



## IAPD Report

# PAUL VINCENT SALTAFORMAGGIO

CRD# 4599534

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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

### PAUL VINCENT SALTAFORMAGGIO (CRD# 4599534)

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 **09/22/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	01/26/2016
<b>IA</b>	HIBERNIA WEALTH PARTNERS, LLC	CRD# 319509	07/29/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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>	STRATOS WEALTH PARTNERS, LTD	153184	BATON ROUGE, LA	01/26/2016 - 08/04/2022
<b>IA</b>	CAPITAL ONE ADVISORS, LLC	136865	SEATTLE, WA	01/28/2015 - 01/27/2016
<b>B</b>	CAPITAL ONE INVESTING, LLC	45744	BATON ROUGE, LA	01/02/2015 - 01/27/2016

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

#### Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY  
FORT MILL, SC 29715

Firm ID#: 6413

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	01/26/2016
 FINRA	Invest. Co and Variable Contracts	Approved	01/26/2016
 Alabama	Agent	Approved	01/03/2019
 Alaska	Agent	Approved	05/02/2022
 Arkansas	Agent	Approved	11/28/2023
 California	Agent	Approved	10/26/2017
 Colorado	Agent	Approved	02/21/2020
 Florida	Agent	Approved	08/05/2020
 Georgia	Agent	Approved	01/28/2022
 Hawaii	Agent	Approved	08/05/2024
 Illinois	Agent	Approved	04/08/2021
 Iowa	Agent	Approved	11/28/2023
 Louisiana	Agent	Approved	01/26/2016



## Qualifications

Regulator	Registration	Status	Date
B Mississippi	Agent	Approved	01/26/2016
B Missouri	Agent	Approved	04/03/2025
B New Jersey	Agent	Approved	11/28/2023
B New Mexico	Agent	Approved	01/03/2020
B North Carolina	Agent	Approved	12/01/2023
B Oklahoma	Agent	Approved	05/31/2018
B Oregon	Agent	Approved	01/29/2020
B Pennsylvania	Agent	Approved	01/02/2020
B Puerto Rico	Agent	Approved	11/28/2023
B Tennessee	Agent	Approved	01/07/2020
B Texas	Agent	Approved	01/26/2016
B Washington	Agent	Approved	11/28/2023

## Branch Office Locations

**LPL FINANCIAL LLC**  
6700 JEFFERSON HWY  
BUILDING 4, SUITE B  
BATON ROUGE, LA 70806

**LPL FINANCIAL LLC**  
12700 HILLCREST RD STE 125  
DALLAS, TX 75230

**LPL FINANCIAL LLC**  
1720 KALISTE SALOOM RD STE B10  
LAFAYETTE, LA 70508

## Employment 2 of 2

Firm Name: **HIBERNIA WEALTH PARTNERS, LLC**

Main Address: 6700 JEFFERSON HWY.  
BUILDING 4, SUITE B  
BATON ROUGE, LA 70806

Firm ID#: 319509



## Qualifications

Regulator	Registration	Status	Date
IA Louisiana	Investment Adviser Representative	Approved	07/29/2022
IA Texas	Investment Adviser Representative	Approved	07/29/2022

## Branch Office Locations

**HIBERNIA WEALTH PARTNERS, LLC**

6700 JEFFERSON HWY.  
BUILDING 4, SUITE B  
BATON ROUGE, LA 70806



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

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### 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	06/30/2005
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/30/2003

#### State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/19/2016
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/04/2012

### 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	01/26/2016 - 08/04/2022	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	BATON ROUGE, LA
IA	01/28/2015 - 01/27/2016	CAPITAL ONE ADVISORS, LLC	CRD# 136865	SEATTLE, WA
B	01/02/2015 - 01/27/2016	CAPITAL ONE INVESTING, LLC	CRD# 45744	BATON ROUGE, LA
IA	07/02/2008 - 01/28/2015	CAPITAL ONE FINANCIAL ADVISORS LLC	CRD# 127236	MELVILLE, NY
B	05/31/2008 - 01/02/2015	CAPITAL ONE INVESTMENT SERVICES LLC	CRD# 25658	BATON ROUGE, LA
IA	10/04/2006 - 08/13/2008	CAPITAL ONE INVESTMENTS, LLC	CRD# 17526	HARAHAN, LA
B	10/04/2006 - 05/31/2008	CAPITAL ONE INVESTMENTS, LLC	CRD# 17526	HARAHAN, LA
IA	03/28/2005 - 07/17/2006	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	NEW ORLEANS, LA
B	03/01/2005 - 07/17/2006	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	NEW ORLEANS, LA
IA	02/20/2003 - 03/08/2005	MML INVESTORS SERVICES, INC.	CRD# 10409	NEW ORLEANS, LA
B	02/03/2003 - 03/08/2005	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA

