



## IAPD Report

**MICHAEL FUINA**

CRD# 4159447

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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

### MICHAEL FUINA (CRD# 4159447)

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 **12/09/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	09/14/2010
<b>IA</b>	STRATEGIC ADVISERS LLC	CRD# 104555	03/31/2025

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **17** 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>	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	GARDEN CITY, NY	07/08/2021 - 03/31/2025
<b>B</b>	LAIDLAW & COMPANY (UK) LTD.	119037	ROSLYN HEIGHTS, NY	10/28/2009 - 08/19/2010
<b>B</b>	GUNNALLEN FINANCIAL, INC	17609	ROSLYN HEIGHTS, NY	05/03/2005 - 11/04/2009

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?

**No**



## 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 **17** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **STRATEGIC ADVISERS LLC**

Main Address: 155 SEAPORT BLVD  
BOSTON, MA 02210-2698

Firm ID#: 104555

	Regulator	Registration	Status	Date
	New York	Investment Adviser Representative	Approved	03/31/2025
	Texas	Investment Adviser Representative	Restricted Approval	03/31/2025

### Branch Office Locations

**STRATEGIC ADVISERS LLC**  
BELLMORE, NY






**STRATEGIC ADVISERS LLC**  
1130 FRANKLIN AVENUE  
GARDEN CITY, NY 11530-1687

### Employment 2 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**

Main Address: 900 SALEM STREET  
SMITHFIELD, RI 02917

Firm ID#: 7784

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	09/14/2010
	FINRA	General Securities Representative	Approved	09/14/2010
	FINRA	Invest. Co and Variable Contracts	Approved	09/14/2010
	New York Stock Exchange	General Securities Principal	Approved	09/14/2010
	New York Stock Exchange	General Securities Representative	Approved	09/14/2010



## Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	01/06/2017
B	Colorado	Agent	Approved	08/11/2017
B	Connecticut	Agent	Approved	09/14/2010
B	Delaware	Agent	Approved	08/08/2020
B	Florida	Agent	Approved	09/14/2010
B	Georgia	Agent	Approved	01/06/2017
B	Maryland	Agent	Approved	10/31/2016
B	Massachusetts	Agent	Approved	04/23/2020
B	Nevada	Agent	Approved	04/23/2020
B	New Hampshire	Agent	Approved	01/11/2019
B	New Jersey	Agent	Approved	09/14/2010
B	New York	Agent	Approved	09/14/2010
B	North Carolina	Agent	Approved	04/17/2015
B	Pennsylvania	Agent	Approved	04/16/2015
B	South Carolina	Agent	Approved	01/06/2017
B	Texas	Agent	Approved	04/07/2022
B	Virginia	Agent	Approved	03/31/2014

## Branch Office Locations

**FIDELITY BROKERAGE SERVICES, LLC**  
1130 FRANKLIN AVENUE



## Qualifications

GARDEN CITY, NY 11530

**FIDELITY BROKERAGE SERVICES, LLC**  
BELLMORE, NY



## 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
B	General Securities Principal Examination (S24)	Series 24	04/15/2004

#### 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	12/20/2000
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/24/2000

#### State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/15/2010
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/05/2000



### 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	07/08/2021 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	GARDEN CITY, NY
B	10/28/2009 - 08/19/2010	LAIDLAW & COMPANY (UK) LTD.	CRD# 119037	ROSLYN HEIGHTS, NY
B	05/03/2005 - 11/04/2009	GUNNALLEN FINANCIAL, INC	CRD# 17609	ROSALYN HEIGHTS, NY
B	04/27/2004 - 04/20/2005	S.W. BACH & COMPANY	CRD# 43522	PORT WASHINGTON, N
B	04/03/2001 - 04/27/2004	HARRISON SECURITIES, INC.	CRD# 14103	PORT WASHINGTON, N
B	12/21/2000 - 04/11/2001	WEATHERLY SECURITIES CORPORATION	CRD# 11081	NEW YORK, NY
B	03/27/2000 - 07/18/2000	MONY SECURITIES CORPORATION	CRD# 4386	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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
08/2010 - Present	FIDELITY INVESTMENTS	INVESTOR CENTER INVESTMENTS REPRESENTATIVE	Y	GARDEN CITY, 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.





## End of Report

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