



## IAPD Report

# JOSEPH ANTHONY PETRILLO JR.

CRD# 4129541

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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

### JOSEPH ANTHONY PETRILLO JR. (CRD# 4129541)

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 **10/31/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	GARDEN STATE SECURITIES, INC.	CRD# 10083	06/22/2010
<b>IA</b>	GARDEN STATE INVESTMENT ADVISORY SERVICES, LLC	CRD# 133088	06/24/2010

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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
<b>IA</b>	AXA ADVISORS, LLC	6627	WOODBIDGE, NJ	12/12/2005 - 05/20/2010
<b>B</b>	AXA ADVISORS, LLC	6627	WOODBIDGE, NJ	11/18/2005 - 05/20/2010

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	3



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

### Employment 1 of 2

Firm Name: **GARDEN STATE SECURITIES, INC.**  
Main Address: 328 NEWMAN SPRINGS ROAD  
RED BANK, NJ 07701  
Firm ID#: 10083

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	06/22/2010
<b>B</b>	Colorado	Agent	Approved	07/19/2024
<b>B</b>	Connecticut	Agent	Approved	05/28/2025
<b>B</b>	Florida	Agent	Approved	01/04/2019
<b>B</b>	Hawaii	Agent	Approved	01/24/2025
<b>B</b>	Idaho	Agent	Approved	08/22/2023
<b>B</b>	New Jersey	Agent	Approved	09/20/2010
<b>B</b>	New York	Agent	Approved	07/16/2010
<b>B</b>	North Carolina	Agent	Approved	03/30/2021
<b>B</b>	Oklahoma	Agent	Approved	07/22/2024
<b>B</b>	Pennsylvania	Agent	Approved	06/03/2014
<b>B</b>	South Carolina	Agent	Approved	01/12/2021
<b>B</b>	Tennessee	Agent	Approved	06/11/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Texas	Agent	Approved	06/10/2020
<b>B</b> Utah	Agent	Approved	02/22/2022

### Branch Office Locations

328 NEWMAN SPRINGS ROAD  
RED BANK, NJ 07701

### Employment 2 of 2

Firm Name: **GARDEN STATE INVESTMENT ADVISORY SERVICES, LLC**  
Main Address: 328 NEWMAN SPRINGS ROAD  
RED BANK, NJ 07701  
Firm ID#: 133088

Regulator	Registration	Status	Date
<b>IA</b> California	Investment Adviser Representative	Restricted Approval	05/09/2016
<b>IA</b> Delaware	Investment Adviser Representative	Approved	05/12/2014
<b>IA</b> New Jersey	Investment Adviser Representative	Approved	06/24/2010

### Branch Office Locations

**GARDEN STATE INVESTMENT ADVISORY SERVICES, LLC**  
328 NEWMAN SPRINGS ROAD  
RED BANK, NJ 07701



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	11/03/2005
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/08/2005
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### 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	12/12/2005 - 05/20/2010	AXA ADVISORS, LLC	CRD# 6627	WOODBRIIDGE, NJ
B	11/18/2005 - 05/20/2010	AXA ADVISORS, LLC	CRD# 6627	WOODBRIIDGE, 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
06/2010 - Present	GARDEN STATE SECURITIES	REGISTERED REPRESENTATIVE	Y	RED BANK, 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.

1. LIFE & HEALTH INSURANCE SALES. AS OF JANUARY 2005.
2. DBA ESTABLISHED 01/2014 "PETRILLO PROTECTION GROUP, INC." DBA ONLY, ACTIVITY CONDUCTED OUT OF FIRM BRANCH OFFICE LOCATION.
3. BLACK SWAN PUBLIC HOUSE RESTAURANT, ASBURY PARK, NJ, PASSIVE/SILENT OWNER, NO INVOLVEMENT IN OPERATIONS OR MANAGEMENT OF RESTAURANT, LESS THAN 1 HOUR/WEEK.
4. PRESHER FITNESS, FITNESS CLUB, NOT INVESTMENT-RELATED, SHAREHOLDER, 2-4 HOURS PER MONTH.
5. DBA ESTABLISHED 10/2025 "ARMIS FINANCIAL." DBA ONLY, ACTIVITY CONDUCTED OUT OF FIRM BRANCH OFFICE LOCATION.



## 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	3

### 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 3

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES

**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 09/09/2014

**Docket/Case Number:** 2014-0183-S

**Employing firm when activity occurred which led to the regulatory action:** GARDEN STATE SECURITIES, INC.

**Product Type:** Insurance

**Allegations:** FAILURE TO REPORT WITHIN THIRTY DAYS FINAL DISPOSITION OF THE CEASE AND DESIST ORDER BY THE STATE OF NEW JERSEY DEPARTMENT OF BANKING AND INSURANCE. FAILURE TO REPORT WITHIN THIRTY DAYS FINAL DISPOSITION OF THE MATTER OF ONE YEAR PROBATION BY THE STATE OF FLORIDA DEPARTMENT OF FINANCIAL SERVICES.

