BrokerCheck Report

JOHN THOMAS PISAPIA

CRD# 2336216

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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.
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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.

JOHN T. PISAPIA

CRD# 2336216

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

IA **CHELSEA ADVISORY SERVICES, INC**
242 MAIN STREET
STATEN ISLAND, NY 10307
CRD# 150791
Registered with this firm since: 05/10/2016

B **U.S. SECURITIES, INTL. CORP.**
115 BROADWAY, Suite 07-110
NEW YORK, NY 10006
CRD# 11238
Registered with this firm since: 01/23/2026

B **CHELSEA FINANCIAL SERVICES**
242 MAIN STREET
STATEN ISLAND, NY 10307
CRD# 47770
Registered with this firm since: 01/24/2000

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
- 8 U.S. states and territories

This broker has passed:

- 8 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B **ROYAL HUTTON SECURITIES CORP.**
CRD# 14489
NEW YORK, NY
10/1996 - 04/2001

B **TOLUCA PACIFIC SECURITIES CORP.**
CRD# 13875
BURBANK, CA
09/1996 - 10/1996

B **SOVEREIGN EQUITY MANAGEMENT CORP.**
CRD# 20016
DEERFIELD BEACH, FL
06/1995 - 07/1996

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Customer Dispute	1

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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 8 U.S. states and territories through his or her employer.

Employment 1 of 3

Firm Name: **CHELSEA ADVISORY SERVICES, INC**

Main Office Address: **242 MAIN STREET**
STATEN ISLAND, NY 10307

Firm CRD#: **150791**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	06/19/2017

Branch Office Locations

242 MAIN STREET
STATEN ISLAND, NY 10307

Employment 2 of 3

Firm Name: **CHELSEA FINANCIAL SERVICES**

Main Office Address: **242 MAIN STREET**
STATEN ISLAND, NY 10307

Firm CRD#: **47770**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	01/24/2000
B	FINRA	General Securities Principal	Approved	01/24/2000
B	FINRA	General Securities Representative	Approved	01/24/2000
B	FINRA	General Securities Sales Supervisor	Approved	01/24/2000
B	FINRA	Registered Options Principal	Approved	01/24/2000

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Broker Qualifications

Employment 2 of 3, continued

	SRO	Category	Status	Date
B	FINRA	Municipal Securities Principal	Approved	05/14/2002
B	FINRA	Municipal Securities Representative	Approved	07/16/2002
B	FINRA	Investment Banking Representative	Approved	01/12/2010
B	FINRA	Operations Professional	Approved	12/09/2011
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	11/15/2000
B	Georgia	Agent	Approved	10/25/2016
B	New York	Agent	Approved	09/15/1999
B	North Carolina	Agent	Approved	08/08/2011
B	Oklahoma	Agent	Approved	03/16/2020
B	Pennsylvania	Agent	Approved	07/14/2026
B	Texas	Agent	Approved	05/02/2007
B	Wisconsin	Agent	Approved	02/23/2001

Branch Office Locations

CHELSEA FINANCIAL SERVICES
242 MAIN STREET
STATEN ISLAND, NY 10307

CHELSEA FINANCIAL SERVICES
242 MAIN STREET
STATEN ISLAND, NY 10307

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Broker Qualifications

Employment 3 of 3

Firm Name: **U.S. SECURITIES, INTL. CORP.**

Main Office Address: **115 BROADWAY**
SUITE 07-110
NEW YORK, NY 10006

Firm CRD#: **11238**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/23/2026
B	FINRA	Registered Options Principal	Approved	01/23/2026

Branch Office Locations

U.S. SECURITIES, INTL. CORP.
115 BROADWAY, Suite 07-110
NEW YORK, NY 10006

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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 8 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam		Category	Date
B	Compliance Officer Examination	Series 14	01/02/2023
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B	Municipal Securities Principal Examination	Series 53	05/06/1998
B	Financial and Operations Principal Examination	Series 27	04/27/1998
B	General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	11/03/1997
B	Registered Options Principal Examination	Series 4	07/29/1997
B	General Securities Principal Examination	Series 24	03/26/1997

General Industry/Product Exams

Exam		Category	Date
B	Municipal Securities Representative Examination	Series 52TO	09/25/2025
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	05/13/1993

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Broker Qualifications

Industry Exams this Broker has Passed, continued
State Securities Law Exams

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	11/23/2021
B	Uniform Securities Agent State Law Examination	Series 63	07/08/1993

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/.

