

BrokerCheck Report

PAUL T VECCHIONE

CRD# 2411410

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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:
 - o 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
 - o 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.

**PAUL T. VECCHIONE**

CRD# 2411410

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

IA PARK AVENUE SECURITIES LLC
 92 EAST MAIN STREET
 SUITE 203A
 SOMERVILLE, NJ 08876
 CRD# 46173
 Registered with this firm since: 02/25/2003

B PARK AVENUE SECURITIES LLC
 92 EAST MAIN STREET
 SUITE 203A
 SOMERVILLE, NJ 08876
 CRD# 46173
 Registered with this firm since: 05/03/1999

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
- 25 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA INTERNATIONAL PLANNING ALLIANCE, LLC**
 CRD# 120701
 FAIRFIELD, NJ
 07/2003 - 12/2011
- B GUARDIAN INVESTOR SERVICES CORPORATION**
 CRD# 6635
 NEW YORK, NY
 10/1994 - 05/1999
- B ROBERT W. BAIRD & CO. INCORPORATED**
 CRD# 8158
 MILWAUKEE, WI
 02/1994 - 10/1994

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

Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**

Main Office Address: **10 HUDSON YARDS
NEW YORK, NY 10001**

Firm CRD#: **46173**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	05/03/1999

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/10/2008
B	California	Agent	Approved	01/09/2002
IA	California	Investment Adviser Representative	Approved	06/16/2017
B	Colorado	Agent	Approved	02/26/2007
B	Connecticut	Agent	Approved	11/28/2000
B	Delaware	Agent	Approved	02/01/2017
B	District of Columbia	Agent	Approved	01/24/2020
B	Florida	Agent	Approved	07/20/1999
IA	Florida	Investment Adviser Representative	Approved	12/07/2020
B	Indiana	Agent	Approved	06/04/2002
B	Louisiana	Agent	Approved	01/04/2022
B	Maine	Agent	Approved	07/31/2019

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Maine	Investment Adviser Representative	Approved	12/12/2019
B	Maryland	Agent	Approved	09/29/2003
B	Massachusetts	Agent	Approved	03/03/2021
IA	Massachusetts	Investment Adviser Representative	Approved	06/14/2024
B	Michigan	Agent	Approved	07/14/2022
B	Montana	Agent	Approved	09/11/2018
B	Nevada	Agent	Approved	08/19/2021
IA	Nevada	Investment Adviser Representative	Approved	09/17/2021
B	New Hampshire	Agent	Approved	10/27/2022
IA	New Hampshire	Investment Adviser Representative	Approved	11/02/2022
B	New Jersey	Agent	Approved	05/03/1999
IA	New Jersey	Investment Adviser Representative	Approved	02/25/2003
B	New York	Agent	Approved	05/03/1999
IA	New York	Investment Adviser Representative	Approved	04/16/2021
B	North Carolina	Agent	Approved	09/17/2004
B	Ohio	Agent	Approved	10/12/2001
B	Pennsylvania	Agent	Approved	05/03/1999
IA	Pennsylvania	Investment Adviser Representative	Approved	01/11/2018
B	South Carolina	Agent	Approved	06/10/2019
B	Texas	Agent	Approved	05/09/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	02/27/2025



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Vermont	Agent	Approved	08/22/2005
B	Virginia	Agent	Approved	03/03/2021

Branch Office Locations

PARK AVENUE SECURITIES LLC
92 EAST MAIN STREET
SUITE 203A
SOMERVILLE, NJ 08876



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	10/25/1993

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/02/1997

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 07/2003 - 12/2011	INTERNATIONAL PLANNING ALLIANCE, LLC	120701	FAIRFIELD, NJ
B 10/1994 - 05/1999	GUARDIAN INVESTOR SERVICES CORPORATION	6635	NEW YORK, NY
B 02/1994 - 10/1994	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI
B 10/1993 - 10/1994	NORTHWESTERN MUTUAL INVESTMENT SERVICES, INC.	2881	MILWAUKEE, WI

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
02/2018 - Present	GUARDIAN LIFE INSURANCE	AGENT	Y	SOMERVILLE, NJ, United States
02/2018 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	SOMERVILLE, NJ, United States
10/1999 - Present	INTERNATIONAL PLANNING ALLIANCE, LLC	ASSOCIATED PERSON	Y	BRIDGEWATER, NJ, United States
07/2013 - 02/2018	PARK AVENUE SECURITIES LLC	REGISTERED REP	Y	ISELIN, NJ, United States
07/2013 - 02/2018	THE GUARDIAN LIFE INSURANCE CO.	AGENT	Y	ISELIN, NJ, 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. Selling non-Guardian Insurance Products,
Start: 05/05/1990,
Address: 92 East Main Street, Somerville NJ 08876,



Registration and Employment History

Other Business Activities, continued

30 total business hours per month / 30 during securities trading hours,
Less than 10% annual compensation,
Investment related,

2. Board Member Treasurer for Montgomery Lacrosse club- town recreational lacrosse program. Board member and write checks for referees for games

Start: 02/15/2019

Address: Rocky Hill , NJ,

2 total business hours per month / 0 during securities trading hours,

No annual compensation,

Not investment related,

3. Trustee-wife trust,

Start: 11/01/2020,

Address: 6 Matthews Farm Road Belle Mead NJ 08502,

2 total business hours per month / 2 during securities trading hours,

No annual compensation,

Investment related,

4. National Wealth Advisory Group, LLC, Owner with Spouse, LLC created for tax purposes,

Start: 01/02/2022,

Address: 6 Matthews Farm Road, Belle Mead, NJ 08502,

2 total business hours per month / 2 during securities trading hours,

Less than 10% annual compensation,

Investment related,

5. Board Member for Princeton Academy of the Sacred Heart,

Start: 09/15/2024,

Address: 1128 Great Road Princeton NJ 08540,

5 total business hours per month / 1 during securities trading hours,

No annual compensation,

Not investment related

End of Report



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