

BrokerCheck Report

ANTHONY JOHN CARREA

CRD# 2078811

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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.

ANTHONY J. CARREA

CRD# 2078811

This broker is not currently registered.

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 not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 2 State Securities Law Exams

Registration History

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

- B** **WOODBURY FINANCIAL SERVICES, INC.**
CRD# 421
OAKDALE, MN
03/1996 - 05/2002
- B** **METLIFE SECURITIES INC.**
CRD# 14251
SPRINGFIELD, MA
01/1991 - 01/1996
- B** **METROPOLITAN LIFE INSURANCE COMPANY**
CRD# 4095
NEW YORK, NY
01/1991 - 01/1996

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2

Broker Qualifications



Registrations

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

This broker is not currently registered.



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/21/1990

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/12/1998
B Uniform Securities Agent State Law Examination	Series 63	02/28/1991

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/1996 - 05/2002	WOODBURY FINANCIAL SERVICES, INC.	421	OAKDALE, MN
B 01/1991 - 01/1996	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 01/1991 - 01/1996	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY
B 09/1990 - 10/1990	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ
B 09/1990 - 10/1990	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	680	NEWARK, NJ

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
02/1996 - Present	FORTIS INVESTORS, INC.	NOT PROVIDED	Y	VIRGINIA BEACH, VA, United States

Disclosure Events



What you should know about reported disclosure events:

- 1. Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Final	On Appeal
Regulatory Event	2	0



Disclosure Event Details

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	08/20/2003
Docket/Case Number:	8210-07030018
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	FAILED TO RESPOND TO REQUESTS FOR DOCUMENTS AND/OR INFORMATION BY NASD AND TO TAKE CORRECTIVE ACTION WITHIN 20 DAYS AFTER SERVICE OF THE PRE-SUSPENSION NOTICE ON 08/20/03.
Current Status:	Final
Resolution:	Other
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/23/2004
Sanctions Ordered:	Bar

**Other Sanctions Ordered:****Sanction Details:**

BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY EFFECTIVE FEBRUARY 23, 2004 PURSUANT TO NASD RULE 9544 AND IN ACCORDANCE WITH THE NOTICE OF SUSPENSION FROM ASSOCIATION WITH ANY NASD MEMBER PURSUANT TO NASD RULE 9541(B).

Regulator Statement

SUSPENDED IN ALL CAPACITIES SEPTEMBER 11, 2003 PURSUANT TO THE PROVISIONS OF RULE 9541(B). IF RESPONDENT FAILS TO REQUEST A HEARING TO CHALLENGE THIS SUSPENSION WITHIN SIX MONTHS OF RECEIPT OF THE PRE-SUSPENSION NOTICE (08/20/03), HE WILL AUTOMATICALLY BE BARRED FROM ASSOCIATION WITH ANY MEMBER IN ANY CAPACITY.

Disclosure 2 of 2**Reporting Source:**

Regulator

Regulatory Action Initiated By:

VIRGINIA - DIVISION OF SECURITIES

Sanction(s) Sought:

Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:**Date Initiated:**

04/29/2003

Docket/Case Number:

SEC-2002-00056 SEC-2002-00057

Employing firm when activity occurred which led to the regulatory action:

SENIOR RETIREMENT SERVICES, INC.

Product Type:

No Product

Other Product Type(s):**Allegations:**

ANTHONY J. CARREA VIOLATED THE VIRGINIA SECURITIES ACT AND RULES BY OBTAINING MONEY BY MEANS OF UNTRUE STATEMENTS OF MATERIAL FACT; FAILING TO NOTIFY THE COMMISSION WITHIN 30 DAYS OF ANY CIVIL, CRIMINAL, OR ADMINISTRATIVE CHARGE; AND BY BORROWING MONEY FROM TWO CUSTOMERS.

Current Status:

Final

Resolution:

Decision & Order of Offer of Settlement

Resolution Date:

04/29/2003

Sanctions Ordered:

Monetary/Fine \$21,250.00



Other Sanctions Ordered: FINE AND PERMANENTLY ENJOINED

Sanction Details: FINE AND PERMANENTLY ENJOINED.

Regulator Statement ANTHONY CARREA IS PENALIZED A TOTAL OF \$21,250.00 AND PERMANENTLY ENJOINED FROM TRANSACTING BUSINESS AS AN INVESTMENT ADVISOR OR BROKER-DEALER AGENT IN THE COMMONWEALTH OF VIRGINIA. DEFENDANT HAS 90 DAYS TO PRESENT A PLAN BY WHICH HE WILL REPAY THE TWO CUSTOMERS. HIS FIRM, SENIOR RETIREMENT SERVICES, INC., WAS ALSO MONENTARILY PENALIZED AND PERMANENTLY ENJOINED AS AN INVESTMENT ADVISOR IN VIRGINIA.

Reporting Source: Regulator

Regulatory Action Initiated By: VIRGINIA - DIVISION OF SECURITIES

Sanction(s) Sought: Other

Other Sanction(s) Sought: SHOW CAUSE ORDER

Date Initiated: 02/25/2003

Docket/Case Number: SEC-2002-00056

Employing firm when activity occurred which led to the regulatory action: SENIOR RETIREMENT SERVICES, INC.

Product Type: No Product

Other Product Type(s):

Allegations: THE DIVISION ALLEGES THAT MR. CARREA, THROUGH HIS COMPANY, SENIOR RETIREMENT SERVICES, INC., VIOLATED THE SECURITIES ACT AND THE CODE OF VIRGINIA WHEN HE OBTAINED MONEY FROM HIS CUSTOMERS BY MEANS OF UNTRUE STATEMENTS OR OMISSIONS OF MATERIAL FACT; BORROWED MONEY FROM HIS CUSTOMERS; ENGAGED IN DISHONEST OR UNETHICAL PRACTICES AND BY FAILING TO UPDATE ITS FORM ADV AND MAKE, MAINTAIN AND PRODUCE CERTAIN BOOKS AND RECORDS.

Current Status: Final

Resolution: Order

Resolution Date: 02/25/2003

Sanctions Ordered:



Other Sanctions Ordered: SHOW CAUSE

Sanction Details: SHOW CAUSE

Regulator Statement A RULE OF SHOW CAUSE WAS ISSUED DECEMBER 20, 2002 FOR ANTHONY J. CARREA AND SENIOR RETIREMENT SERVICES, INC. TO APPEAR BEFORE THE STATE CORPORATION COMMISSION ON MARCH 4, 2003, AND SHOW CAUSE WHY THEY SHOULD NOT BE JOINTLY AND SEVERALLY PENALIZED PURSUANT TO SECTION 13.1-521 OF THE VIRGINIA SECURITIES ACT; ENJOINED FROM FUTURE VIOLATIONS; HAVE THEIR REGISTRATIONS REVOKED AND BE ASSESSED THE COST OF INVESTIGATION ON ACCOUNT OF THE ALLEGED VIOLATIONS. IT WAS FURTHER ORDERED THAT CARREA AND SENIOR RETIREMENT ARE TEMPORARILY ENJOINED FROM ACTING AS A BROKER-DEALER AGENT, INVESTMENT ADVISOR, OR INVESTMENT ADVISOR REPRESENTATIVE UNDER THE ACT UNTIL THE COMMISSION HEARS THIS MATTER OR UNTIL FURTHER ORDER OF THE COMMISSION.

End of Report



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