



IAPD Report

Troy Talamelli

CRD# 3088305

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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

Troy Talamelli (CRD# 3088305)

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 **04/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALLY INVEST SECURITIES LLC	CRD# 136131	06/27/2024
IA	ALLY INVEST ADVISORS	CRD# 170301	06/27/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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	FIRST CITIZENS INVESTOR SERVICES, INC.	44430	Charlotte, NC	12/12/2022 - 03/28/2024
B	FIRST CITIZENS INVESTOR SERVICES, INC.	44430	Charlotte, NC	12/09/2022 - 03/28/2024
IA	LPL FINANCIAL LLC	6413	SAN DIEGO, CA	01/24/2019 - 11/25/2022

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



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

Employment 1 of 2

Firm Name: **ALLY INVEST SECURITIES LLC**
Main Address: 601 S TRYON STREET
SUITE 100
CHARLOTTE, NC 28202
Firm ID#: 136131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/27/2024
B	FINRA	General Securities Representative	Approved	06/27/2024
B	FINRA	Registered Options Principal	Approved	10/24/2025
B	FINRA	Municipal Securities Representative	Approved	02/25/2026
B	FINRA	Municipal Securities Principal	Approved	03/13/2026
B	FINRA	Financial and Operations Principal	Approved	04/22/2026
B	Alabama	Agent	Approved	06/28/2024
B	Alaska	Agent	Approved	07/19/2024
B	Arizona	Agent	Approved	07/09/2024
B	Arkansas	Agent	Approved	07/01/2024
B	California	Agent	Approved	06/28/2024
B	Colorado	Agent	Approved	07/01/2024
B	Connecticut	Agent	Approved	06/27/2024



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	07/03/2024
B District of Columbia	Agent	Approved	07/09/2024
B Florida	Agent	Approved	06/28/2024
B Georgia	Agent	Approved	06/28/2024
B Hawaii	Agent	Approved	08/29/2024
B Idaho	Agent	Approved	06/27/2024
B Illinois	Agent	Approved	07/23/2024
B Indiana	Agent	Approved	06/28/2024
B Iowa	Agent	Approved	07/02/2024
B Kansas	Agent	Approved	06/28/2024
B Kentucky	Agent	Approved	07/02/2024
B Louisiana	Agent	Approved	07/01/2024
B Maine	Agent	Approved	06/28/2024
B Maryland	Agent	Approved	07/05/2024
B Massachusetts	Agent	Approved	06/28/2024
B Michigan	Agent	Approved	07/01/2024
B Minnesota	Agent	Approved	06/28/2024
B Mississippi	Agent	Approved	07/01/2024
B Missouri	Agent	Approved	07/23/2024



Qualifications

Regulator	Registration	Status	Date
B Montana	Agent	Approved	07/03/2024
B Nebraska	Agent	Approved	06/28/2024
B Nevada	Agent	Approved	06/27/2024
B New Hampshire	Agent	Approved	07/01/2024
B New Jersey	Agent	Approved	06/27/2024
B New Mexico	Agent	Approved	06/28/2024
B New York	Agent	Approved	07/08/2024
B North Carolina	Agent	Approved	06/28/2024
B North Dakota	Agent	Approved	07/03/2024
B Ohio	Agent	Approved	06/28/2024
B Oklahoma	Agent	Approved	07/01/2024
B Oregon	Agent	Approved	07/01/2024
B Pennsylvania	Agent	Approved	07/01/2024
B Puerto Rico	Agent	Approved	07/10/2024
B Rhode Island	Agent	Approved	06/28/2024
B South Carolina	Agent	Approved	07/03/2024
B South Dakota	Agent	Approved	06/27/2024
B Tennessee	Agent	Approved	06/28/2024
B Texas	Agent	Approved	06/27/2024



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	06/27/2024
B Vermont	Agent	Approved	06/28/2024
B Virginia	Agent	Approved	06/28/2024
B Washington	Agent	Approved	06/28/2024
B West Virginia	Agent	Approved	07/03/2024
B Wisconsin	Agent	Approved	07/01/2024
B Wyoming	Agent	Approved	07/15/2024

Branch Office Locations

601 S. Tryon St.
Suite 100
Charlotte, NC 28202

Employment 2 of 2

Firm Name: **ALLY INVEST ADVISORS**
Main Address: 601 S. TRYON STREET
SUITE 100
CHARLOTTE, NC 28202
Firm ID#: 170301

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	06/27/2024

Branch Office Locations

ALLY INVEST ADVISORS
601 S. TRYON STREET
SUITE 100
CHARLOTTE, NC 28202







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 4 principal/supervisory exams, 4 general industry/product exams, and 3 state securities law exams.





