BrokerCheck Report

JAMES M DELLAVECCHIA

CRD# 4903436

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.

JAMES M. DELLAVECCHIA

CRD# 4903436

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

IA **EQUITABLE ADVISORS, LLC**
184 NORTH AVE EAST
SUITE 200
CRANFORD, NJ 07016
CRD# 6627
Registered with this firm since: 04/19/2023

B **EQUITABLE ADVISORS, LLC**
184 NORTH AVE EAST
SUITE 200
CRANFORD, NJ 07016
CRD# 6627
Registered with this firm since: 04/19/2023

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
- 14 U.S. states and territories

This broker has passed:

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

Registration History

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

B **LPL FINANCIAL LLC**
CRD# 6413
CRANFORD, NJ
01/2014 - 04/2023

B **MML INVESTORS SERVICES, LLC**
CRD# 10409
CLIFTON, NJ
04/2009 - 01/2014

B **NATIONAL SECURITIES CORPORATION**
CRD# 7569
ISELIN, NJ
04/2008 - 04/2009

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2
Financial	11

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

Employment 1 of 1

Firm Name: **EQUITABLE ADVISORS, LLC**

Main Office Address: **1345 AVENUE OF THE AMERICAS**
NEW YORK, NY 10105

Firm CRD#: **6627**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/19/2023

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	04/19/2023
IA	California	Investment Adviser Representative	Approved	04/19/2023
B	Connecticut	Agent	Approved	04/19/2023
IA	Connecticut	Investment Adviser Representative	Approved	05/03/2023
B	Florida	Agent	Approved	04/19/2023
IA	Florida	Investment Adviser Representative	Approved	04/20/2023
IA	Iowa	Investment Adviser Representative	Approved	05/05/2025
B	Iowa	Agent	Approved	05/09/2025
B	Maryland	Agent	Approved	04/19/2023
IA	Maryland	Investment Adviser Representative	Approved	04/19/2023
B	Massachusetts	Agent	Approved	05/23/2023
IA	Minnesota	Investment Adviser Representative	Approved	04/25/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Minnesota	Agent	Approved	05/05/2023
B	New Jersey	Agent	Approved	05/03/2023
IA	New Jersey	Investment Adviser Representative	Approved	05/03/2023
B	New Mexico	Agent	Approved	04/19/2023
IA	New Mexico	Investment Adviser Representative	Approved	05/04/2023
B	New York	Agent	Approved	04/19/2023
IA	New York	Investment Adviser Representative	Approved	05/03/2023
B	North Carolina	Agent	Approved	05/09/2023
IA	North Carolina	Investment Adviser Representative	Approved	05/09/2023
B	Oklahoma	Agent	Approved	03/10/2025
IA	Oklahoma	Investment Adviser Representative	Approved	03/10/2025
B	Pennsylvania	Agent	Approved	04/19/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	04/20/2023
B	Virginia	Agent	Approved	06/25/2024
IA	Virginia	Investment Adviser Representative	Approved	06/25/2024

Branch Office Locations

EQUITABLE ADVISORS, LLC
184 NORTH AVE EAST
SUITE 200
CRANFORD, NJ 07016

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 2 state securities law exams.

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	General Securities Representative Examination	Series 7	04/14/2005

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	02/15/2023
B	Uniform Securities Agent State Law Examination	Series 63	04/25/2005

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
B	01/2014 - 04/2023	LPL FINANCIAL LLC	6413	CRANFORD, NJ
B	04/2009 - 01/2014	MML INVESTORS SERVICES, LLC	10409	CLIFTON, NJ
B	04/2008 - 04/2009	NATIONAL SECURITIES CORPORATION	7569	ISELIN, NJ
B	02/2006 - 03/2008	WESTROCK ADVISORS, INC.	114338	NEW YORK, NY
B	04/2005 - 03/2006	JOSEPH STEVENS & COMPANY, INC.	35459	STATEN ISLAND, 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
04/2023 - Present	Equitable Advisors, LLC	Registered Representative	Y	New York, NY, United States
01/2014 - 04/2023	LPL Financial, LLC	Registered Representative	Y	CRANFORD, 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. 6/16/2014 - THE DELLAVECCHIA GROUP, LLC - Investment Related - At Reported Business Location(s) - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - Started 05/27/2014 - 80 Hours Per Month/5 Hours During Securities Trading.

2. 1/5/2022 - Allstate Benefits - Investment Related - Home Based & At Reported Business Location(s) - Non-Variable Insurance - Broker/Health Insurance Agent - Started 01/01/2022 - 10 Hours Per Month During Securities Trading.

Registration and Employment History

Other Business Activities, continued

3. 1/5/2022 - Madison Brokerage - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Broker/ Life Insurance Agent - Started 01/04/2022 - 10 Hours Per Month During Securities Trading.

4. 1/5/2022 - Martin Insurance - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Broker/ Health Insurance Agent - 10 Hours Per Month During Securities Trading. - Non-Variable Insurance - Started 01/01/2022 - Broker - 10 Hours Per Month During Securities Trading.

