



IAPD Report

GIUSEPPE DEL VECCHIO

CRD# 4623756

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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

GIUSEPPE DEL VECCHIO (CRD# 4623756)

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 **02/27/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LANDOLT SECURITIES, INC.	CRD# 28352	06/27/2017
IA	LANDOLT SECURITIES, INC.	CRD# 28352	07/06/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	FIFTH THIRD SECURITIES, INC.	628	SOUTH EUCLID, OH	02/14/2005 - 06/16/2017
B	FIFTH THIRD SECURITIES, INC.	628	SOUTH EUCLID, OH	02/10/2003 - 06/16/2017

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	2
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 **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LANDOLT SECURITIES, INC.**
Main Address: 900 NORTH SHORE DRIVE SUITE 279
LAKE BLUFF, IL 60044
Firm ID#: 28352

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/27/2017
B	California	Agent	Approved	01/04/2022
B	Florida	Agent	Approved	10/16/2017
B	Georgia	Agent	Approved	09/15/2022
B	Illinois	Agent	Approved	01/20/2022
B	Missouri	Agent	Approved	06/04/2021
B	New York	Agent	Approved	01/08/2022
B	Ohio	Agent	Approved	07/05/2017
IA	Ohio	Investment Adviser Representative	Approved	07/06/2017
B	South Carolina	Agent	Approved	06/29/2020
B	Texas	Agent	Approved	03/02/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	04/30/2020

Branch Office Locations



Qualifications

LANDOLT SECURITIES, INC.
North Royalton, 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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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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	02/07/2003

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	10/30/2007
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/27/2003



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	02/14/2005 - 06/16/2017	FIFTH THIRD SECURITIES, INC.	CRD# 628	SOUTH EUCLID, OH
B	02/10/2003 - 06/16/2017	FIFTH THIRD SECURITIES, INC.	CRD# 628	SOUTH EUCLID, OH

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
06/2017 - Present	Landolt Securities Inc.	representative	Y	Antioch, IL, United States
01/2003 - 05/2017	FIFTH THIRD SECURITIES	REP	Y	SOUTH EUCLID, 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.

1. Giuseppe Delvecchio (memorabilia sales), not investment related, 5341 Brookhaven Dr. North Royalton OH 44133, buy and sell sports memorabilia on Ebay as a hobby, owner, started 1/1/2014, 8-10 hrs/month not during trading hours
2. The DelVecchio Family Living Trust, not investment related, 5341 Brookhaven Dr. North Royalton OH 44133, personal trust for estate planning, co-trustee, started 4/16/2016, 1 hr/month not during trading hours, trustee/decision maker for trust.
3. The Ann M. Abbattista Wholly Discretionary Trust for Carlo Gentile, not investment related, 7258 Barton Hill Dr. Parma OH 44129, trust to pay bills for disabled family member, trustee, started 12/8/2020, 0 hrs/month, trustee/decision maker for trust.
4. The Felice Gentile Wholly Discretionary Trust for Carlo Gentile, not investment related, 7254 Barton Hill Dr. Parma OH 44129, trust to pay bills for disabled family member, trustee, started 12/8/2020, 0 hrs/month, trustee/decision maker for trust.
5. Giuseppe Delvecchio (insurance sales), investment related (estate planning), 5341 Brookhaven Dr. North Royalton OH 44133, insurance sales, insurance agent, started 10/10/2022, 3-4 hrs/month not during trading hours, selling life and LTC insurance as part of estate planning.



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
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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITIES, INC.
Allegations:	CUSTOMER ALLEGES REPRESENTATIVE MADE UNAUTHORIZED TRADE OF MUTUAL FUND IN MARCH 2008.
Product Type:	Mutual Fund
Alleged Damages:	\$5,114.71
Alleged Damages Amount Explanation (if amount not exact):	AMOUNT ALLEGED IN WRITTEN REBUTTAL FROM CUSTOMER. ORIGINAL WRITTEN COMPLAINT ALLEGED LOSS OF \$3117.95.
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:	07/22/2010
Complaint Pending?	No
Status:	Settled
Status Date:	09/22/2010



Settlement Amount: \$4,357.42

Individual Contribution Amount: \$0.00

Broker Statement [CUSTOMER] DEALT WITH A PB WHEN PURCHASING THE MUTUAL FUND INVESTMENT. THE ACCOUNT IS IN MY REP# BECAUSE STOCKS ARE BEING HELD IN THE ACCOUNT. THIS CLIENT WAS AWARE WHAT HE OWNED, AND DIDN'T COMPLAIN WHEN THE ACCOUNT WAS UP THE FIRST 3 MONTHS OR SO. (JOE D.)

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIFTH THIRD SECURITIES, INC.

Allegations: CUSTOMER ALLEGED REGISTERED REPRESENTATIVE GIUSEPPE DEL VECCHIO RECOMMENDED UNSUITABLE INVESTMENT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$12,201.63

Customer Complaint Information

Date Complaint Received: 11/01/2006

Complaint Pending? No

Status: Settled

Status Date: 11/19/2008

Settlement Amount: \$3,497.19

Individual Contribution Amount: \$0.00



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: Firm

Firm Name: Fifth Third Securities

Termination Type: Discharged

Termination Date: 05/17/2017

Allegations: Fifth Third Securities terminated the registered representative after he verbally admitted to signing a customer signature on an account document.

Product Type: No Product

Firm Statement Fifth Third Securities is responding to Mr. Del Vecchio's U4 comment to clarify that Fifth Third Securities Compliance did not approve the securities transaction for this account, and as a practice does not approve securities transactions for any customer accounts.

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Reporting Source: Individual

Firm Name: fifth third securities

Termination Type: Discharged

Termination Date: 05/17/2017

Allegations: I signed a customer name on account document

Product Type: Annuity-Fixed

Broker Statement I met the client on multiple occasions and after going over different options, the client decided on investing in an indexed annuity through Symetra Life Insurance. The client signed all the paperwork on April 12, 2017 because this is an investment that he wanted. This sale was approved by Fifth Third Securities Compliance department and the money was wired to Symetra Life. Thereafter I was asked to re-obtain the client's signatures on the application and state replacement forms. When I contacted the client, he was out of town and unavailable to get together within a reasonable amount of time to re-sign the forms to complete his purchase. Because we were unable to meet, the client authorized me to re-sign & re-date his name on the forms to complete his purchase. I did exactly as the client wanted and signed his name on the application and state replacement forms. There were no other modifications to the original document the client signed. The client never filed a complaint regarding the annuity purchase and he kept the annuity because the annuity was what he wanted to purchase.



End of Report

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