



## IAPD Report

# GIACOMO PARENTE

CRD# 4924478

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**i** 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

### GIACOMO PARENTE (CRD# 4924478)

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 **03/17/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	06/08/2022
<b>IA</b>	STRATEGIC ADVISERS LLC	CRD# 104555	03/31/2025

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **24** 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	WALNUT CREEK, CA	06/10/2022 - 03/31/2025
<b>B</b>	VANGUARD MARKETING CORPORATION	7452	MALVERN, PA	04/05/2022 - 05/13/2022
<b>IA</b>	VANGUARD ADVISERS, INC.	106715	MALVERN, PA	03/17/2022 - 05/13/2022

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

### Employment 1 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**  
Main Address: 900 SALEM STREET  
SMITHFIELD, RI 02917  
Firm ID#: 7784

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	06/08/2022
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	06/08/2022
<b>B</b>	Alabama	Agent	Approved	05/12/2025
<b>B</b>	Arizona	Agent	Approved	07/21/2023
<b>B</b>	California	Agent	Approved	06/08/2022
<b>B</b>	Connecticut	Agent	Approved	03/26/2025
<b>B</b>	Delaware	Agent	Approved	03/31/2025
<b>B</b>	District of Columbia	Agent	Approved	03/02/2024
<b>B</b>	Florida	Agent	Approved	03/27/2025
<b>B</b>	Georgia	Agent	Approved	06/30/2025
<b>B</b>	Maine	Agent	Approved	09/29/2023
<b>B</b>	Maryland	Agent	Approved	04/29/2025
<b>B</b>	Massachusetts	Agent	Approved	01/06/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Michigan	Agent	Approved	09/05/2025
<b>B</b> Minnesota	Agent	Approved	03/17/2026
<b>B</b> Nevada	Agent	Approved	03/02/2024
<b>B</b> New Jersey	Agent	Approved	03/26/2025
<b>B</b> New York	Agent	Approved	09/29/2024
<b>B</b> North Carolina	Agent	Approved	05/20/2025
<b>B</b> Ohio	Agent	Approved	05/05/2024
<b>B</b> Pennsylvania	Agent	Approved	03/26/2025
<b>B</b> Rhode Island	Agent	Approved	04/29/2025
<b>B</b> Tennessee	Agent	Approved	03/25/2023
<b>B</b> Texas	Agent	Approved	01/06/2023
<b>B</b> Virginia	Agent	Approved	07/16/2024
<b>B</b> Washington	Agent	Approved	01/06/2023

### Branch Office Locations

**FIDELITY BROKERAGE SERVICES, LLC**  
 1120 6th AVE  
 AVENUE OF THE AMERICAS  
 NEW YORK, NY 10036-6700

**FIDELITY BROKERAGE SERVICES, LLC**  
 BROOKLYN, NY

### Employment 2 of 2

Firm Name: **STRATEGIC ADVISERS LLC**  
 Main Address: 155 SEAPORT BLVD  
 BOSTON, MA 02210-2698  
 Firm ID#: 104555



### Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	05/20/2025
IA Texas	Investment Adviser Representative	Approved	03/31/2025

### Branch Office Locations

**STRATEGIC ADVISERS LLC**  
1120 6th AVE  
AVENUE OF THE AMERICAS  
NEW YORK, NY 10036-6700

**STRATEGIC ADVISERS LLC**  
BROOKLYN, 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 0 principal/supervisory exams, 3 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
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<b>B</b>	General Securities Representative Examination (S7TO)	Series 7TO	04/04/2022
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<b>B</b>	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b>	General Securities Representative Examination (S7)	Series 7	05/04/2005
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#### State Securities Law Exams

Exam	Category	Date
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<b>B</b>	Uniform Securities Agent State Law Examination (S63)	Series 63	04/18/2022
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<b>IA</b>	<b>B</b>	Uniform Combined State Law Examination (S66)	Series 66	06/08/2005
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### 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
IA	06/10/2022 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	WALNUT CREEK, CA
B	04/05/2022 - 05/13/2022	VANGUARD MARKETING CORPORATION	CRD# 7452	MALVERN, PA
IA	03/17/2022 - 05/13/2022	VANGUARD ADVISERS, INC.	CRD# 106715	MALVERN, PA
B	12/14/2015 - 06/20/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	BURLINGAME, CA
IA	12/14/2015 - 06/20/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	BURLINGAME, CA
IA	11/13/2012 - 12/18/2015	LPL FINANCIAL LLC	CRD# 6413	OAKLAND, CA
B	11/12/2012 - 12/18/2015	LPL FINANCIAL LLC	CRD# 6413	OAKLAND, CA
B	04/06/2009 - 11/16/2012	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	SAN MATEO, CA
IA	04/06/2009 - 11/16/2012	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	SAN MATEO, CA
B	11/15/2007 - 01/29/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	SAN FRANCISCO, CA
IA	11/15/2007 - 01/29/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	SAN FRANCISCO, CA
B	10/03/2005 - 11/08/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SAN FRANCISCO, CA
IA	10/03/2005 - 11/08/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SAN FRANCISCO, CA
IA	06/09/2005 - 09/07/2005	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
B	05/05/2005 - 09/07/2005	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA



