



IAPD Report

ANTHONY JOSEPH SPENA SR

CRD# 431748

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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

ANTHONY JOSEPH SPENA SR (CRD# 431748)

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 **11/20/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INDEPENDENCE CAPITAL CO., INC.	CRD# 24723	02/10/2021
IA	INDEPENDENCE CAPITAL CO., INC.	CRD# 24723	02/11/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	ALLSTATE FINANCIAL ADVISORS, LLC	109524	Ashtabula, OH	01/15/2018 - 06/30/2020
B	ALLSTATE FINANCIAL SERVICES, LLC	18272	ASHTABULA, OH	12/05/2017 - 06/30/2020
IA	KEY INVESTMENT SERVICES LLC	136300	MAYFIELD HEIGHTS, OH	12/21/2016 - 12/06/2017

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
Customer Dispute	1
Termination	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 **3** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **INDEPENDENCE CAPITAL CO., INC.**

Main Address: 5579 PEARL ROAD, STE 100
PARMA, OH 44129

Firm ID#: 24723

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/10/2021
B	Arizona	Agent	Approved	06/29/2021
B	Florida	Agent	Approved	01/03/2022
B	Ohio	Agent	Approved	02/11/2021
IA	Ohio	Investment Adviser Representative	Approved	02/11/2021

Branch Office Locations

INDEPENDENCE CAPITAL CO., INC.
Willoughby, OH

INDEPENDENCE CAPITAL CO., INC.
Willoughby, OH



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	02/16/1989

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Registered Representative Examination (S1)	Series 1	08/19/1972

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/22/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/10/1992



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	01/15/2018 - 06/30/2020	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	Ashtabula, OH
B	12/05/2017 - 06/30/2020	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	ASHTABULA, OH
IA	12/21/2016 - 12/06/2017	KEY INVESTMENT SERVICES LLC	CRD# 136300	MAYFIELD HEIGHTS, OH
B	12/07/2016 - 12/06/2017	KEY INVESTMENT SERVICES LLC	CRD# 136300	MAYFIELD HEIGHTS, OH
B	09/09/2005 - 12/06/2016	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	Chardon, OH
IA	04/15/2002 - 01/28/2005	NATCITY INVESTMENTS, INC.	CRD# 17490	CLEVELAND, OH
B	03/30/2001 - 01/28/2005	NATCITY INVESTMENTS, INC.	CRD# 17490	CLEVELAND, OH
B	03/30/2001 - 12/31/2001	NATCITY INSURANCE SERVICES, INC.	CRD# 16989	CLEVELAND, OH
B	10/08/1996 - 03/23/2001	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA
B	01/03/2001 - 01/24/2001	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	LINCOLN, NE
B	10/08/1996 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	10/20/1980 - 09/12/1996	EQ FINANCIAL CONSULTANTS, INC.	CRD# 6627	NEW YORK, NY
B	08/24/1972 - 09/12/1996	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
02/2021 - Present	Independence Capital Co. Inc.	REGISTERED REPRESENTATIVE	Y	pParma, OH, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2017 - 02/2021	Allstate Insurance Company	Agent	N	Ashtabula, OH, United States
12/2016 - 11/2017	KEY INVESTMENT SERVICES, LLC	FINANCIAL ADVISOR	Y	CLEVELAND, OH, United States
09/2005 - 12/2016	ALLSTATE INSURANCE CO	AGENT	N	MAYFIELD, OH, United States
01/2005 - 12/2016	SELF	AGENT	N	CONCORD, OH, 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.

Insurance Agent. Sell fixed life insurance and annuities, disability, health and long term care insurance. 4125 Polo Park Dr Willoughby OH 44094. Start 10/1970. 25 hrs/month. Compensation: Commission



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
Termination	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: NATCITY INVESTMENTS, INC.

Allegations: CUSTOMER ALLEGES THAT REGISTERED REPRESENTATIVE DELAYED THE PROCESSING OF THE APPROPRIATE DOCUMENTATION IN HIS IRA CAUSING HIM TO INCUR INCREASED TAXES.

Product Type: No Product

Alleged Damages: \$219,540.00

Customer Complaint Information

Date Complaint Received: 09/27/2005

Complaint Pending? No

Status: Denied

Status Date: 01/26/2006

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

NATCITY INVESTMENTS, INC

Allegations:

CUSTOMER ALLEGES THAT REGISTERED REPRESENTATIVE DELAYED THE PROCESSING OF THE APPROPRIATE DOCUMENTS IN HIS IRA CAUSING HIM TO INCUR INCREASED TAXES

Product Type:

No Product

Alleged Damages:

\$219,540.00

Customer Complaint Information

Date Complaint Received:

09/27/2005

Complaint Pending?

No

Status:

Denied

Status Date:

01/26/2006

Settlement Amount:

Individual Contribution Amount:



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	NATCITY INVESTMENTS INC
Termination Type:	Discharged
Termination Date:	01/14/2005
Allegations:	HELD CLIENT CHECK IN THEIR FOLDER AND ATTEMPTED TO PURCHASE STOCK FROM CLIENT
Product Type:	Mutual Fund(s)
Other Product Types:	
Broker Statement	HELD A CLIENTS CHECK IN HER FILE AWAITING SS# OF A BENEFICIARY. CALLED CLIENT SEVERAL TIMES AND NO RETURNED CALL. I CALLED NATCITY ON A RECORDED LINE REGARDING STOCK CERTIFICATES, I FOLLOWED THEIR ADVICE AND NAT CITY SAID THEY COULD NOT PROCESS THE PAPERWORK AND SENT PAPERWORK BACK TO ME.



End of Report

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