



IAPD Report

Alfonso Rocco Saverino

CRD# 5815410

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 6
Disclosure Information	7



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

Alfonso Rocco Saverino (CRD# 5815410)

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 **10/20/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	05/29/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	Q CAPITAL SOLUTIONS	297541	Red Bank, NJ	04/04/2023 - 05/29/2025
IA	METRO PRIVATE WEALTH LLC	318617	RED BANK, NJ	02/10/2022 - 01/31/2023
IA	CETERA ADVISORS LLC	10299	RED BANK, NJ	08/05/2020 - 12/23/2020

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
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PRIVATE ADVISOR GROUP, LLC**

Main Address: 305 MADISON AVENUE
MORRISTOWN, NJ 07960

Firm ID#: 155216

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	05/29/2025

Branch Office Locations

PRIVATE ADVISOR GROUP, LLC

322 State Route 35, Ste 320
Red Bank, NJ 07701



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
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	08/18/2010

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/12/2011
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/07/2011

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	04/04/2023 - 05/29/2025	Q CAPITAL SOLUTIONS	CRD# 297541	Red Bank, NJ
IA	02/10/2022 - 01/31/2023	METRO PRIVATE WEALTH LLC	CRD# 318617	RED BANK, NJ
IA	08/05/2020 - 12/23/2020	CETERA ADVISORS LLC	CRD# 10299	RED BANK, NJ
B	07/21/2020 - 12/23/2020	CETERA ADVISORS LLC	CRD# 10299	RED BANK, NJ
B	05/25/2017 - 03/12/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
IA	05/25/2017 - 03/12/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Shrewsbury, NJ
IA	12/22/2016 - 05/24/2017	ARCHER INVESTMENT CORPORATION	CRD# 136403	Manasquan, NJ
IA	08/27/2015 - 09/29/2016	H.D. VEST ADVISORY SERVICES, INC	CRD# 104556	MANASQUAN, NJ
B	08/25/2015 - 09/29/2016	HD VEST INVESTMENT SERVICES	CRD# 13686	Manasquan, NJ
B	10/02/2012 - 07/29/2013	LPL FINANCIAL LLC	CRD# 6413	FLEMINGTON, NJ
IA	10/02/2012 - 07/29/2013	LPL FINANCIAL LLC	CRD# 6413	FLEMINGTON, NJ
IA	03/28/2012 - 10/01/2012	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	SHREWSBURY, NJ
B	03/20/2012 - 10/01/2012	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	SHREWSBURY, NJ
IA	04/28/2011 - 05/20/2011	WBI INVESTMENTS	CRD# 106336	LITTLE SILVER, NJ
B	12/18/2010 - 05/13/2011	QUASAR DISTRIBUTORS, LLC	CRD# 103848	PORTLAND, ME
B	08/19/2010 - 09/21/2010	HENNION & WALSH, INC.	CRD# 25766	PARSIPPANY, NJ



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
05/2025 - Present	Private Advisor Group, LLC	Investment Advisor Representative	Y	Morristown, NJ, United States
07/2023 - Present	Kelleher Saverino & Petzold CPAs LLC d/b/a KSP CPAs	Managing Partner	N	Red Bank, NJ, United States
05/2022 - Present	Metro Retirement Solutions LLC	Owner/Insurance Agent	N	Manalapan, NJ, United States
03/2016 - Present	Saverino & Associates LLC	Owner	N	Red Bank, NJ, United States
03/2023 - 05/2025	Q Capital Solutions	Investment Adviser Representative	Y	Naples, FL, United States
01/2022 - 01/2023	Metro Private Wealth LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	Red Bank, NJ, United States
12/2021 - 01/2023	Metro Private Wealth LLC	Chief Compliance Officer	Y	Red Bank, NJ, United States
07/2020 - 12/2020	CETERA ADVISORS	REGISTERED REP/INVESTMENT ADVISOR REP	Y	DENVER, CO, United States
05/2017 - 07/2020	Ameriprise Financial Services Inc	Registered Representative	Y	Wall Township, NJ, United States
09/2016 - 05/2017	Archer Investment Corporation	Investment Advisor Representative	Y	Indianapolis, IN, United States
07/2015 - 05/2017	ALFONSO SAVERINO	OWNER	Y	MANASQUAN, NJ, United States
07/2015 - 09/2016	HD VEST INSURANCE AGENCY	INSURANCE AGENT	N	IRVING, TX, United States
05/2015 - 09/2016	HD VEST ADVISORY SERVICES	ADVISORY REPRESENTATIVE	Y	MANASQUAN, NJ, United States
05/2015 - 09/2016	HD VEST INVESTMENT SERVICES	REGISTERED REPRESENTATIVE	Y	MANASQUAN, NJ, 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. Mr. Saverino uses Capstone Wealth Management LLC as the name of the business under which he provides investment advice through Private Advisor Group, LLC. This activity is located at the address where Mr. Saverino is registered, and is related to his



Registration & Employment History

OTHER BUSINESS ACTIVITIES

investment services practice. Mr. Saverino devotes about 160 hours per month to this activity, including about 140 hours during securities trading hours, concurrently with time Mr. Saverino devotes to activity providing investment services through Private Advisor Group.

2.Mr. Saverino is a Certified Public Accountant practicing with Kelleher, Saverino & Petzold CPAs LLC, providing tax advice and tax preparation services. Mr. Saverino devotes about 80 hours per month to this activity, including about 80 hours during securities trading hours. This activity is located at the address where Mr. Saverino is registered, but is not related to his investment services practice. Clients can engage Mr. Saverino for tax advice and to provide tax preparation services, but any such advice or services are separate and apart from Private Advisor Group.

3.Mr. Saverino holds a license to sell insurance, but any such insurance business is separate and apart from investment advisory services that Mr. Saverino provides. Mr. Saverino uses Capstone Financial Group LLC as the name of the business through which he sells insurance. Mr. Saverino may recommend the purchase of certain insurance-related products on a commission basis. This activity is located at the address where Mr. Saverino is registered, but is not related to his investment services practice. Mr. Saverino devotes about 40 hours per month to this activity, including about 40 hours during securities trading hours. Clients can engage Mr. Saverino to purchase insurance products on a commission basis, but any such purchases are separate and apart from Private Advisor Group.



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
Termination	1

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:	HENNION & WALSH INC.
Termination Type:	Discharged
Termination Date:	09/14/2010
Allegations:	INDIVIDUAL CHEATED ON AN IN HOUSE SERIES 66 GREENLIGHT EXAMINATION
Product Type:	No Product
Firm Statement	SUPERVISOR SUSPECTED AL SAVERINO OF CHEATING. A MEETING WAS HELD WITH MR SAVERINO, HIS SUPERVISOR, THE CCO AND THE CFO. THE CCO ASKED HIM IF HE CHEATED, HE SAID YES.

Reporting Source:	Individual
Firm Name:	HENNION & WALSH INC
Termination Type:	Discharged
Termination Date:	09/14/2010
Allegations:	ACCUSED OF CHEATING ON AN IN-HOUSE, OPEN BOOK PRACTICE EXAM FOR SERIES 65 PREPARATION
Product Type:	No Product
Broker Statement	I WAS FALSELY ACCUSED OF CHEATING ON A TEST MY FORMER FIRM HAD GIVEN ME THE ANSWERS FOR. I NEVER ADMITTED TO CHEATING.



End of Report

This page is intentionally left blank.