IAPD Report

ANTHONY MICHAEL FAUCI

CRD# 727667

Section Title	Page(s)

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 MICHAEL FAUCI (CRD# 727667)

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 **01/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	11/12/2020
B	CETERA ADVISORS LLC	CRD# 10299	09/08/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	FIRST ALLIED SECURITIES, INC.	32444	STATEN ISLAND, NY	12/09/2008 - 09/08/2022
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	STATEN ISLAND, NY	07/02/2012 - 11/12/2020
IA	FIRST ALLIED SECURITIES, INC.	32444	STATEN ISLAND, NY	12/09/2008 - 07/02/2012

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

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**
Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111
Firm ID#: 10299

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/08/2022
B	FINRA	General Securities Representative	Approved	09/08/2022
B	FINRA	Operations Professional	Approved	09/08/2022
B	Arizona	Agent	Approved	09/08/2022
B	California	Agent	Approved	09/08/2022
B	Connecticut	Agent	Approved	09/08/2022
B	Delaware	Agent	Approved	01/22/2024
B	Florida	Agent	Approved	09/08/2022
B	Georgia	Agent	Approved	09/08/2022
B	Massachusetts	Agent	Approved	09/08/2022
B	Michigan	Agent	Approved	09/08/2022
B	New Jersey	Agent	Approved	09/08/2022
B	New York	Agent	Approved	09/08/2022

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	09/08/2022
B	Ohio	Agent	Approved	05/14/2025
B	Oregon	Agent	Approved	09/08/2022
B	Pennsylvania	Agent	Approved	09/08/2022
B	Rhode Island	Agent	Approved	09/08/2022
B	South Carolina	Agent	Approved	09/08/2022
B	Tennessee	Agent	Approved	01/24/2024
B	Virginia	Agent	Approved	09/08/2022
B	Washington	Agent	Approved	09/08/2022

Branch Office Locations

CETERA ADVISORS LLC
169 Maple Ave
Red Bank, NJ 07701

CETERA ADVISORS LLC
1000 South Ave Suite 103
STATEN ISLAND, NY 10314

CETERA ADVISORS LLC
521 5TH AVENUE SUITE 1721, 17TH FLOOR
NEW YORK, NY 10175

CETERA ADVISORS LLC
NORTH MYRTLE BEACH, SC

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	11/12/2020
IA	New York	Investment Adviser Representative	Approved	03/31/2021

Qualifications

	Regulator	Registration	Status	Date
IA	South Carolina	Investment Adviser Representative	Approved	12/09/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
1000 SOUTH AVE SUITE 103
STATEN ISLAND, NY 10314

CETERA INVESTMENT ADVISERS LLC
521 5TH AVENUE
SUITE 1721, 17TH FLOOR
NEW YORK, NY 10175

CETERA INVESTMENT ADVISERS LLC
169 MAPLE AVE
RED BANK, NJ 07701

CETERA INVESTMENT ADVISERS LLC
NORTH MYRTLE BEACH, SC

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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	11/16/1998

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/23/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/18/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/13/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	12/09/2008 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	STATEN ISLAND, NY
IA	07/02/2012 - 11/12/2020	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	STATEN ISLAND, NY
IA	12/09/2008 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	STATEN ISLAND, NY
IA	09/29/2008 - 12/09/2008	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	STATEN ISLAND, NY
B	05/12/2006 - 12/09/2008	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	STATEN ISLAND, NY
B	04/14/2004 - 06/02/2006	ASHTON-CLAYTON FINANCIAL GROUP, LLC	CRD# 103720	STATEN ISLAND, NY
B	05/24/1994 - 04/14/2004	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	05/24/1994 - 04/14/2004	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
09/2022 - Present	CETERA ADVISORS LLC	REGISTERED REP	Y	NEW YORK, NY, United States
09/2022 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
12/2008 - 09/2022	FIRST ALLIED SECURITIES, INC.	MASS TRANSFER	Y	SAN DIEGO, CA, United States
11/2020 - 11/2020	FIRST ALLIED ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
07/2012 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC.	MASS TRANSFER - INVESTMENT ADVISOR REPRESENTATIVE	Y	CHESTERFIELD, MO, 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.) FRCT LLC - FAUCI RUBANO CAPALDO TOBACCO LLC; CORPORATION; PARTNER; DBA >5 HOURS PER MONTH. START DATE 4/16/2004.
2.) FRCT WEALTH MANAGEMENT GROUP; PARTNER; DBA; START DATE: 12/01/2008.
3.) GUIDED PROFESSIONAL SOLUTIONS LLC; 101 TYRELLAN AVE STE 400 STATE ISLAND NY 10009; DBA; PARTNER (20%); START DATE: 11/01/2009; 40 HOURS A MONTH
4.) THE OVERLOOK MANAGEMENT CORP; PARTNER; HOLDING COMPANY; START DATE 07/10/2015; 8 HOURS PER MONTH.
5.) FEHERTY'S TROOPS FIRST; INDEPENDENT CONTRACTOR; NON-PROFIT ORGANIZATION; START DATE: 09/15/2017 4 HOURS PER MONTH.
6.) ID 360; PARTNER; CONSULTING; START DATE: 05/22/2019; 12 HOURS PER MONTH.
7.) CYBER COMPLIANT; PARTNER; CONSULTING; START DATE: 4/15/2021; 4 HOURS PER MONTH.
8.) NAME OF OTHER BUSINESS: TONY'S ITALIAN TABLE, LLC ,
INVESTMENT RELATED: NO,
ADDRESS: 9430 BELLASERA CIRCLE, MYRTLE BEACH, SC 29579,
NATURE OF BUSINESS: RESTAURANT,
START DATE:11/2024,
POSITION/TITLE/RELATIONSHIP: PART OWNER,
APX NUMBER OF HOURS PER WEEK: 3,
APX NUMBER OF HOURS DURING TRADING HOURS: 0,
BRIEF DESCRIPTION OF DUTIES: PASSIVE INVESTOR;

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	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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS INC.
Allegations:	THE CLIENT'S RELATIVE HAS ALLEGED THAT I DID NOT ACT IN THE CLIENT'S BEST INTEREST, BUT THAT I ADVISED THE CLIENT TO INVEST IN UNSUITABLE INVESTMENTS.
Product Type:	Other
Other Product Type(s):	NEW YORK FIXED RETIREMENT ANNUITY - CORPORATE PROPERTY ASSOCIATES LIMITED PARTNERSHIP
Alleged Damages:	$7,000.00

Customer Complaint Information

Date Complaint Received:	01/30/2001
Complaint Pending?	No
Status:	Denied
Status Date:	03/20/2001
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	MY COMPANY'S COMPLOANCE DEPARTMENT FOUND THAT THE INVESTMENTS I ADVISED THE CLIENT TO INVEST IN WERE SUITABLE AND THE CLIENT WAS GIVEN ALL PROPER DISCLOSURES. THE CLIEN'T

COMPLAINT AGAINST ME WAS DENIED.

End of Report

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