



IAPD Report

Anthony R Cirocco

CRD# 5042371

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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 R Cirocco (CRD# 5042371)

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 **10/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	03/03/2021
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	03/05/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	KEY INVESTMENT SERVICES LLC	136300	BUFFALO, NY	09/21/2016 - 03/05/2021
IA	KEY INVESTMENT SERVICES LLC	136300	BUFFALO, NY	09/21/2016 - 12/31/2016
B	LPL FINANCIAL LLC	6413	BUFFALO, NY	05/15/2012 - 09/21/2016

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
Criminal	1
Customer Dispute	3



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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 6694

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	03/03/2021
	FINRA	Invest. Co and Variable Contracts	Approved	03/03/2021
	Arizona	Agent	Approved	02/14/2023
	California	Agent	Approved	01/06/2023
	Florida	Agent	Approved	03/03/2021
	Georgia	Agent	Approved	03/24/2021
	Illinois	Agent	Approved	03/03/2021
	Kentucky	Agent	Approved	09/02/2025
	Maryland	Agent	Approved	03/03/2021
	Michigan	Agent	Approved	01/10/2023
	Nevada	Agent	Approved	06/13/2023
	New Jersey	Agent	Approved	07/18/2023
	New York	Agent	Approved	03/03/2021



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	04/07/2021
B	Oregon	Agent	Approved	01/13/2023
B	Pennsylvania	Agent	Approved	03/03/2021
B	Texas	Agent	Approved	02/02/2022
B	Vermont	Agent	Approved	01/06/2023
B	Virginia	Agent	Approved	01/10/2023
B	Washington	Agent	Approved	03/03/2021

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES

434 Delaware Ave
Suite CSG
Buffalo, NY 14222

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716
Firm ID#: 149018

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	03/05/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	02/04/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

434 Delaware Ave
Suite CSG
Buffalo, NY 14222



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	11/05/2009
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/11/2005

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	12/03/2009
B Uniform Securities Agent State Law Examination (S63)	Series 63	04/19/2006



PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	09/21/2016 - 03/05/2021	KEY INVESTMENT SERVICES LLC	CRD# 136300	BUFFALO, NY
IA	09/21/2016 - 12/31/2016	KEY INVESTMENT SERVICES LLC	CRD# 136300	BUFFALO, NY
B	05/15/2012 - 09/21/2016	LPL FINANCIAL LLC	CRD# 6413	BUFFALO, NY
IA	05/15/2012 - 09/21/2016	LPL FINANCIAL LLC	CRD# 6413	BUFFALO, NY
IA	12/08/2009 - 05/15/2012	HSBC SECURITIES (USA) INC.	CRD# 19585	DEPEW, NY
B	04/05/2006 - 05/15/2012	HSBC SECURITIES (USA) INC.	CRD# 19585	DEPEW, NY
B	10/12/2005 - 12/21/2005	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
12/2023 - Present	Noble Wealth Partners	Independent Contractor	N	Buffalo, NY, United States
03/2021 - Present	Bill Pack LLC, Assumed Name: Cirocco Smith Group	Other	N	Buffalo, NY, United States
03/2021 - Present	Raymond James Financial Services Advisors, Inc.	Registered Representative	Y	Buffalo, NY, United States
03/2021 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Buffalo, NY, United States
02/2021 - Present	Lovin This Pace Inc	Officer - President	Y	Buffalo, NY, United States
03/2021 - 11/2022	Crux Wealth Advisors	N/A	N	Buffalo, NY, United States
09/2016 - 02/2021	Key Investment Services	Financial Advisor	Y	Buffalo, NY, United States



Registration & 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) Name of Business: 40 Madison Ellicottville LLC Address: 27 Argyle Park, Buffalo , NY, 14731, United States Activity Type: Rental Real Estate Position/Title: Partner Investment Related: Yes Start Date: 05/08/2019 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: respond to requests for weekend rentals or month-long rentals, coordinate cleaning service, repairs, pay utilities, taxes, other bills
- (2) Name of Business: 434 Delaware RE LLC Address: 27 Argyle Pk, Buffalo, NY, 14222, United States Activity Type: Real Estate Brokerage/ Agent or Development Position/Title: Investment Related: Yes Start Date: 01/03/2022 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:
- (3) Name of Business: Bill Pack LLC, Assumed Name: Cirocco Smith Group Address: 434 Delaware Ave, Buffalo, NY, 14202, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 03/03/2021 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Majority Partner in this legal entity which processes expenses and revenue for tax purposes of my financial planning practice through Raymond James
- (4) Name of Business: Lovin This Pace Inc Address: 434 Delaware Ave, Buffalo, NY, 14202-2215, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 02/10/2021 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Financial Advisor- Maintaining balances from income and payment of expenses. Managing Tax- Deductible expenses and networking endeavors
- (5) Name of Business: No formal name: rental unit in my main residence which i own Address: 27 Argyle Pk, Buffalo, NY, 14222, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 12/14/2010 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I reside in upper unit of my home address, I rent out the lower unit. Responsibilities include repairs, renovations, and care-taking
- (6) Name of Business: Noble Wealth Partners Address: 434 Delaware Ave, Buffalo, NY, 14202-1534, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 12/04/2023 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Financial Advisor
- (7) Name of Business: The Pit 1190 LLC Address: 1190 Maryvale Dr. , Buffalo, NY, 14225, United States Activity Type: Rental Real Estate Position/Title: Partner Investment Related: Yes Start Date: 06/12/2020 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: place permanent tenant for 12- 24 month lease (upper unit), coordinate renovations or repairs, reply to messages for Airbnb rental requests (lower unit).