## Registration & Employment History

### 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
05/2022 - Present	FIDELITY INVESTMENTS	FINANCIAL CONSULTANT	Y	WALNUT CREEK, CA, United States
03/2022 - 05/2022	THE VANGUARD GROUP, INC.	SENIOR CFP FINANCIAL ADVISOR	Y	MALVERN, PA, United States
04/2021 - 05/2022	Food With An Accent	Cooking Video Maker	N	New York, NY, United States
11/2021 - 04/2022	CORCORAN GROUP	REAL ESTATE SALESPERSON	Y	NEW YORK, NY, United States
05/2021 - 11/2021	Unemployed	Unemployed	N	New York, NY, United States
03/2020 - 05/2021	Unemployed	Unemployed	N	San Francisco, CA, United States
06/2019 - 03/2020	Unemployed	Unemployed	N	Oakland, CA, United States
12/2015 - 06/2019	J.P. MORGAN SECURITIES LLC	PRIVATE CLIENT ADVISOR, VP	Y	Burlingame, CA, 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.

OBA-68499|OrgNm:Food with an accent |Org Addr:Brooklyn ,New York,US|OBA Nature:Cooking video maker |Invst Rel:N|Title:NO specific title. I just make Co|Duties:No obligations |StrtDt:04-01-21|TotHrs/mon:1|TrdHrs/mon:0|



## 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>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	LPL Financial LLC (Advisor is now at Fidelity Brokerage Services)
<b>Allegations:</b>	The client alleges that his advisor failed to provide complete disclosures regarding a REIT purchase, including that the REIT's management could discontinue dividends and share repurchases. Moreover, the client stated he was unaware that the investment might be repriced lower. 12/13/2012 - 08/02/2024
<b>Product Type:</b>	Other: REIT
<b>Alleged Damages:</b>	\$76,000.00
<b>Is this an oral complaint?</b>	Yes
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/02/2024
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	08/15/2024

#### Settlement Amount:

#### Individual Contribution Amount:

**Firm Statement**

Before purchasing the investment of concern, the client had a history of utilizing Alternative Investments. On three separate occasions, the client attested to receiving and understanding product-specific disclosures (REITs), which plainly cautioned that REIT management could discontinue dividends and share repurchases. Within the product-specific disclosures, subscription agreement, and prospectus, the client was informed the REIT could be repriced lower. The client has not realized any loss on the investment, which is currently an equity and may be sold on a listed exchange. LPL denies the client's allegations that he was not provided full disclosure.

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**Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

LPL FINANCIAL LLC

**Allegations:**

The client alleges that his advisor failed to provide complete disclosures regarding a REIT purchase, including that the REIT's management could discontinue dividends and share repurchases. Moreover, the client stated he was unaware that the investment might be repriced lower. 12/13/2012 - 08/02/2024

**Product Type:**

Other: REIT

**Alleged Damages:**

\$76,000.00

**Is this an oral complaint?**

Yes

**Is this a written complaint?**

No

**Is this an arbitration/CFTC reparation or civil litigation?**

No

**Customer Complaint Information****Date Complaint Received:**

08/02/2024

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

08/15/2024

**Settlement Amount:****Individual Contribution Amount:****Disclosure 2 of 2****Reporting Source:**

Firm

**Employing firm when activities occurred which led to the complaint:**

CUNA Brokerage Services, Inc.

**Allegations:**

Client alleged he was not informed of serial annuities and potential tax implications. Now that he has surrendered an annuity contract he has received notice that he's to pay taxes on the gains of both contracts.

**Product Type:**Annuity-Fixed  
Annuity-Variable**Alleged Damages:**

\$15,287.00



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: 08/22/2018

Complaint Pending? No

Status: Denied

Status Date: 10/16/2018

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CUNA Brokerage Services, Inc.

Allegations: Client alleged he was not informed of serial annuities and potential tax implications. Now that he has surrendered an annuity contract he has received notice that he's to pay taxes on the gains of both contracts.

Product Type: Annuity-Fixed  
Annuity-Variable

Alleged Damages: \$15,287.00

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: 08/22/2018

Complaint Pending? No

Status: Denied

Status Date: 10/16/2018

Settlement Amount:

Individual Contribution Amount:

Broker Statement This complaint was filed on 08/22/2018 through CUNA Brokerage Services, an institution I was affiliated until November 2012, so the meeting with the client must have happen 5+ years back, and since I don't have access to the client file/notes anymore, I can't recall the conversation I had with this client. However, as usual practice when proposing an annuity I always disclose to the client all the relevant information on the product, including fees, features, surrender period/charges, and potential tax implication. Depending on the client situation I may expand the conversation, within my capacity, on the taxation portion, and make sure that the



client understands everything. Furthermore, I also remind clients to consult with their CPA if they want more information about their potential tax implication.



## End of Report

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