OF THE INVESTMENTS AND WAIVER OF CHARGES, AS WELL AS AN UNSPECIFIED AMOUNT IN COMPENSATORY, PUNITIVE, AND TREBLE DAMAGES.
Product Type:	Mutual Fund Other: REAL ESTATE INVESTMENT TRUST
Alleged Damages:	$0.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA-NY
Docket/Case #:	14-03145
Filing date of arbitration/CFTC reparation or civil litigation:	10/15/2014

Customer Complaint Information

Date Complaint Received:	10/15/2014
Complaint Pending?	No
Status:	Settled
Status Date:	08/31/2017
Settlement Amount:	$105,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	Claimant alleges she was sold an unsuitable REIT and variable annuity, and was charged excessive fees. She also claims that her advisor failed to properly disclose the risks and fees of the investments, and breached his fiduciary duty to claimant. She requests rescission of the investments and waiver of charges, as well as an unspecified amount in compensatory, punitive, and treble damages.
Product Type:	Mutual Fund Other: Real Estate Investment Trust
Alleged Damages:	$0.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA-NY
Docket/Case #:	14-03145
Filing date of arbitration/CFTC reparation or civil litigation:	10/15/2014

Customer Complaint Information

Date Complaint Received:	10/15/2014
Complaint Pending?	No
Status:	Settled
Status Date:	08/31/2017
Settlement Amount:	$105,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The investment strategies recommended were based on a comprehensive financial plan, and were designed to meet the client's stated retirement income needs as well as to ensure adequate liquid resources remain available. The Variable Annuity as well as the REIT strategies were first reviewed and approved by Ameriprise Trade Review prior to being executed. All fees were reviewed and documented in detail with the client prior to execution, as well as during ongoing review meetings/calls. As a result, both Ameriprise and FINRA reviewed and closed the client complaint without finding; Ameriprise doing so on 8/12/14 and FINRA on 4/14/15. The client filed FINRA arbitration where the representative is not a named party.

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:	AMERIPRISE FINANCIAL SERVICES, INC.
Termination Type:	Permitted to Resign
Termination Date:	02/28/2014
Allegations:	ADVISOR RESIGNED WHILE UNDER SUSPENSION FOR COMPANY POLICY VIOLATIONS RELATED TO SIGNATURE AFFIXATION AND FORGERY.
Product Type:	Other: BROKERAGE

Reporting Source:	Individual
Firm Name:	AMERIPRISE FINANCIAL SERVICES, INC.
Termination Type:	Permitted to Resign
Termination Date:	02/28/2014
Allegations:	ADVISOR RESIGNED WHILE UNDER SUSPENSION FOR COMPANY POLICY VIOLATIONS RELATED TO SIGNATURE AFFIXATION AND FORGERY.
Product Type:	Other: BROKERAGE

End of Report

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