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Broker Qualifications

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.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/1996 - 04/2001	ROYAL HUTTON SECURITIES CORP.	14489	NEW YORK, NY
B 09/1996 - 10/1996	TOLUCA PACIFIC SECURITIES CORP.	13875	BURBANK, CA
B 06/1995 - 07/1996	SOVEREIGN EQUITY MANAGEMENT CORP.	20016	DEERFIELD BEACH, FL
B 03/1995 - 06/1995	JOSEPH ROBERTS & CO., INC.	15971	POMPANO BEACH, FL
B 01/1994 - 03/1995	COMMONWEALTH ASSOCIATES	20833	NEW YORK, NY
B 07/1993 - 01/1994	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 05/1993 - 06/1993	THE WELLINGTON GROUP, INC.	17814	NEW YORK, NY

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
07/2021 - Present	U S Securities Intl COrp	Owner	Y	New York, NY, United States
05/2010 - Present	Chelsea Advisory Services	President	Y	Staten Island, NY, United States
05/1999 - Present	CHELSEA FINANCIAL SERVICES	PRESIDENT	Y	STATEN ISLAND, NY, 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.

CFS Holdings - Passive Property ownership, Not investment related;

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Disclosure Events

What you should know about reported disclosure events:

1. 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.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of 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.

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Customer Dispute	0	1	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

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 may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/15/2002
Docket/Case Number:	C10020048
Employing firm when activity occurred which led to the regulatory action:	ROYAL HUTTON SECURITIES CORP.
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 1120(A), 2110, 3010 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE ADEQUATE WRITTEN SUPERVISORY PROCEDURES (WSP) IN THAT HE FAILED TO DESIGNATE AN APPROPRIATELY REGISTERED PERSON TO SUPERVISE THE ACTIVITIES OF ANOTHER REGISTERED RESPRESENTATIVE OF THE FIRM; FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE ADEQUATE WSPS FOR MONITORING COMPLIANCE WITH THE

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	REGULATORY ELEMENT OF THE NASD'S CONTINUING EDUCATION PROGRAM AND THE WSPS FAILED TO ADEQUATELY ADDRESS DATES WHEN SUPERVISORY RESPONSIBILITY BECOME EFFECTIVE, ADVERTISING, REGISTRATION OF PERSONNEL, RECORDKEEPING, SEC 21(A) ISSUES, ORDER EXECUTION RULES, TRADE REPORTING; AND FAILED TO ENSURE THAT THE FIRM'S REGISTERED PERSONNEL COMPLY WITH THE NASD'S CONTNUING EDUCATION REQUIREMENTS AND PERMITTED INDIVIDUALS ASSOCIATED WITH THE FIRM TO ACT AS REGISTERED INDIVIDUALS WHILE THEIR REGISTRATION STATUS WITH THE NASD WAS INACTIVE DUE TO THEIR FAILURE TO COMPLETE THE REGULATORY ELEMENT OF NASD'S CONTINUING EDUCATION REQUIREMENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/15/2002
Sanctions Ordered:	Monetary/Fine $15,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	FINED $15,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN A PRINCIPAL CAPACITY FOR 20 BUSINESS DAYS. SUSPENSION EFFECTIVE JUNE 17, 2002 TO CLOSE OF BUSINESS JULY 15, 2002.

