



IAPD Report

ANTHONY MICHAEL CALABRESE

CRD# 4395416

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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 MICHAEL CALABRESE (CRD# 4395416)

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 **05/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	01/14/2005
IA	LPL FINANCIAL LLC	CRD# 6413	03/29/2005

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	NEW ENGLAND SECURITIES	615	NEW YORK, NY	07/06/2001 - 07/30/2004

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	01/14/2005
B	FINRA	General Securities Representative	Approved	07/15/2005
B	FINRA	General Securities Principal	Approved	06/23/2015
B	California	Agent	Approved	06/13/2006
B	Colorado	Agent	Approved	09/11/2020
B	Florida	Agent	Approved	01/10/2014
B	Georgia	Agent	Approved	08/09/2021
B	Maine	Agent	Approved	05/29/2019
B	New Jersey	Agent	Approved	01/25/2005
IA	New Jersey	Investment Adviser Representative	Approved	03/29/2005
B	New York	Agent	Approved	02/08/2005
B	North Carolina	Agent	Approved	08/16/2024
B	Pennsylvania	Agent	Approved	01/19/2005



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	08/05/2021
B Virginia	Agent	Approved	07/18/2022
B Wisconsin	Agent	Approved	08/05/2021

Branch Office Locations

LPL FINANCIAL LLC
1020 GALLOPING HILL RD STE 202
UNION, NJ 07083

LPL FINANCIAL LLC
45 BLOOMFIELD AVE
CALDWELL, NJ 07006

LPL FINANCIAL LLC
LINCROFT, NJ



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	06/23/2015

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	05/09/2005
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/05/2001

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	03/25/2005
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/20/2001

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	07/06/2001 - 07/30/2004	NEW ENGLAND SECURITIES	CRD# 615	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
01/2005 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	UNION, 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) 12/17/2004: No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - SELLING GROUP HEALTH INS
- (2) 02/06/2006: No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance
- (3) 11/14/2010: Beacon Wealth Management Group - At Reported Business Location(s) - Non-Variable Insurance DBA - Time Spent 50%
- (4) 06/25/2012: No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Time Spent 5%
- (5) 03/26/2014: Beacon Wealth Management Planning, Inc. - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Time Spent 30%
- (6) 07/22/2016: Non-Variable Insurance - INV REL - At Reported Business Location(s) - Start 07/01/2016- 15 Hr/Mo; 15 Hours During Trading
- (7) 12/12/2016 - BWMG LP - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 12/01/2016 - 150 Hours Per Month/8 Hours During Trading
- (8) 6/6/2018 - Beacon Wealth Management Planning, Inc - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 07/01/2018 - 150 Hours Per Month During Trading
- (9) 6/6/2018 - BWMP and/or BWMP, Inc - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 07/01/2018 - 150 Hours Per Month During Trading
- (10) 6/18/2018 - Beacon Wealth Management Planning, Inc / BWMP / BWMP, Inc - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 07/01/2018 - 150 Hours Per Month During Trading
- (11) 12/3/2019 - Beacon Wealth - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 07/01/2018 - 150 Hours Per Month During Trading
- (12) 01/05/2022 - Beacon Wealth - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date 01/01/2022 - 10 Hours Per Month/10 Hours During Trading
- (13) 01/05/2022 - The Full Kourt Academy Basketball - Not Investment Related - Home Based - Outside/W-2 Employment - Start Date 12/01/2021 - 20 Hours Per Month/0 Hours During Trading
- (14) 09/20/2022 - SCCU Enterprises, LLC - Not Investment Related - Home Based - Other - Business Owner - Start Date - 01/01/2022 - 1 Hours Per Month/0 Hours During Trading
- (15) 05/28/2025 - CalDac Enterprises LLC - Investment Related - Business Entity For Tax/Investment Purposes Only - Home Based - Start Date 05/01/2025 - 0Hours Per Month/During Trading
- (16) 05/28/2025 - PF Compass - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - Start Date



Registration & Employment History



OTHER BUSINESS ACTIVITIES

05/01/2025 - 2 Hours Per Month/ During Trading

(17) 12/10/2025 - Inovo Wealth Architects - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 01/01/2026 - 160 hours per month/ during trading

(18) 04/13/2026 - Seaside Heights Beach Patrol - Outside/W-2 Employment - Not Investment Related - Seaside Heights, NJ - Start Date 05/15/2026 - 25 hours per month/ 8 hours during trading



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	1
Termination	1

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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES INDUSTRY
Sanction(s) Sought:	
Other Sanction(s) Sought:	CASE DISMISSED WITHOUT ACTION- HOWEVER VIOLATED NASD RULE BY USING VERBAL AUTHORIZATION AND BY NOT OBTAINING WRITTEN AUTHORIZATION TO SIGN A CLIENTS NAME TO A NON-INVESTMENT RELATED INSURANCE RATE SHEET.
Date Initiated:	09/15/2004
Docket/Case Number:	E9B040424
Employing firm when activity occurred which led to the regulatory action:	NEW ENGLAND SECURITIES
Product Type:	Options
Other Product Type(s):	HEALTH INSURANCE
Allegations:	SIGNING A CLIENT'S NAME
Current Status:	Final
Resolution:	Dismissed
Resolution Date:	10/25/2004
Sanctions Ordered:	
Other Sanctions Ordered:	DISMISSED WITHOUT ACTION



Sanction Details:

DISMISSED WITHOUT ACTION 10/25/2004



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:	NEW ENGLAND SECURITIES
Termination Type:	Discharged
Termination Date:	07/31/2004
Allegations:	SIGNING A CLIENT'S NAME TO A UNAFFILIATED HEALTH INSURANCE RATE SHEET WITHOUT WRITTEN CONSENT
Product Type:	Other
Other Product Types:	NON- INVESTMENT RELATED
Broker Statement	DISMISSED WITHOUT ACTION



End of Report

This page is intentionally left blank.