



IAPD Report

Anthony Caruso

CRD# 6058056

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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 Caruso (CRD# 6058056)

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 **04/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CARUSO FAMILY FINANCIAL ADVISORS (CFFA) LLC	CRD# 306593	01/14/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	LIGHTPATH CAPITAL, INC	34617	SOUTHLAKE, TX	05/24/2021 - 12/31/2025
IA	WHITEHALL-PARKER SECURITIES, INC	10608	SAN RAFAEL, CA	01/30/2019 - 03/04/2020
B	WHITEHALL-PARKER SECURITIES, INC.	10608	SAN RAFAEL, CA	01/07/2019 - 03/04/2020

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
Bond	1
Judgment/Lien	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CARUSO FAMILY FINANCIAL ADVISORS (CFFA) LLC**
Main Address: 4990 SPEAK LANE
SUITE 280
SAN JOSE, CA 95118
Firm ID#: 306593

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	01/14/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	04/20/2026

Branch Office Locations

CARUSO FAMILY FINANCIAL ADVISORS (CFFA) LLC
6525 Crown Blvd. # 20775
San Jose, CA 95160



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
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Securities Industry Essentials Examination (SIE)	SIE	12/23/2016
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General Securities Representative Examination (S7)	Series 7	06/29/2012
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	08/10/2012
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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
B	05/24/2021 - 12/31/2025	LIGHTPATH CAPITAL, INC	CRD# 34617	SOUTHLAKE, TX
IA	01/30/2019 - 03/04/2020	WHITEHALL-PARKER SECURITIES, INC	CRD# 10608	SAN RAFAEL, CA
B	01/07/2019 - 03/04/2020	WHITEHALL-PARKER SECURITIES, INC.	CRD# 10608	SAN RAFAEL, CA
IA	07/10/2017 - 12/23/2019	TAYLOR ADVISORY GROUP	CRD# 288437	Fresno, CA
IA	02/22/2017 - 07/10/2017	ONE SOURCE HEALTH & WEALTH MANAGEMENT	CRD# 194511	Fresno, CA
B	11/02/2016 - 12/23/2016	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Fremont, CA
IA	09/06/2016 - 12/22/2016	SILICON PRIVATE WEALTH, LLC	CRD# 284145	FREMONT, CA
IA	08/15/2012 - 09/06/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SAN JOSE, CA
B	07/02/2012 - 09/06/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SAN JOSE, CA

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
05/2021 - Present	LIGHTPATH CAPITAL, INC.	REGISTERED REPRESENTATIVE	Y	SOUTHLAKE, TX, United States
12/2019 - Present	Caruso Family Financial Advisors (CFFA) LLC	Managing Member & Chief Compliance Officer	Y	San Jose, CA, United States
01/2019 - 03/2020	Whitehall-Parker Securities, Inc	Investment Adviser Representative	Y	SAN JOSE, CA, United States
01/2019 - 12/2019	Whitehall-Parker Securities, Inc	Registered Representative	Y	SAN JOSE, CA, United States
07/2017 - 12/2019	The Taylor Advisory Group	Managing Director	Y	Fresno, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2017 - 07/2017	One Source Health & Wealth	Financial Advisor	Y	Fresno, CA, United States
09/2016 - 12/2016	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REP	Y	Albany, NY, United States
09/2016 - 12/2016	Silicon Private Wealth, LLC	Investment Adviser Representative	Y	Fremont, CA, United States
09/2016 - 12/2016	Silicon Private Wealth- PKS	Financial Advisor	Y	Fremont, CA, United States
10/2012 - 09/2016	BANK OF AMERICA, N.A	FINANCIAL ADVISOR	Y	SAN JOSE, CA, United States
04/2012 - 09/2016	MERRILL LYNCH, PIERCE, FENNER AND SMITH INCORPORATED	FINANCIAL ADVISOR	Y	SAN JOSE, 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.

Caruso Family Financial Advisors, LLC. (CFFA), San Jose, CA; Registered Investment Advisory; Start Date: 2019; Position: CEO-CCO;



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
Bond	1
Judgment/Lien	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: SILICON PRIVATE WEALTH, LLC

Termination Type: Discharged

Termination Date: 12/15/2016

Allegations: Violation of Firm policies; Advisor no longer responsive to voice mails or emails regarding outside business activity.

Product Type: No Product

Reporting Source: Individual

Firm Name: Silicon Private Wealth, LLC

Termination Type: Discharged

Termination Date: 12/15/2016

Allegations: Advisor not responsive to voice mails or emails regarding outside business activity.

Product Type: No Product

Broker Statement This accusation is ridiculous. Representative Caruso has provided to FINRA evidence of significant communication with this employer during the period in question, refuting their argument. Representative Caruso was in the process of travelling to obtain the information requested by this employer when the employer took this action. And the allegation of a short period of non-communication is not a violation of "investment-related statutes, regulations, rules, or industry standards of conduct". FINRA is improperly requiring that representative Caruso check this



box, which creates a false impression of a violation of industry rules to the general public. FINRA will then charge a large fee for reviewing this filing that they require and that should not have to be made. We have addressed this matter with the Disclosure Review Department at FINRA, which we had to chase down over a three week period after our initial filing to get a response, even though it claimed in its automated response to us that it would handle this matter within "three to five business days". Representative Caruso had to remain unemployed during this period. FINRA refuses to address the evidence provided or state the specific violation of industry rules that necessitates this filing.



Bond

This disclosure event involves a bond for the Investment Adviser Representative that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 1

Reporting Source:	Individual
Policy Holder:	ANTHONY CARUSO CONSTRUCTION CORPORATION
Bonding Company Name:	DEVELOPERS SURETY & INDEMNITY
Disposition:	Payout
Disposition Date:	09/07/2011
Payout Amount:	\$10,321.92
Date Paid:	10/01/2011



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	State of California
Judgment/Lien Amount:	\$22,486.12
Judgment/Lien Type:	Tax
Date Filed with Court:	03/04/2024
Date Individual Learned:	05/28/2024
Type of Court:	County Recorder's Office
Name of Court:	County Recorder's Office
Location of Court:	Santa Clara, CA
Docket/Case #:	24057312392
Judgment/Lien Outstanding?	Yes



End of Report

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