

BrokerCheck Report

JOHN PARMIGIANI

CRD# 2800410

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 10
Registration and Employment History	12 - 13



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.

**JOHN PARMIGIANI**

CRD# 2800410

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

IA MILLENNIAL ADVISERS, LLC.
THREE WORLD FINANCIAL
200 VESEY STREET 24TH FLOOR
NEW YORK, NY 10281
CRD# 170847
Registered with this firm since: 01/03/2020

B ONESOURCE FI LLC
Three World Financial Center
200 Vesey Street, 24th Floor
New York, NY 10281
CRD# 310933
Registered with this firm since: 07/13/2021

B ALLIED MILLENNIAL PARTNERS, LLC
THREE WORLD FINANCIAL CENTER
200 VESEY STREET 24TH FL
NEW YORK, NY 10281
CRD# 16569
Registered with this firm since: 10/31/2011

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
- 52 U.S. states and territories

This broker has passed:

- 4 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):

- IA MILLENNIAL ADVISERS, LLC.**
CRD# 170847
NEW YORK, NY
11/2015 - 12/2019
- B BLACKBOOK CAPITAL LLC**
CRD# 123234
NORTHPORT, NY
10/2010 - 07/2011
- B PRESTIGE FINANCIAL CENTER, INC.**
CRD# 30407
MELVILLE, NY
10/2008 - 11/2010

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

Employment 1 of 3

Firm Name: **ALLIED MILLENNIAL PARTNERS, LLC**

Main Office Address: **THREE WORLD FINANCIAL CENTER
200 VESEY STREET 24TH FL
NEW YORK, NY 10281**

Firm CRD#: **16569**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/31/2011
B	FINRA	General Securities Representative	Approved	10/31/2011
B	FINRA	General Securities Sales Supervisor	Approved	10/31/2011
B	FINRA	Operations Professional	Approved	12/08/2011
B	FINRA	Financial and Operations Principal	Approved	10/09/2012
B	FINRA	Research Analyst	Approved	11/02/2015
B	FINRA	Investment Banking Representative	Approved	01/08/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/05/2013
B	Alaska	Agent	Approved	06/24/2015
B	Arizona	Agent	Approved	12/08/2011
B	Arkansas	Agent	Approved	01/19/2012
B	California	Agent	Approved	11/14/2011
B	Colorado	Agent	Approved	06/24/2015

Broker Qualifications



Employment 1 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	12/22/2011
B	Delaware	Agent	Approved	07/01/2015
B	District of Columbia	Agent	Approved	06/25/2015
B	Florida	Agent	Approved	02/16/2012
B	Georgia	Agent	Approved	12/14/2011
B	Hawaii	Agent	Approved	07/08/2015
B	Idaho	Agent	Approved	02/06/2012
B	Illinois	Agent	Approved	11/17/2011
B	Indiana	Agent	Approved	04/10/2012
B	Iowa	Agent	Approved	01/24/2013
B	Kansas	Agent	Approved	01/28/2013
B	Kentucky	Agent	Approved	01/23/2013
B	Louisiana	Agent	Approved	08/07/2012
B	Maine	Agent	Approved	07/06/2015
B	Maryland	Agent	Approved	12/07/2011
B	Massachusetts	Agent	Approved	11/17/2011
B	Michigan	Agent	Approved	01/20/2012
B	Minnesota	Agent	Approved	01/30/2012
B	Mississippi	Agent	Approved	02/05/2013
B	Missouri	Agent	Approved	08/12/2015
B	Montana	Agent	Approved	06/24/2015

Broker Qualifications



Employment 1 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	01/25/2013
B	Nevada	Agent	Approved	07/23/2012
B	New Hampshire	Agent	Approved	08/24/2015
B	New Jersey	Agent	Approved	12/06/2011
B	New Mexico	Agent	Approved	06/29/2012
B	New York	Agent	Approved	11/08/2011
B	North Carolina	Agent	Approved	01/23/2013
B	North Dakota	Agent	Approved	01/28/2013
B	Ohio	Agent	Approved	01/24/2013
B	Oklahoma	Agent	Approved	01/25/2013
B	Oregon	Agent	Approved	01/30/2013
B	Pennsylvania	Agent	Approved	01/17/2012
B	Puerto Rico	Agent	Approved	07/07/2015
B	Rhode Island	Agent	Approved	06/24/2015
B	South Carolina	Agent	Approved	11/16/2011
B	South Dakota	Agent	Approved	01/24/2013
B	Tennessee	Agent	Approved	01/05/2018
B	Texas	Agent	Approved	12/21/2011
B	Utah	Agent	Approved	06/24/2015
B	Vermont	Agent	Approved	04/05/2012
B	Virginia	Agent	Approved	01/24/2013