5. Cranford Business Alliance - president - www.dvgnnj.com

6. Outside Fixed Insurance Sales

7. Medicare INSURANCE SALES- broker 2022 Jack schroeder & associates LLC effective 4/28/2023 4 hrs a month

8. james@dvgnj.com business sales and solicitation - reviewed and approved by onboarding EXP hire group

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
Customer Dispute	0	2	N/A
Financial	0	11	N/A

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.

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:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	SUITABILITY, EXCESSIVE TRADING, UNAUTHORIZED TRADING
Product Type:	Equity-OTC
Alleged Damages:	$156,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-00019
Filing date of arbitration/CFTC reparation or civil litigation:	01/02/2015

Customer Complaint Information

Date Complaint Received:	01/09/2015
Complaint Pending?	No

Status:	Settled
Status Date:	05/16/2016
Settlement Amount:	$45,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP.
Allegations:	SUITABILITY, EXCESSIVE TRADING, UNAUTHORIZED TRADING
Product Type:	Equity-OTC
Alleged Damages:	$156,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-00019
Filing date of arbitration/CFTC reparation or civil litigation:	01/02/2015

Customer Complaint Information

Date Complaint Received:	01/09/2015
Complaint Pending?	No
Status:	Settled
Status Date:	06/16/2016
Settlement Amount:	$45,000.00
Individual Contribution Amount:	$0.00

Broker Statement	NATIONAL SECURITIES SETTLED WITH THE CLIENT AND REPRESENTATIVE DID NOT PAY TOWARD THE SETTLEMENT. REPRESENTATIVE WAS NOT RESPONSIBLE FOR ANY OF THE SETTLEMENT AMOUNT, AS HE CATEGORICALLY DENIES ANY OF THE ALLEGATIONS.

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WESTROCK ADVISORS
Allegations:	CUSTOMER ALLEGED UNAUTHORIZED TRADING AND THAT HE WAS NOT FULLY INFORMED OF COMMISSION CHARGES.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$5,387.00

Customer Complaint Information

Date Complaint Received:	02/21/2008
Complaint Pending?	No
Status:	Denied
Status Date:	02/26/2008
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	THE BROKER CATEGORICALLY DENIES THE ALLEGATIONS. THE UNAUTHORIZED TRADES IN QUESTION WERE MADE 3 MONTHS PRIOR TO THE CLAIM. COMMISSIONS WERE DISCLOSED IN DOLLARS AND CENTS ON THE CONFIRMATIONS.

Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	02/13/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	02/24/2020
If a compromise with creditor, provide:	
Name of Creditor:	Home Depot
Original Amount Owed:	$7,587.60
Terms Reached with Creditor:	Compromised/settled for $ 3,000.00

Disclosure 2 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	10/06/2017
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	10/11/2017
If a compromise with creditor, provide:	

Name of Creditor:	Barclays Card
Original Amount Owed:	$735.46
Terms Reached with Creditor:	Compromised/Settled for $270.36

Disclosure 3 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	02/17/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	02/25/2020
If a compromise with creditor, provide:	
Name of Creditor:	Best Buy
Original Amount Owed:	$756.63
Terms Reached with Creditor:	Compromised/Settled for $483.94

Disclosure 4 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	06/13/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released

Disposition Date:	03/10/2020
If a compromise with creditor, provide:	
Name of Creditor:	Bank of America
Original Amount Owed:	$11,628.76
Terms Reached with Creditor:	Compromised/settled for $7,558.69

Disclosure 5 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	04/16/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	04/22/2019
If a compromise with creditor, provide:	
Name of Creditor:	Lord and Taylor
Original Amount Owed:	$1,127.63
Terms Reached with Creditor:	Compromised/settled for $ 627.00

Disclosure 6 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	07/02/2018
Organization Investment-Related?	

Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	07/03/2018
If a compromise with creditor, provide:	
Name of Creditor:	Gap
Original Amount Owed:	$1,319.96
Terms Reached with Creditor:	Compromised/settled for $631.48

Disclosure 7 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	12/08/2017
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	07/20/2018
If a compromise with creditor, provide:	
Name of Creditor:	Chase
Original Amount Owed:	$14,611.14
Terms Reached with Creditor:	Compromise/settled for $5,844.45

Disclosure 8 of 11

Reporting Source:	Broker
Action Type:	Compromise

Action Date:	06/13/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	03/10/2020
If a compromise with creditor, provide:	
Name of Creditor:	Bank of America
Original Amount Owed:	$2,630.24
Terms Reached with Creditor:	Compromised/Settled for $ 1,709.65

Disclosure 9 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	06/13/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	03/10/2020
If a compromise with creditor, provide:	
Name of Creditor:	Bank of America
Original Amount Owed:	$8,349.42
Terms Reached with Creditor:	Compromised/Settled for $5,427.12

Disclosure 10 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	10/24/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	03/11/2020
If a compromise with creditor, provide:	
Name of Creditor:	American Express
Original Amount Owed:	$2,973.59
Terms Reached with Creditor:	Compromised/settled for $1,190.00

Disclosure 11 of 11

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	10/10/2017
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	10/10/2017
If a compromise with creditor, provide:	
Name of Creditor:	Target
Original Amount Owed:	$1,042.18

Terms Reached with Creditor:	Compromised/settled for $ 521.09
Broker Statement	Dates, amount and terms of compromise are unknown firm has made a reasonable determination that this event is reportable.

End of Report

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