



IAPD Report

Brian J Cotroneo

CRD# 5329180

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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

Brian J Cotroneo (CRD# 5329180)

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 **01/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MOORS & CABOT, INC	CRD# 594	07/05/2023
B	MOORS & CABOT, INC.	CRD# 594	09/05/2023

QUALIFICATIONS

This representative is currently registered in **5** 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
IA	AVIANCE CAPITAL PARTNERS LLC	146597	Ponte Vedra Beach, FL	12/01/2020 - 07/05/2023
B	HARBOR VIEW ADVISORS, LLC	151817	PONTE VEDRA, FL	08/30/2019 - 05/04/2020
B	BOFA SECURITIES, INC.	283942	NEW YORK, NY	05/10/2019 - 08/21/2019

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?

No



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 5 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MOORS & CABOT, INC**

Main Address: ONE FEDERAL STREET
19TH FLOOR
BOSTON, MA 02110

Firm ID#: 594

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/05/2023
B NYSE American LLC	General Securities Representative	Approved	09/05/2023
B NYSE Arca, Inc.	General Securities Representative	Approved	09/05/2023
B Nasdaq Stock Market	General Securities Representative	Approved	09/05/2023
B New York Stock Exchange	General Securities Representative	Approved	09/05/2023
B Arizona	Agent	Approved	09/21/2023
B California	Agent	Approved	04/15/2025
IA California	Investment Adviser Representative	Approved	04/15/2025
B Colorado	Agent	Approved	11/07/2025
IA Colorado	Investment Adviser Representative	Approved	11/07/2025
B Connecticut	Agent	Approved	05/30/2025
IA Connecticut	Investment Adviser Representative	Approved	05/30/2025
IA Florida	Investment Adviser Representative	Approved	07/05/2023



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	09/21/2023
IA Georgia	Investment Adviser Representative	Approved	08/07/2023
B Georgia	Agent	Approved	09/21/2023
B Idaho	Agent	Approved	07/30/2025
IA Illinois	Investment Adviser Representative	Approved	08/07/2023
B Illinois	Agent	Approved	09/21/2023
B Indiana	Agent	Approved	07/29/2025
B Maryland	Agent	Approved	05/28/2025
IA Maryland	Investment Adviser Representative	Approved	05/28/2025
B Massachusetts	Agent	Approved	07/17/2024
B Michigan	Agent	Approved	06/26/2025
B Minnesota	Agent	Approved	05/14/2024
IA Montana	Investment Adviser Representative	Approved	08/01/2023
B Montana	Agent	Approved	09/21/2023
IA New Jersey	Investment Adviser Representative	Approved	08/01/2023
B New Jersey	Agent	Approved	09/21/2023
IA New York	Investment Adviser Representative	Approved	08/01/2023
B New York	Agent	Approved	09/21/2023
B North Carolina	Agent	Approved	01/17/2025



Qualifications

Regulator	Registration	Status	Date	
IA	North Carolina	Investment Adviser Representative	Approved	01/21/2025
IA	Ohio	Investment Adviser Representative	Approved	08/01/2023
B	Ohio	Agent	Approved	09/21/2023
B	Oregon	Agent	Approved	07/10/2025
B	South Carolina	Agent	Approved	07/28/2025
B	Texas	Agent	Approved	05/03/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	05/04/2025
B	Utah	Agent	Approved	01/05/2026
IA	Wisconsin	Investment Adviser Representative	Approved	08/01/2023
B	Wisconsin	Agent	Approved	09/21/2023

Branch Office Locations

MOORS & CABOT, INC
999 VANDERBILT BEACH ROAD
SUITE 102
NAPLES, FL 34108

MOORS & CABOT, INC
Ponte Vedra, FL



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, 4 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 General Securities Representative Examination (S7TO)	Series 7TO	09/05/2023
B Investment Banking Registered Representative Examination (S79TO)	Series 79TO	08/30/2019
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	09/08/2008

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/20/2023
IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/23/2020

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	12/01/2020 - 07/05/2023	AVIANCE CAPITAL PARTNERS LLC	CRD# 146597	Ponte Vedra Beach, FL
B	08/30/2019 - 05/04/2020	HARBOR VIEW ADVISORS, LLC	CRD# 151817	PONTE VEDRA, FL
B	05/10/2019 - 08/21/2019	BOFA SECURITIES, INC.	CRD# 283942	NEW YORK, NY
B	09/09/2008 - 05/10/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
06/2023 - Present	MOORS CABOT INC	FINANCIAL PLANNER INV ADVISOR	Y	NAPLES, FL, United States
10/2020 - 06/2023	Aviance Capital Partners LLC	Financial Planner	Y	Naples, FL, United States
03/2020 - 10/2020	Aspen Group, Inc.	Financial Planning & Analysis Manager	N	Ponte Vedra, FL, United States
08/2019 - 03/2020	Harbor View Advisors	Investment Banking Associate	Y	Ponte Vedra Beach, FL, United States
03/2017 - 08/2019	US Navy	Lieutenant	N	Oak Harbor, WA, United States
03/2013 - 03/2017	US Navy	Ensign/Lieutenant	N	Jacksonville, FL, 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.

CASSIE COTRONEO PHOTOGRAPHY; NOT INVESTMENT-RELATED; 310 CAPTIVA DRIVE, PONTE VEDRA, FL 32081; PHOTOGRAPHY SERVICES; REGISTERED AGENT; STARTED 11/2019; ONE HOUR PER MONTH, NONE DURING SECURITIES TRADING HOURS; MANAGING ANNUAL LEGAL AND TAX REPORTING REQUIREMENTS.



End of Report

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