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
Criminal	1
Customer Dispute	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Town of Evans, Erie County, New York State DMV
Location of Court:	Erie County New York
Docket/Case #:	11923A
Charge Date:	09/03/2006
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Felony DWI
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Reduced
Date of Amended Charge:	01/29/2007
Charge was Amended or reduced to:	Misdemeanor DWI
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Convicted



Current Status:	Final
Status Date:	01/29/2007
Disposition Date:	01/29/2007
Sentence/Penalty:	Drivers License revoked for 1 year and a 750 civil penalty fine. Completed court recommended drug and alcohol educational course.



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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HSBC SECURITIES (USA) INC.
Allegations:	CUSTOMER ALLEGED THAT RR RECOMMENDED SHE PURCHASE AUCTION RATE SECURITIES RATHER THAN A CD OR MONEY MARKET FUND AND WAS UNDER THE BELIEF THAT SHE WAS PURCHASING A "28 DAY CD". THIS COMPLAINT INVOLVES ONE OR MORE AUCTION RATE SECURITIES WITH NOTIONAL VALUE OF \$50,000.00 THAT HAVE BEEN THE SUBJECT OF ONE OR MORE FAILED AUCTIONS.
Product Type:	Other: #39 AUCTION RATE SECURITIES-MUNICIPAL DEBT
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT UNABLE TO CONCLUDE THAT DAMAGES WOULD BE LESS THAN \$5,000.
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:	04/10/2008
Complaint Pending?	No
Status:	Settled
Status Date:	05/09/2008
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00

Broker Statement	ON 5/9/08, HSBC SECURITIES (USA) INC. AGREED TO VOLUNTARILY REPURCHASE THE ARS SECURITIES AT ISSUE FROM THE CUSTOMER AT PAR VALUE IN ORDER TO PROVIDE LIQUIDITY UNDER UNPRECEDENTED MARKET DEVELOPMENTS TO THE EXTENT THAT A CUSTOMER'S ARS POSITION(S) COULD NOT BE SOLD AND WAS NOT REDEEMED BY THE ISSUER. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE CUSTOMER; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CUSTOMER; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A
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SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HSBC SECURITIES (USA) INC.

Allegations: CUSTOMERS CLAIM THEY WERE NOT TOLD THAT AUCTIONS COULD FAIL. THIS CUSTOMER COMPLAINT INVOLVES ONE OR MORE AUCTION RATE SECURITIES WITH A NOTIONAL VALUE OF \$50,000 WHICH HAS BEEN THE SUBJECT OF A FAILED AUCTION.

Product Type: Other: #41 AUCTION RATE SECURITIES-CLOSED-END FUND

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES UNSPECIFIED BUT UNABLE TO CONCLUDE THAT DAMAGES WOULD BE LESS THAN \$5,000.

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: 03/26/2008

Complaint Pending? No

Status: Settled

Status Date: 04/02/2008

Settlement Amount: \$50,000.00

Individual Contribution Amount: \$0.00

Broker Statement ON 4/2/08, HSBC SECURITIES (USA) INC. AGREED TO VOLUNTARILY REPURCHASE THE ARS SECURITIES AT ISSUE FROM THE CUSTOMER AT PAR VALUE IN ORDER TO PROVIDE LIQUIDITY UNDER UNPRECEDENTED MARKET DEVELOPMENTS TO THE EXTENT THAT A CUSTOMER'S ARS POSITION(S) COULD NOT BE SOLD AND WAS NOT REDEEMED BY THE ISSUER. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE CUSTOMER; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CUSTOMER; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

Disclosure 3 of 3

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

HSBC SECURITIES (USA) INC.

Allegations:

CUSTOMER CLAIMS THAT REGISTERED REPRESENTATIVE DID NOT FULLY DESCRIBE THE NATURE OF THE INVESTMENT. THIS CUSTOMER COMPLAINT INVOLVES ONE OR MORE AUCTION RATE SECURITIES WITH A NOTIONAL VALUE OF \$75,000 THAT HAVE BEEN THE SUBJECT OF A FAILED AUCTION.

Product Type:

Other: #41 AUCTION RATE SECURITIES - CLOSED-END FUND

Alleged Damages:

\$0.00

Alleged Damages Amount Explanation (if amount not exact):

DAMAGES UNSPECIFIED BUT UNABLE TO CONCLUDE THAT DAMAGES WOULD BE LESS THAN \$5,000.

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:

05/05/2008

Complaint Pending?

No

Status:

Settled

Status Date:

05/09/2008

Settlement Amount:

\$75,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

ON 5/9/08, HSBC SECURITIES (USA) INC. AGREED TO VOLUNTARILY REPURCHASE THE ARS SECURITIES AT ISSUE FROM THE CUSTOMER AT PAR VALUE IN ORDER TO PROVIDE LIQUIDITY UNDER UNPRECEDENTED MARKET DEVELOPMENTS TO THE EXTENT THAT A CUSTOMER'S ARS POSITION(S) COULD NOT BE SOLD AND WAS NOT REDEEMED BY THE ISSUER. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE CUSTOMER; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CUSTOMER; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.



End of Report

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