



IAPD Report

LOUIS CUOMO

CRD# 4058531

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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

LOUIS CUOMO (CRD# 4058531)

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 **12/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TSG ALPHA PARTNERS, LLC	CRD# 319493	10/27/2023
B	TSG CAPITAL ADVISORS	CRD# 147509	11/27/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **38** 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 INVESTMENT ADVISERS LLC	105644	VERONA, NJ	02/17/2021 - 11/24/2021
B	CETERA INVESTMENT SERVICES LLC	15340	VERONA, NJ	02/16/2021 - 11/24/2021
B	J.P. MORGAN SECURITIES LLC	79	CEDAR GROVE, NJ	05/15/2018 - 12/18/2020

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
Financial	2



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

Employment 1 of 2

Firm Name: **TSG CAPITAL ADVISORS**
Main Address: 1200 VETERANS MEMORIAL HIGHWAY
SUITE 201
HAUPPAUGE, NY 11788
Firm ID#: 147509

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/27/2023
B Arizona	Agent	Approved	12/23/2024
B Arkansas	Agent	Approved	12/13/2024
B California	Agent	Approved	05/20/2025
B Colorado	Agent	Approved	01/21/2025
B Connecticut	Agent	Approved	06/06/2025
B District of Columbia	Agent	Approved	09/03/2025
B Florida	Agent	Approved	02/03/2025
B Georgia	Agent	Approved	06/06/2025
B Idaho	Agent	Approved	03/27/2025
B Illinois	Agent	Approved	03/31/2025
B Indiana	Agent	Approved	01/16/2025
B Iowa	Agent	Approved	05/09/2025



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	03/27/2025
B Kentucky	Agent	Approved	02/17/2025
B Louisiana	Agent	Approved	01/24/2025
B Maryland	Agent	Approved	05/27/2025
B Massachusetts	Agent	Approved	07/21/2025
B Michigan	Agent	Approved	07/28/2025
B Minnesota	Agent	Approved	04/01/2025
B Mississippi	Agent	Approved	02/13/2025
B Missouri	Agent	Approved	01/30/2025
B Nebraska	Agent	Approved	03/21/2025
B New Jersey	Agent	Approved	12/11/2024
B New York	Agent	Approved	12/12/2024
B North Carolina	Agent	Approved	06/12/2025
B Ohio	Agent	Approved	06/17/2025
B Oklahoma	Agent	Approved	06/09/2025
B Oregon	Agent	Approved	03/05/2025
B Pennsylvania	Agent	Approved	12/19/2024
B South Carolina	Agent	Approved	06/12/2025
B South Dakota	Agent	Approved	02/03/2025



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	05/21/2025
B Texas	Agent	Approved	12/14/2024
B Utah	Agent	Approved	03/27/2025
B Virginia	Agent	Approved	05/21/2025
B Washington	Agent	Approved	06/10/2025
B West Virginia	Agent	Approved	03/27/2025
B Wisconsin	Agent	Approved	07/17/2025

Branch Office Locations

35 Journal Sq.
Ste. 700
Jersey City, NJ 07036

Employment 2 of 2

Firm Name: **TSG ALPHA PARTNERS, LLC**
Main Address: 3663 ROUTE 9 N
SUITE 2
OLD BRIDGE, NJ 08857
Firm ID#: 319493

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	10/27/2023
IA New York	Investment Adviser Representative	Approved	11/20/2023
IA Texas	Investment Adviser Representative	Approved	09/01/2024

Branch Office Locations

TSG ALPHA PARTNERS, LLC
35 Journal Square



Qualifications

Jersey City, NJ 07306



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/23/2011

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	11/27/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/01/2005

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	12/10/2024
Uniform Combined State Law Examination (S66)	Series 66	11/17/2014

