



IAPD Report

ROBERT PETER PETROCINE

CRD# 707203

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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

ROBERT PETER PETROCINE (CRD# 707203)

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 **03/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	03/02/2026
IA	LPL ENTERPRISE, LLC	CRD# 8733	03/02/2026

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	EQUITABLE ADVISORS, LLC	6627	VERONA, NJ	01/28/2020 - 02/26/2026
IA	EQUITABLE ADVISORS, LLC	6627	VERONA, NJ	01/28/2020 - 02/26/2026
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	SADDLE BROOK, NJ	03/18/2011 - 01/30/2020

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
Customer Dispute	3
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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 8733

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/02/2026
B	California	Agent	Approved	03/03/2026
B	Connecticut	Agent	Approved	03/02/2026
B	Florida	Agent	Approved	03/03/2026
B	Georgia	Agent	Approved	03/03/2026
B	Illinois	Agent	Approved	03/04/2026
B	Maryland	Agent	Approved	03/02/2026
B	New Jersey	Agent	Approved	03/02/2026
IA	New Jersey	Investment Adviser Representative	Approved	03/02/2026
B	New York	Agent	Approved	03/02/2026
B	North Carolina	Agent	Approved	03/02/2026
B	Ohio	Agent	Approved	03/02/2026
B	Oregon	Agent	Approved	03/02/2026



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	03/02/2026
B South Carolina	Agent	Approved	03/04/2026
B Texas	Agent	Approved	03/02/2026
IA Texas	Investment Adviser Representative	Restricted Approval	03/02/2026
B Virginia	Agent	Approved	03/24/2026
B Washington	Agent	Approved	03/03/2026
B West Virginia	Agent	Approved	03/19/2026
B Wisconsin	Agent	Approved	03/02/2026

Branch Office Locations

LPL ENTERPRISE, LLC
25 POMPTON AVENUE
SUITE 101
VERONA, NJ 07044



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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	03/28/1983
 General Securities Representative Examination (S7)	Series 7	04/19/1980

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	09/11/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/17/1983

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	01/28/2020 - 02/26/2026	EQUITABLE ADVISORS, LLC	CRD# 6627	VERONA, NJ
IA	01/28/2020 - 02/26/2026	EQUITABLE ADVISORS, LLC	CRD# 6627	VERONA, NJ
B	03/18/2011 - 01/30/2020	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	SADDLE BROOK, NJ
IA	03/18/2011 - 01/30/2020	AMERIPRISE FINANCIAL SERVICES, LLC.	CRD# 6363	SADDLE BROOK, NJ
B	06/01/2009 - 02/28/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SHORT HILLS, NJ
IA	06/01/2009 - 02/28/2011	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SHORT HILLS, NJ
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SHORT HILLS, NJ
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SHORT HILLS, NJ
IA	10/03/2002 - 04/02/2007	MORGAN STANLEY	CRD# 7556	SHORT HILLS, NJ
B	05/23/1988 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	SHORT HILLS, NJ
B	08/01/1984 - 05/12/1988	PHILIPS, APPEL & WALDEN, INC.	CRD# 659	
B	03/06/1984 - 09/05/1984	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	02/11/1982 - 04/02/1984	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	06/16/1980 - 02/14/1982	NORTHFIELD INVESTMENTS INC.	CRD# 7621	
B	04/23/1980 - 06/07/1980	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
03/2026 - Present	LPL Enterprise LLC	Registered Representative	Y	Verona, NJ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2020 - 02/2026	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2020 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
03/2011 - 01/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Saddle Brook, NJ, United States
03/2011 - 01/2020	Investors Syndicate Development Corp	Agent	Y	Saddlebrook, 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.

- 02/27/2026 - : Robert Petrocine, N/A Non-Variable Insurance - Non-Variable Insurance/Insurance Agency - Inv Related - 160 Hour(s)/Month - 160 Hour(s) During Trading - Verona, NJ - OBA Start Date: 12/23/2025
- 02/27/2026 - Prudential Advisors - DBA for LPL Business (entity for LPL business) - Inv Related - 160 Hour(s)/Month - 160 Hour(s) During Trading - Verona, NJ - OBA Start Date: 12/23/2025
- 02/27/2026 - Glen Ridge Country Club - Non-profit volunteer (not on board) - Not Inv Related - 01 Hour(s)/Month - 00 Hour(s) During Trading - Glen Ridge, NJ - OBA Start Date: 04/15/1985



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	3
Termination	1

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:	MORGAN STANLEY & CO. INCORPORATED
Allegations:	CLAIMANT ALLEGES, INTER ALIA, THAT FROM THE SPRING OF 2007 TO DECEMBER 2008 THE FA MISHANDLED THE ASSETS OF THE ACCOUNT AND TRADED EXCESSIVELY.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	\$115,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-03393
Filing date of arbitration/CFTC reparation or civil litigation:	06/05/2009

Customer Complaint Information



Date Complaint Received: 07/10/2009
Complaint Pending? No
Status: Settled
Status Date: 12/28/2009
Settlement Amount: \$75,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.
Allegations: CUSTOMER ALLEGED EXCESSIVE TRADING. CUSTOMER DID NOT ALLEGE THAT SHE LOST MONEY.
Product Type: Equity - OTC
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/21/2000
Complaint Pending? No
Status: Settled
Status Date: 01/11/2001
Settlement Amount: \$30,000.00
Individual Contribution Amount: \$12,000.00

Broker Statement I DENY THAT THERE WAS EXCESSIVE TRADING. THE ACCOUNT MADE MONEY. DUPLICATE CONFIRMATIONS AND STATEMENTS WERE SENT TO HER SON WHO WAS THEREFORE AWARE OF ALL ACTIVITY.

Disclosure 3 of 3

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: PHILLIPS, APPEL & WALDEN, INC
Allegations: CHURNING; SUITABILITY; OTHER; ACTIVITY-OTHER
Product Type:
Alleged Damages: \$47,031.61

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #88-03077](#)
Date Notice/Process Served: 12/09/1988



Arbitration Pending? No
Disposition: Other
Disposition Date: 09/18/1990
Disposition Detail: AWARD AGAINST PARTY
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS
BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$7,800.0

.....

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PHILLIPS, APPEL & WALDEN, INC
Allegations: CHURNING, SUITABILITY OTHER;
ACUTAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$47,031.61.

Product Type:
Alleged Damages: \$47,031.61

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration/Reparation
Status Date:
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [National Association of Securities Dealers, Inc.; 88-03077](#)
Date Notice/Process Served: 12/09/1988
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 09/18/1990
Monetary Compensation Amount: \$7,800.00
Individual Contribution Amount:
Broker Statement ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$7,800.00
Not Provided



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: Individual
Firm Name: MERRILL LYNCH PIERCE, FENNER SMITH
Termination Type: Discharged
Termination Date: 07/20/1984

Allegations:

Product Type:

Other Product Types:

Broker Statement

THE BRANCH MANAGER AT MERRILL LYNCH THAT RECRUITED PETROCINE UNDER A SIGNED CONTRACT, SUGGESTED THAT HE RENEGOTIATE HIS CONTRACT WITH THE FIRM. THIS BRANCH MANAGER WAS THEN TRANSFERRED AND THE NEW BRANCH OFFICE MANAGER FAILED TO DISCUSS ANY NEGOTIATIONS TOWARDS THE CONTRACT THAT PETROCINE PREVIOUSLY HAD. AT THAT POINT HE WAS ASKED TO LEAVE.



End of Report

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