Broker Qualifications

Employment 1 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	11/16/2011
B	West Virginia	Agent	Approved	02/13/2013
B	Wisconsin	Agent	Approved	12/16/2011
B	Wyoming	Agent	Approved	01/25/2013

Branch Office Locations

ALLIED MILLENNIAL PARTNERS, LLC
 THREE WORLD FINANCIAL CENTER
 200 VESEY STREET 24TH FL
 NEW YORK, NY 10281

Employment 2 of 3

Firm Name: **MILLENNIAL ADVISERS, LLC.**
 Main Office Address: **THREE WORLD FINANCIAL**
200 VESEY STREET 24TH FLOOR
NEW YORK, NY 10281
 Firm CRD#: **170847**

	U.S. State/ Territory	Category	Status	Date
IA	New York	Investment Adviser Representative	Approved	04/20/2021

Branch Office Locations

THREE WORLD FINANCIAL
 200 VESEY STREET 24TH FLOOR
 NEW YORK, NY 10281



Broker Qualifications

Employment 3 of 3

Firm Name: **ONESOURCE FI LLC**
 Main Office Address: **200 VESEY STREET, 24TH FLOOR
 NEW YORK, NY 10281**
 Firm CRD#: **310933**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	07/13/2021
B FINRA	General Securities Principal	Approved	07/13/2021
B FINRA	General Securities Representative	Approved	07/13/2021
B FINRA	General Securities Sales Supervisor	Approved	07/13/2021
B FINRA	Investment Banking Representative	Approved	07/13/2021
B FINRA	Operations Professional	Approved	07/13/2021
B FINRA	Research Analyst	Approved	07/13/2021

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	03/25/2022
B Alaska	Agent	Approved	04/06/2022
B Arizona	Agent	Approved	08/04/2022
B Arkansas	Agent	Approved	03/09/2022
B California	Agent	Approved	01/27/2022
B Colorado	Agent	Approved	01/27/2022
B Connecticut	Agent	Approved	02/17/2022
B Delaware	Agent	Approved	03/16/2022
B District of Columbia	Agent	Approved	06/22/2022
B Florida	Agent	Approved	08/04/2022



Broker Qualifications

Employment 3 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	03/18/2022
B	Hawaii	Agent	Approved	02/28/2022
B	Idaho	Agent	Approved	01/25/2022
B	Illinois	Agent	Approved	06/15/2022
B	Iowa	Agent	Approved	02/24/2022
B	Kansas	Agent	Approved	03/09/2022
B	Kentucky	Agent	Approved	03/08/2022
B	Louisiana	Agent	Approved	02/28/2022
B	Maine	Agent	Approved	03/21/2022
B	Maryland	Agent	Approved	03/08/2022
B	Michigan	Agent	Approved	03/28/2022
B	Minnesota	Agent	Approved	01/05/2024
B	Mississippi	Agent	Approved	02/24/2022
B	Missouri	Agent	Approved	05/19/2023
B	Montana	Agent	Approved	03/08/2022
B	Nebraska	Agent	Approved	02/24/2022
B	New Hampshire	Agent	Approved	07/06/2022
B	New Jersey	Agent	Approved	01/04/2023
B	New York	Agent	Approved	01/20/2022
B	Washington	Agent	Approved	06/21/2022

Broker Qualifications



Employment 3 of 3, continued Branch Office Locations

ONESOURCE FI LLC

Three World Financial Center
200 Vesey Street, 24th Floor
New York, NY 10281



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

Principal/Supervisory Exams

Exam	Category	Date
B Financial and Operations Principal Examination	Series 27	10/08/2012
B General Securities Sales Supervisor - Options Module Examination	Series 9	05/22/2001
B General Securities Sales Supervisor - General Module Examination	Series 10	05/09/2001
B General Securities Principal Examination	Series 24	05/07/1999