### 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
07/2022 - Present	Hibernia Wealth Management	Investment Advisor Representative/CCO	Y	Baton Rouge, LA, United States
01/2016 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	BATON ROUGE, LA, United States
01/2016 - 07/2022	STRATOS WEALTH PARTNERS	INVESTMENT ADVISOR REPRESENTATIVE	Y	BATON ROUGE, LA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

### 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. 01/26/2016 Reggio Sportsman's Retreat LLC - Business Entity For Tax/Investment Purposes Only - NOT INV REL - START 09/01/2013 - 204 E Maple Ridge Dr., Metairie, LA 70001 - Holding company for fishing camp; no income just a property used for personal use
2. 01/26/2016 - pvs investments llc - Business Entity For Tax/Investment Purposes Only - INV REL - START 01/02/2013 - 8925 foxgate drive baton rogue, la 70809 - Holding company for Atomic Burger passive investment; investor - NO TIME SPENT
3. 01/26/2016 - Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Hibernia Wealth Management - Time Spent 100%.
4. 01/26/2016 - NO BUSINESS NAME - Real Estate Rental - INV REL - START 10/01/2010 - 222 London Ave, #204, Metairie, LA 70005 - Owner - 1% TIME SPENT
5. 01/26/2016 - Reggio Feather & Fin LLC - Business Entity For Tax/Investment Purposes Only - NOT INV REL - START 1/21/2014 - 8925 Fox Gate Dr, Baton Rouge, LA 70809 - Holding company for fishing boat; boat is not income earning. It is only for the personal use of the owners - NO TIME SPENT
6. 01/26/2016 - Outside Insurance - Non-Variable Insurance - NOT INV REL - START 01/01/2011 - 8925 Fox Gate Dr., Baton Rouge, LA - independent agent/group health insurance - 1% TIME SPENT
7. 07/01/2016: PSHWM, LLC - Business Entity For Tax/Investment Purposes Only - INV REL - Start 04/04/2016 - 2277 KLEINERT AVE, BATON ROUGE, LA 70806 - investment advisory fees and commissions generated. - 0 Hr/Mo
8. 02/06/2018: pvs investments llc - Investment Related - 3934 Veterans Memorial Blvd, Metairie, LA 70006 - Business Entity For Tax/Investment Purposes Only - passive investment; investor - start date 01/02/2013.
9. 04/25/2019 - pvs investments llc - Investment related - Metairie, LA 70005 - Real Estate Rental - start date:04/01/2019 - 0 hrs/mo - 0 hrs during trading - Condo rental unit.
10. 01/28/2022 - pvs investments llc - Investment Related - 6700 Jefferson Hwy., Bldg 4, Ste. B, Baton Rouge, LA 70806 - Real Estate Rental - Start Date: 01/01/2016 - 0 Hours Per Month/0 Hours During Securities Trading.
11. 09/12/2022 - Hibernia Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date - 08/01/2022 - 20 Hours Per Month/1 Hours During Securities Trading - I provide investment advisory services through Hibernia Wealth Management, an independent investment advisor firm. I started this business activity in 08/2022. I expect to spend approximately 20 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
12. 08/15/2023 - PVS INVESTMENTS LLC - Real Estate Rental - Not Investment Related - Pad site for Construction - Start Date 06/09/2023 - 0 Hours Per Month/ During Trading
13. 04/30/2024 - Our Lady of Mercy Catholic Church - Other - Church Cantor - Not Investment Related - 1432 W Landry St.,



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

Opelousas, LA 70570 - Start Date 06/13/2021 - 8 Hours Per Month/ 0 Hours During Trading

14. 08/26/2025 - Cavallo dei Secoli LLC - Business Entity For Tax/Investment Purposes Only - 49 Kalispell, MT - Not Inv rel - Start date: 08/21/2025 - 0 Hours Per Month/ 0 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
Customer Dispute	2

### 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 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Stratos Wealth Partners, Ltd
<b>Allegations:</b>	Customer alleges that sale of ETF's was unauthorized, and requests reimbursement of \$7,600 for capital gains tax that she estimates she will owe on the realized gains.
<b>Product Type:</b>	Other: ETF's
<b>Alleged Damages:</b>	\$7,600.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/30/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	09/23/2019
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

**Broker Statement**

The customer's allegations are denied. The allegedly unauthorized transactions occurred in a managed account pursuant to a grant of investment discretion. The transactions were intended to mitigate market risk, and prevented investment losses that otherwise would have occurred.

**Disclosure 2 of 2**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** CAPITAL ONE INVESTMENT SERVICES  
**Allegations:** CUSTOMER ALLEGES THE RR'S ADVICE TO MOVE FROM A FIXED ANNUITY TO A VARIABLE ANNUITY WAS NOT SOUND ADVICE  
**Product Type:** Annuity-Variable  
**Alleged Damages:** \$5,949.04  
**Is this an oral complaint?** No  
**Is this a written complaint?** Yes  
**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 10/30/2008  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 12/18/2008

**Settlement Amount:**

**Individual Contribution Amount:**



## End of Report

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