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	02/17/2021 - 11/24/2021	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	VERONA, NJ
B	02/16/2021 - 11/24/2021	CETERA INVESTMENT SERVICES LLC	CRD# 15340	VERONA, NJ
B	05/15/2018 - 12/18/2020	J.P. MORGAN SECURITIES LLC	CRD# 79	CEDAR GROVE, NJ
IA	05/15/2018 - 12/18/2020	J.P. MORGAN SECURITIES LLC	CRD# 79	CEDAR GROVE, NJ
IA	09/13/2016 - 05/18/2018	SANTANDER SECURITIES	CRD# 41791	LIVINGSTON, NJ
B	09/07/2016 - 05/18/2018	SANTANDER SECURITIES LLC	CRD# 41791	LIVINGSTON, NJ
IA	11/19/2014 - 09/01/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BUTLER, NJ
B	08/07/2014 - 09/01/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BUTLER, NJ
B	05/22/2013 - 07/31/2014	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	10/01/2008 - 05/20/2013	J.P. MORGAN SECURITIES LLC	CRD# 79	NEW YORK, NY
B	04/04/2005 - 10/01/2008	J.P. MORGAN SECURITIES INC.	CRD# 18718	NEW YORK, 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
05/2023 - Present	TSG Alpha Partners, LLC	RIA Representative	Y	Ronkonkoma, NY, United States
04/2023 - Present	NY Life Insurance Company/NY Life & Annuity Insurance Corp	Independent Insurance Agent	N	New York, NY, United States
07/2021 - Present	Fidelity and Guaranty Life Insurance Company	Independent Insurance Agent	N	Des Moines, IA, United States
03/2021 - Present	United Life Insurance Company	Independent Insurance Agent	N	Cedar Rapids, IA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2021 - Present	Security Benefit Life Insurance Company	Independent Insurance Agent	N	Topeka, KS, United States
12/2016 - Present	Principal Life Insurance Company	Independent Insurance Agent	N	Des Moines, IA, United States
10/2016 - Present	American National Insurance Company	Independent Insurance Agent	N	Springfield, MO, United States
09/2016 - Present	BrightHouse Life Insurance Company	Independent Insurance Agent	N	Charlotte, NC, United States
11/2021 - 11/2022	Cisco Fund Services	AVP Project Manager	Y	Jersey City, NJ, United States
02/2021 - 11/2021	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	VERONA, NJ, United States
02/2021 - 11/2021	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	ST. CLOUD, MN, United States
02/2021 - 11/2021	INVESTORS BANK	EMPLOYEE	N	VERONA, NJ, United States
05/2018 - 12/2020	JP MORGAN CHASE BANK, N.A.	PCA	Y	MORRIS PLAINS, NJ, United States
05/2018 - 12/2020	JP MORGAN SECURITIES, LLC	PCA	Y	MORRIS PLAINS, NJ, United States
08/2016 - 05/2018	Santander Bank NA	Financial Consultant	Y	Livingston, NJ, United States
08/2016 - 05/2018	Santander Securities LLC	Financial Consultant	Y	Livingston, NJ, United States
07/2014 - 08/2016	BANK OF AMERICA, N.A.	VP; PRIVATE CLIENT ADVISOR II	Y	GLEN ROCK, NJ, United States
07/2014 - 08/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	VP; PRIVATE CLIENT ADVISOR II	Y	GLEN ROCK, NJ, 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.

Name of the other business: TSG Strategic Secondary Fund 2, LLC, Investment-related? Yes, Address of other business: 3275 Veterans Memorial Highway, Suite B9, Ronkonkoma, NY 11779, Nature of the other business: Venture Capital, Position, title, or relationship with the other business: Member/Advisor, Start Date: May 2023, Approximate number of hours/month you devote to



Registration & Employment History



OTHER BUSINESS ACTIVITIES

the other business: Approx. 30 to 40 hours per month, Number of hours you devote to the other business during securities trading hours: Approx. 30 to 40 hours per month, Duties relating to the other business: Advisor

1. OAKLAND COUNTRY DAY SCHOOL, HOSTING A TEACHER FOR AT HOME LEARNING FOR CHILDREN



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
Financial	2

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 2

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	05/31/2024
Organization Investment-Related?	
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	05/31/2024
If a compromise with creditor, provide:	
Name of Creditor:	Various Creditors - See below
Original Amount Owed:	\$56,163.00
Terms Reached with Creditor:	PERSONALLY SETTLED ALL PAID IN FULL
	Creditor Original Amt. Settled Amt.
	American Express 4,300.00 1,300.00
	Milestone Financial 1,201.00 700.00
	Synchrony Bank 1,742.00 1,157.00
	Citibank 23,472.00 11,790.00
	Capital One 2,645.00 1,600.00
	Citibnk - Home Depot 5,103.00 2,700.00
	JPM Chase 12,346.00 6,173.00
	Santander Bank 5,354.00 2,677.00
	TOTALS 56,163.00 28,097.00
Amount Paid:	\$28,097.00



SIPA (Securities Investor Protection Act)Trustee:

Currently Open? No

Date Direct Payment Initiated/Filed or Trustee Appointed: 05/31/2024

Broker Statement All settlements were personally negotiated By Mr. Cuomo. All settlements have been paid in full and the matter is now closed.

Disclosure 2 of 2

Reporting Source: Individual

Action Type: Compromise

Action Date: 06/28/2022

Organization Investment-Related?

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 05/31/2024

If a compromise with creditor, provide:

Name of Creditor: Various - See Below

Original Amount Owed: \$33,018.07

Terms Reached with Creditor: Utilized Services of Lakeview Law Group for following creditors:

Creditor	Balance	Settled Balance
Citibank	\$631.00	\$331.00
Discover	\$12,894.00	\$14,565.55 (balances confirmed)
Bank of America	\$17,755.00	\$11,700.00
Petro	\$1,738.07	\$1,845.43 (balances confirmed)

Amount Paid: \$28,443.98

SIPA (Securities Investor Protection Act)Trustee: Lakeview Law Group, PLLC

Currently Open? No

Date Direct Payment Initiated/Filed or Trustee Appointed: 06/28/2022



End of Report

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