**Current Status:** Final

**Resolution:** Order

**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:** 09/09/2014



**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Other: PAID \$2,000.00

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$2,000.00

**Portion Levied against individual:** \$2,000.00

**Payment Plan:**

**Is Payment Plan Current:** No

**Date Paid by individual:** 08/27/2014

**Was any portion of penalty waived?** No

**Amount Waived:**

**Disclosure 2 of 3**

**Reporting Source:** Individual

**Regulatory Action Initiated By:** STATE OF FLORIDA

**Sanction(s) Sought:** Other: ONE (1) YEAR PROBATION ON INSURANCE ACTIVITIES IN FLORIDA

**Date Initiated:** 08/12/2012

**Docket/Case Number:** CONSENT ORDER 127314-12-AG

**Employing firm when activity occurred which led to the regulatory action:** GARDEN STATE SECURITIES, INC.

**Product Type:** Insurance

**Allegations:** CONSENT ORDER BASED UPON SIMILAR ORDER IN NEW JERSEY RESULTS IN GRANTING OF INSURANCE LICENSE SUBJECT TO ONE (1) YEAR PROBATION FOR APPLICANTS LICENSE AS A NON-RESIDENT LIFE AND HEALTH AGENT IN THE STATE OF FLORIDA.

**Current Status:** Final

**Resolution:** CONSENT ORDER

**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:** 09/10/2012

**Sanctions Ordered:** Other: APPLICANT WAS PLACED ON PROBATION IN CONNECTION WITH HIS FLORIDA INSURANCE ACTIVITIES FOR A PERIOD OF ONE (1) YEAR.

**Disclosure 3 of 3**



<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NEW JERSEY DEPARTMENT OF BANKING AND INSURANCE
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	01/25/2012
<b>Docket/Case Number:</b>	E12-13
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	GUARDIAN LIFE INSURANCE OF AMERICA
<b>Product Type:</b>	Insurance
<b>Allegations:</b>	RESPONDENT OFFERED AN INDUCEMENT TO PURCHASE INSURANCE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	01/25/2012
<b>Sanctions Ordered:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: IT IS FURTHER ORDERED AND AGREED, THAT THE RESPONDENT SHALL CEASE AND DESIST FROM ENGAGING IN THE CONDUCT THAT GAVE RISE TO THIS CONSENT ORDER.
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$1,000.00
<b>Portion Levied against individual:</b>	\$1,000.00
<b>Payment Plan:</b>	INITIAL \$200 PAYMENT WITH 4 MONTHLY SUBSEQUENT PAYMENTS OF \$200.
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Regulator Statement</b>	WHEREAS, PURSUANT TO N.J.S.A. 17:22A-40A (8), AN INSURANCE PRODUCER SHALL NOT USE FRAUDULENT, COERCIVE OR DISHONEST PRACTICES, OR DEMONSTRATE INCOMPETENCE, UNTRUSTWORTHINESS, OR FINANCIAL IRRESPONSIBILITY IN THE CONDUCT OF INSURANCE BUSINESS IN THIS STATE; AND WHEREAS, PURSUANT TO N.J.S.A. 17:29B-4 (8), AND NJ.A.C. 11:17A-2.3, AN



INSURANCE PRODUCER SHALL NOT OFFER, MAKE OR GIVE, OR PERMIT TO BE OFFERED, MADE OR GIVEN, TO ANY PERSON DIRECTLY OR INDIRECTLY, AN INDUCEMENT TO PURCHASE INSURANCE OTHER THAN THAT PLAINLY EXPRESSED IN THE INSURANCE CONTRACT; AND WHEREAS, PURSUANT TO N.J .A.C. 11: 17 A-1.2, AN INDUCEMENT IS DEFINED AS MONEY OR ANY FAVOR, ADVANTAGE, OBJECT, VALUABLE CONSIDERATION OF ANYTHING OTHER THAN MONEY WHICH HAS A COST OR REDEEMABLE VALUE GREATER THAN \$25.00; AND IT APPEARING, THAT "DINNER ON ME" OFFER LETTERS WERE SENT TO SENIOR CITIZENS IN WHICH RESPONDENT OFFERED CONSIDERATION WITH MONETARY VALUE GREATER THAN \$25.00 TO PERSONS WHO MET WITH HIM REGARDING INVESTMENTS, INCLUDING ANNUITIES AND INSURANCE PRODUCTS, CONTRARY TO NJ.S.A. 17:29B-4 (8), AND N.J.S.A. 17:22A-40A (8) AND NJ.A.C. 11:17A-2.3.

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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF NEW JERSEY DEPARTMENT OF BANKING AND FINANCE
<b>Sanction(s) Sought:</b>	Monetary Penalty other than Fines
<b>Date Initiated:</b>	01/25/2012
<b>Docket/Case Number:</b>	CONSENT ORDER NO. E12-13
<b>Employing firm when activity occurred which led to the regulatory action:</b>	AXA EQUITABLE DISTRIBUTORS
<b>Product Type:</b>	Insurance
<b>Allegations:</b>	THAT "DINNER ON ME" OFFER LETTERS WERE SENT TO SENIOR CITIZENS IN WHICH RESPONDENT OFFERED CONSIDERATION WITH MONETARY VALUE GREATER THAN \$25.00 TO PERSONS WHO MET WITH HIM REGARDING INVESTMENTS, INCLUDING ANNUITIES AND INSURANCE PRODUCTS
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	01/25/2012
<b>Sanctions Ordered:</b>	Monetary Penalty other than Fines
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Monetary Penalty other than Fines
<b>Total Amount:</b>	\$1,000.00
<b>Portion Levied against individual:</b>	\$1,000.00



<b>Payment Plan:</b>	INITIAL PAYMENT OF 200.00 ON 1/25/2012 FINAL PAYMENT OF 800.00 ON 3.23.2012
<b>Is Payment Plan Current:</b>	No
<b>Date Paid by individual:</b>	03/23/2012
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	APPLICANT CHOSE TO ACCEPT THIS CONSENT ORDER AND AVOID THE COSTS AND UNCERTAINTY OF LITIGATION. APPLICANT DID NOT RECEIVE THE SIGNED CONSENT ORDER UNTIL MARCH 13, 2012.



## End of Report

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