



IAPD Report

JOSEPH MICHAEL MATTIA

CRD# 3204235

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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

JOSEPH MICHAEL MATTIA (CRD# 3204235)

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 **06/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	USI ADVISORS	CRD# 108113	08/21/2023
B	USI SECURITIES, INC.	CRD# 43793	02/12/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	CHOREO, LLC	111221	SCHAUMBURG, IL	01/05/2017 - 04/18/2023
IA	LPL FINANCIAL LLC	6413	NAPERVILLE, IL	02/25/2005 - 01/27/2017
B	LPL FINANCIAL LLC	6413	NAPERVILLE, IL	01/28/2005 - 01/27/2017

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

Employment 1 of 2

Firm Name: **USI SECURITIES, INC.**
Main Address: 95 GLASTONBURY BLVD.
SUITE 102
GLASTONBURY, CT 06033
Firm ID#: 43793

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	02/12/2024
B Illinois	Agent	Approved	10/03/2024

Branch Office Locations

USI SECURITIES, INC.
222 S. Riverside Plaza, Suite 630
Chicago, IL 60606

Employment 2 of 2

Firm Name: **USI ADVISORS**
Main Address: 95 GLASTONBURY BLVD.
SUITE 102
GLASTONBURY, CT 06033
Firm ID#: 108113

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	08/21/2023

Branch Office Locations

USI ADVISORS
222 S Riverside Plaza
STE 900
Chicago, IL 60606



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, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	04/08/2009

General Industry/Product Exams

	Exam	Category	Date
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	10/10/2023
	Securities Industry Essentials Examination (SIE)	SIE	09/08/2023
	Futures Managed Funds Examination (S31)	Series 31	06/22/2010
	General Securities Representative Examination (S7)	Series 7	10/23/1999
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/10/1999

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/26/2024
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/24/2005

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	01/05/2017 - 04/18/2023	CHOREO, LLC	CRD# 111221	SCHAUMBURG, IL
IA	02/25/2005 - 01/27/2017	LPL FINANCIAL LLC	CRD# 6413	NAPERVILLE, IL
B	01/28/2005 - 01/27/2017	LPL FINANCIAL LLC	CRD# 6413	NAPERVILLE, IL
B	06/04/2001 - 02/02/2005	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	06/11/1999 - 05/24/2001	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA

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
05/2023 - Present	USI Advisors	Investment Advisor Rep	Y	Glastonbury, CT, United States
05/2023 - Present	USI Consulting Group	VP, Retirement Services	Y	Glastonbury, CT, United States
05/2023 - Present	USI Securities	Registered Representative	Y	Glastonbury, CT, United States
12/2016 - 05/2023	RSM US WEALTH MANAGEMENT LLC	RETIREMENT PLAN ADVISOR	Y	SCHAUMBURG, IL, United States
02/2013 - 12/2016	MIDWEST PLAN ADVISORS LLC	RETIREMENT PLAN ADVISOR	Y	NAPERVILLE, IL, United States
01/2005 - 12/2016	LPL FINANCIAL, LLC	REG REP/INVESTMENT ADVISER REP	Y	NAPERVILLE, 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.

1) AXIS SATELITE, LLC. NOT INVESTMENT RELATED. ADDRESS: 5790 ENTERPRISE PKWY FORT MEYERS FLORIDA 33905. NATURE OF THE BUSINESS: INSTALATION/SERVICING OF AUDIO/VIDEO EQUIPMENT & TECHNOLOGY FOR RESIDENTIAL AND COMMERCIAL CLIENTS. 17% OWNERSHIP, OTHER OWNERS INCLUDE: DANIEL LUCIER 78% & SHANNON KANIA 5%. TITLE: OWNER/SILENT PARTNER. START DATE OF ACTIVITY: 2/2021. 10 HOURS A YEAR, NOT



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DURING TRADING HOURS. INVESTED FUNDS INTO THE BUSINESS



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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Cook County IL
Location of Court:	Chicago IL
Docket/Case #:	CHARGE-III/720 ILCS 5-0/16-3-A, THEFT LABOR/SERVICES-CLASS A MISDEMEANOR III/CDD-19951213 STRICKEN OFF WITH LEAVE TO
Charge Date:	10/08/1995
Charge(s) 1 of 1	
Formal Charge(s)/Description:	CHARGE-III/720 ILCS 5-0/16-3-A, THEFT LABOR/SERVICES-CLASS A MISDEMEANOR III/CDD-19951213 STRICKEN OFF WITH LEAVE TO REINSTATE RECORD UPDATED 2023/05/18
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	no contest
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	10/08/1995
Disposition Date:	10/08/1995
Sentence/Penalty:	CHARGE-III/720 ILCS 5-0/16-3-A, THEFT LABOR/SERVICES-CLASS A MISDEMEANOR III/CDD-19951213 STRICKEN OFF WITH LEAVE TO REINSTATE



Broker Statement

AT age 24 and on the evening of a friend's bachelor party, I was one of three individuals who skipped out on a cab fare. Approximate value was less than \$25. Pleaded no contest. The theft charge was stricken off with leave to reinstate.



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 alleges that an investment made in 2014 was unsuitable for the customer's investment objectives and risk tolerance.
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Cannot be determined but over \$5,000.00.
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
Docket/Case #:	24-00611
Filing date of arbitration/CFTC reparation or civil litigation:	03/18/2024

Customer Complaint Information

Date Complaint Received:	03/19/2024
Complaint Pending?	No
Status:	Settled
Status Date:	05/06/2025
Settlement Amount:	\$6,000.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customer alleges that an investment made in 2014 was unsuitable for the



customer's investment objectives and risk tolerance.

Product Type: Real Estate Security

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Cannot be determined but over \$5,000.00

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

Docket/Case #: 24-00611

Filing date of arbitration/CFTC reparation or civil litigation: 03/18/2024

Customer Complaint Information

Date Complaint Received: 03/19/2024

Complaint Pending? No

Status: Settled

Status Date: 05/06/2025

Settlement Amount: \$6,000.00

Individual Contribution Amount: \$0.00

Broker Statement

This incident originated from a purchase made by former client [REDACTED] in 2014. While it wasn't specifically outlined, I believe it involved a non-publicly traded real estate security or REIT. I was not named as a respondent in the case and do not recall the specific holding in question. Based on standard procedure, the investment would have been one approved by LPL Financial for qualified investors, with all necessary disclosure documents thoroughly reviewed and signed by [REDACTED]. The transaction would have also met LPL Financial's suitability guidelines, which include specific requirements regarding the investor's net worth and liquidity assessed at the time of purchase. Ultimately, this case was settled by LPL Financial for business and economic reasons, with no involvement from me.



End of Report

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