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	05/15/2002
Docket/Case Number:	C10020048
Employing firm when activity occurred which led to the regulatory action:	ROYAL HUTTON SECURITIES
Product Type:	No Product
Allegations:	FAILURE TO SUPERVISE

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Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	05/15/2002
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL PRINCIPAL CAPACITIES
Duration:	20 DAYS
Start Date:	06/17/2002
End Date:	07/16/2002
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$15,000.00
Portion Levied against individual:	$15,000.00
Payment Plan:	YES
Is Payment Plan Current:	Yes
Date Paid by individual:	05/06/2004
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	THIS AWC WAS UNDERTAKEN WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THAT I FAILED TO REASONABLY SUPERVISE CERTAIN INDIVIDUALS AT ROYAL HUTTON SECUTITIES DURING AUGUST 1997 THROUGH MARCH 1999. FOR PURPOSES OF CLARITY MY REGISISTERED REPRESNTATIVE LICENSE WAS UNAFFECTED.

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Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	WISCONSIN DEPT OF FINANCIAL INSTITUTIONS, DIV OF SECURITIES
Sanction(s) Sought:	Prohibition
Other Sanction(s) Sought:	
Date Initiated:	09/17/2001
Docket/Case Number:	S-00215(LX)
Employing firm when activity occurred which led to the regulatory action:	ROYAL HUTTON SECURITIES CORP.
Product Type:	Penny Stock(s)
Other Product Type(s):	
Allegations:	OFFER AND SALE OF UNREGISTERED STOCK
Current Status:	Final
Resolution:	Order
Resolution Date:	09/17/2001
Regulator Statement	FROM AT LEAST NOVEMBER 1999 UNTIL JANUARY 2000, ANDREW R. RAZZORE, ON BEHALF OF ROYAL HUTTON SECURITIES CORP. AND JOHN T. PISAPIA, OFFERED AND SOLD THE UNREGISTERED SHARES OF BIOPULSE INTERNATIONAL, INC. AND WORLD WIDE DATA INC. TO AT LEAST ONE PERSON IN WISCONSIN.

Reporting Source:	Broker
Regulatory Action Initiated By:	WISCONSIN DEPARTMENT OF FINANCIAL INSTITUTIONS,DIV OF SECURITIES
Sanction(s) Sought:	
Other Sanction(s) Sought:	NO SANCTIONS INVOLVED
Date Initiated:	09/17/2001

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Docket/Case Number:	S-00215(LX)
Employing firm when activity occurred which led to the regulatory action:	ROYAL HUTTON SECURITIES
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	A REGISTERED REP SOLD SECURITIES THAT WERE NOT REGISTERED FOR SALE IN WISCONSIN, AND I WAS ON FILE WITH WISCONSIN AS THE STATUTORY SUPERVISOR
Current Status:	Final
Resolution:	Order
Resolution Date:	09/17/2001
Sanctions Ordered:	
Other Sanctions Ordered:	NO SANCTIONS INVOLVED
Sanction Details:	NO SANCTIONS INVOLVED
Broker Statement	AS FAR AS WISCONSIN IS CONCERNED I WAS THE STATUTORY SUPERVISOR IN WISCONSIN. ANDREW RAZZORE SOLD STOCK TO A RESIDENT OF WISCONSIN THAT WAS NOT REGISTERED WITH THE STATE

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Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	ROYAL HUTTON SECURITIES CORP.
Allegations:	BREACH OF FIDUCIARY DUTY, NEGLIGENCE, MISREPRESENTATION, OMISSIONS, FRAUD, CHURNING.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF FINANCIAL PRODUCT
Alleged Damages:	$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #01-00435
Date Notice/Process Served:	01/25/2001
Arbitration Pending?	No
Disposition:	Dismissed
Disposition Date:	11/15/2002
Disposition Detail:	DISMISSED: CLAIMANT?S CLAIMS ARE DISMISSED BY THE CLAIMANT.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ROYAL HUTTON SECURITIES
Allegations:	FAILURE TO SUPERVISE
Product Type:	Equity - OTC
Alleged Damages:	$75,000.00

Customer Complaint Information

Date Complaint Received:	10/04/2000

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Complaint Pending?	No
Status:	Settled
Status Date:	09/26/2002
Settlement Amount:	$2,000.00
Individual Contribution Amount:	$2,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	01-00435
Date Notice/Process Served:	10/04/2000
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/26/2002
Monetary Compensation Amount:	$2,000.00
Individual Contribution Amount:	$2,000.00

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End of Report

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