

BrokerCheck Report

ALFONSO MARTIN CIOFFI JR

CRD# 1165133

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**ALFONSO M. CIOFFI JR**

CRD# 1165133

Currently employed by and registered with the following Firm(s):

IA LPL FINANCIAL LLC
 250 GLEN ST
 GLENS FALLS, NY 12801
 CRD# 6413
 Registered with this firm since: 07/30/2012

B LPL FINANCIAL LLC
 250 GLEN ST
 GLENS FALLS, NY 12801-3505
 CRD# 6413
 Registered with this firm since: 07/27/2012

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 16 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 3 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

IA KEY INVESTMENT SERVICES LLC
 CRD# 136300
 BROOKLYN, OH
 01/2010 - 06/2012

B KEY INVESTMENT SERVICES LLC
 CRD# 136300
 RUTLAND, VT
 01/2010 - 06/2012

IA PRIMEVEST FINANCIAL SERVICES, INC.
 CRD# 15340
 ST CLOUD, MN
 05/2007 - 03/2009

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 16 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	07/27/2012
B	FINRA	General Securities Representative	Approved	07/27/2012
B	FINRA	Invest. Co and Variable Contracts	Approved	07/27/2012

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/31/2024
B	Colorado	Agent	Approved	12/02/2021
B	Connecticut	Agent	Approved	02/07/2013
B	Delaware	Agent	Approved	08/15/2022
B	Florida	Agent	Approved	09/26/2012
B	Indiana	Agent	Approved	07/29/2020
B	Maine	Agent	Approved	11/22/2024
B	Maryland	Agent	Approved	07/13/2021
B	Massachusetts	Agent	Approved	01/29/2015
B	New Hampshire	Agent	Approved	08/22/2019



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	08/06/2020
B	New York	Agent	Approved	07/27/2012
IA	New York	Investment Adviser Representative	Approved	08/03/2021
B	North Carolina	Agent	Approved	01/06/2020
B	Pennsylvania	Agent	Approved	08/15/2022
B	Texas	Agent	Approved	10/04/2017
B	Vermont	Agent	Approved	07/30/2012
IA	Vermont	Investment Adviser Representative	Approved	07/30/2012

Branch Office Locations

LPL FINANCIAL LLC

250 GLEN ST
GLENS FALLS, NY 12801-3505

LPL FINANCIAL LLC

3853 MAIN STREET
WARRENSBURG, NY 12885

LPL FINANCIAL LLC

2252 STATE ROUTE 9
LAKE GEORGE, NY 12845

LPL FINANCIAL LLC

212 MAIN STREET
SALEM, NY 12865

LPL FINANCIAL LLC

8646 STATE RTE 22
GRANVILLE, NY 12832

LPL FINANCIAL LLC

93 MAIN STREET



Broker Qualifications

Employment 1 of 1, continued

ARGYLE, NY 12809

LPL FINANCIAL LLC

25 WEST MAIN STREET
CAMBRIDGE, NY 12816

LPL FINANCIAL LLC

343 BROADWAY
FORT EDWARD, NY 12828

LPL FINANCIAL LLC

1080 US ROUTE 9
SCHROON LAKE, NY 12870

LPL FINANCIAL LLC

6353 STATE ROUTE 9
CHESTERTOWN, NY 12817

LPL FINANCIAL LLC

4307 MAIN STREET
PORT HENRY, NY 12974

LPL FINANCIAL LLC

123 MONTCALM STREET
TICONDEROGA, NY 12883

LPL FINANCIAL LLC

3019 STATE ROUTE 4
HUDSON FALLS, NY 12839

LPL FINANCIAL LLC

1153 STATE ROUTE 29
GREENWICH, NY 12834

LPL FINANCIAL LLC

184 BROADWAY
WHITEHALL, NY 12887



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	09/27/1996

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/08/1993
B Investment Company Products/Variable Contracts Representative Examination	Series 6	07/28/1983

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/02/2003
IA Uniform Investment Adviser Law Examination	Series 65	09/15/1994
B Uniform Securities Agent State Law Examination	Series 63	09/14/1993

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 01/2010 - 06/2012	KEY INVESTMENT SERVICES LLC	136300	RUTLAND, VT
B 01/2010 - 06/2012	KEY INVESTMENT SERVICES LLC	136300	RUTLAND, VT
IA 05/2007 - 03/2009	PRIMEVEST FINANCIAL SERVICES, INC.	15340	ST. CLOUD, MN
B 05/2007 - 03/2009	BANCNORTH INVESTMENT GROUP, INC.	31299	BELLOWS FALLS, VT
IA 12/2003 - 05/2007	STRATEGIC ADVISERS, INC.	104555	MORRISTOWN, NJ
B 04/2000 - 05/2007	FIDELITY BROKERAGE SERVICES LLC	7784	MORRISTOWN, NJ
B 05/1998 - 02/2000	INFINEX INVESTMENTS, INC.	35371	MERIDEN, CT
B 03/1996 - 11/1996	LIBERTY SECURITIES CORPORATION	14416	PURCHASE, NY
B 08/1994 - 03/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 09/1993 - 02/1995	MONTANO SECURITIES CORPORATION	7887	ORANGE, CA
B 10/1989 - 05/1990	INVEST FINANCIAL CORPORATION	12984	APPLETON, WI
B 10/1987 - 10/1987	A. G. EDWARDS & SONS, INC.	4	
B 10/1986 - 10/1987	THOMAS JAMES ASSOCIATES, INC.	15609	
B 07/1983 - 09/1983	FIRST INVESTORS CORPORATION	305	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
07/2012 - Present	GLENS FALLS NATIONAL BANK	FINANCIAL CONSULTANT	N	GLENS FALLS, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2012 - Present	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. 07/27/2012: DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - GLENS FALLS NATIONAL INVESTMENT SERVICES - INVESTMENT RELATED - GLENS FALLS, NY.
- 2. 11/27/2012: OTHER-TEACHER/INSTRUCTOR - KILLINGTON SKI RESORT - SKI INSTRUCTOR - NOT INVESTMENT RELATED - TIME SPENT 1%.
- 3. 12/27/2024 - Arrow Investment Services - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 01/01/2025 - 0 hours per month/ during trading

End of Report



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