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Investment Banking Registered Representative Examination	Series 79TO	01/08/2021
B Securities Industry Essentials Examination	SIE	10/01/2018
B Research Analyst Exam - Part II Regulations Module	Series 87	11/02/2015
B General Securities Representative Examination	Series 7	11/05/1996

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/19/2015
B Uniform Securities Agent State Law Examination	Series 63	11/08/1996

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 11/2015 - 12/2019	MILLENNIAL ADVISERS, LLC.	170847	NEW YORK, NY
B 10/2010 - 07/2011	BLACKBOOK CAPITAL LLC	123234	NORTHPORT, NY
B 10/2008 - 11/2010	PRESTIGE FINANCIAL CENTER, INC.	30407	MELVILLE, NY
B 09/2006 - 09/2008	J.P. TURNER & COMPANY, L.L.C.	43177	WESTBURY, NY
B 12/2005 - 08/2006	JOSEPH GUNNAR & CO. LLC	24795	NEW YORK, NY
B 11/2003 - 12/2005	S.W. BACH & COMPANY	43522	NEW YORK, NY
B 09/2001 - 12/2003	HARRISON SECURITIES, INC.	14103	PORT WASHINGTON, NY
B 08/1998 - 10/2001	LADENBURG CAPITAL MANAGEMENT INC.	14623	BETHPAGE, NY
B 11/1996 - 08/1998	FIRST ASSET MANAGEMENT, INC.	17341	GARDEN CITY, 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
04/2019 - Present	One Source FI, LLC	CEO	Y	New York, NY, United States
04/2016 - Present	Millennial Advisers, LLC	CEO/President	Y	New York, NY, United States
10/2011 - Present	Allied Millennial Partners, LLC.	RR, 11/2015 to Present CEO, President	Y	NEW YORK, 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.

Registration and Employment History



Other Business Activities, continued

(1) JPED Holdings, LLC. Non Inv Related. NY. Holding Company for Allied Millennial Partners, LLC., and Millennial Advisers, LLC. Partner/Owner August 2011. Number of hrs/month. <1; (2) 7579 Holdings, LLC, Inv Related. NY Partner/Owner. Managing Member. Manager of Disruptive Ventures, LLC. April 2019 Number of hrs/month varies; (3) DV Management, LLC. Non Inv Related. NY Partner/Owner. Holding Company for Disruptive Manager, LLC. November 2020. Number of hrs/month <1; (4) Disruptive Manager, LLC. (fka Disruptive Advisors, LLC.). Inv. Related NY. Managing Member. Manager of Disruptive Ventures Remote Revolution LLC. November 2020. Number of hrs/month varies; (5) 1059 Holdings, LLC. Non Inv Related NY. Holding Company for One Source FI LLC. Partner/Owner. April 2019. Number of hrs/month <1; (6) Island Escapes LLC. Non Inv. Related. Managing Member, Maritime Excursions/Charters, December 2015. Number of hrs/month varies (Seasonal); (7) 3JD Holdings, LLC. Inv. Related. Partner/Owner Investment Holding Company. August 2021. Number of hrs/month <1; (8) Registered Director. Inv Related. Caymans. May 2022 Number of hrs/month <5; (9) KJDI Holdings, LLC. Non Inv Related. NY Partner/Owner. Holding Company for DVI Management, LLC. May 2022. Number of hrs/month <1; (10) DVI Management, LLC. Inv Related. NY. Manager of DVI, LLC and DVI QP LLC. May 2022 Number of hrs/month varies. (11.) National Adjudicatory Council (NAC). Not Investment Related. Member of the NAC Small Firm Council. Attend quarterly meetings. January 2023. (12.) Fund Distribution Consultants, LLC. Inv Related. Remote. Independent consulting firm responsible for distributing assets to investors for respondents subject to an SEC Order. Owner. August 2023. Number of hrs/month varies.

End of Report



This page is intentionally left blank.