Principal/Supervisory Exams

	Exam	Category	Date
	Financial and Operations Principal Examination (S27)	Series 27	04/22/2026
	Municipal Securities Principal Examination (S53)	Series 53	03/13/2026
	Registered Options Principal Examination (S4)	Series 4	10/24/2025
	General Securities Principal Examination (S24)	Series 24	08/02/2017

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	02/25/2026
	Securities Industry Essentials Examination (SIE)	SIE	11/30/2017
	Futures Managed Funds Examination (S31)	Series 31	09/21/1998
	General Securities Representative Examination (S7)	Series 7	08/24/1998

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	12/23/2010
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/08/1998
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/04/1998



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	12/12/2022 - 03/28/2024	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	Charlotte, NC
B	12/09/2022 - 03/28/2024	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	Charlotte, NC
IA	01/24/2019 - 11/25/2022	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	01/22/2019 - 11/25/2022	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	08/23/2013 - 11/30/2017	ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC	CRD# 25567	SAN DIEGO, CA
IA	10/05/2012 - 08/23/2013	AXA ADVISORS, LLC	CRD# 6627	MILFORD, CT
B	06/21/2012 - 08/23/2013	AXA ADVISORS, LLC	CRD# 6627	MILFORD, CT
IA	02/02/2011 - 11/15/2011	ING INVESTMENT MANAGEMENT CO.	CRD# 106494	NEW YORK, NY
B	09/21/2009 - 11/15/2011	ING INVESTMENTS DISTRIBUTOR, LLC	CRD# 37886	WINDSOR, CT
B	03/09/2007 - 09/11/2009	LEGG MASON INVESTOR SERVICES, LLC	CRD# 109064	STAMFORD, CT
B	10/15/2003 - 02/26/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	01/28/2000 - 02/11/2003	AMERICAN SKANDIA MARKETING, INC.	CRD# 21570	SHELTON, CT
B	08/25/1998 - 08/30/1999	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
06/2024 - Present	Ally Invest Advisors	Specialist - Invest Premr Svcs	Y	Charlotte, NC, United States
06/2024 - Present	Ally Invest Securities LLC	Specialist - Invest Premr Svcs	Y	Charlotte, NC, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2024 - 06/2024	Unemployed	Unemployed	N	Charlotte, NC, United States
11/2022 - 03/2024	First Citizens Investor Services	Financial Consultant	Y	Raleigh, NC, United States
01/2019 - 11/2022	LPL FINANCIAL, LLC	HOME OFFICE EMPLOYEE	Y	San Diego, CA, United States
11/2017 - 01/2019	Unemployed	Unemployed	N	San Diego, CA, United States
08/2013 - 11/2017	Allianz Global Investors Distributors LLC	AVP, Sr. Internal Investment Consultant	Y	New York, NY, United States
08/2013 - 11/2017	Allianz Global Investors U.S. LLC	Associated Person	Y	New York, NY, 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.

No information reported.



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

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:	LPL FINANCIAL LLC
Allegations:	Customer alleged unsuitability
Product Type:	Other: managed/wrap account (in house money)
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	over 5000.00
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:	04/10/2023
Complaint Pending?	No
Status:	Settled
Status Date:	08/30/2023
Settlement Amount:	\$7,500.00
Individual Contribution	\$0.00

**Amount:**
.....

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: Received inquiry of complaint from LPL financial based on a transaction that occurred in 2022. Client account was rebalanced and discussed capital gain and tax implications based on agreed recommendation to the client. Per transaction and rebalancing, client was aware that capital gains would be incurred with this transaction. This was disclosed on a recorded line as well as in notes on the specific transaction in Salesforce. Managed accounts was aware of this transaction and it was disclosed that cost basis would be carried over to new re-allocated model. Based on clients risk tolerance, time horizon, and long term goals, the recommendation was a suitable investment and this complaint is based solely on Capital Gains and Taxes that client was aware of.

Product Type: Mutual Fund

Alleged Damages: \$7,500.00

Alleged Damages Amount Explanation (if amount not exact): Tax related

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: 05/04/2023

Complaint Pending? No

Status: Settled

Status Date: 08/30/2023

Settlement Amount: \$7,500.00

Individual Contribution Amount: \$0.00

Broker Statement Received inquiry of complaint from LPL financial based on a transaction that occurred in 2022. Client account was rebalanced and discussed capital gain and tax implications based on agreed recommendation to the client. Per transaction and rebalancing, client was aware that capital gains would be incurred with this transaction. This was disclosed on a recorded line as well as in notes on the specific transaction in Salesforce. Managed accounts was aware of this transaction and it was disclosed that cost basis would be carried over to new re-allocated model. Based on clients risk tolerance, time horizon, and long term goals, the recommendation was a suitable investment and this complaint is based solely on Capital Gains and Taxes that client was aware of.



End of Report

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