BrokerCheck Report

Anthony Peter Letizia

CRD# 4905847

Section Title

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 P. Letizia

CRD# 4905847

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

IA **PARK AVENUE SECURITIES LLC**
10 HUDSON YARDS
NEW YORK, NY 10001
CRD# 46173
Registered with this firm since: 07/07/2021

B **PARK AVENUE SECURITIES LLC**
10 HUDSON YARDS
NEW YORK, NY 10001
CRD# 46173
Registered with this firm since: 07/07/2021

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
- 51 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 **TRANSAMERICA INVESTORS SECURITIES CORPORATION**
CRD# 32205
ST. PAUL, MN
08/2019 - 02/2021

IA **TRANSAMERICA RETIREMENT ADVISORS, LLC**
CRD# 107319
CEDAR RAPIDS, IA
08/2019 - 02/2021

IA **GRADIENT INVESTMENTS, LLC**
CRD# 141726
ARDEN HILLS, MN
04/2018 - 08/2019

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**

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

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 51 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	General Securities Representative	Approved	07/07/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/07/2021
IA	Alabama	Investment Adviser Representative	Approved	07/07/2021
B	Alaska	Agent	Approved	07/07/2021
IA	Alaska	Investment Adviser Representative	Approved	07/07/2021
B	Arizona	Agent	Approved	07/07/2021
IA	Arizona	Investment Adviser Representative	Approved	07/20/2021
B	Arkansas	Agent	Approved	07/07/2021
IA	Arkansas	Investment Adviser Representative	Approved	07/07/2021
B	California	Agent	Approved	07/07/2021
IA	California	Investment Adviser Representative	Approved	07/07/2021
B	Colorado	Agent	Approved	07/07/2021
IA	Colorado	Investment Adviser Representative	Approved	07/07/2021

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	07/07/2021
IA	Connecticut	Investment Adviser Representative	Approved	07/07/2021
B	Delaware	Agent	Approved	07/07/2021
IA	Delaware	Investment Adviser Representative	Approved	07/07/2021
B	District of Columbia	Agent	Approved	07/07/2021
IA	District of Columbia	Investment Adviser Representative	Approved	09/16/2021
B	Florida	Agent	Approved	07/07/2021
IA	Florida	Investment Adviser Representative	Approved	07/08/2021
B	Georgia	Agent	Approved	07/07/2021
IA	Georgia	Investment Adviser Representative	Approved	07/08/2021
B	Hawaii	Agent	Approved	07/07/2021
IA	Hawaii	Investment Adviser Representative	Approved	07/07/2021
B	Idaho	Agent	Approved	07/07/2021
IA	Idaho	Investment Adviser Representative	Approved	07/07/2021
B	Illinois	Agent	Approved	07/07/2021
IA	Illinois	Investment Adviser Representative	Approved	07/07/2021
B	Indiana	Agent	Approved	07/07/2021
IA	Indiana	Investment Adviser Representative	Approved	07/07/2021
B	Iowa	Agent	Approved	07/07/2021
IA	Iowa	Investment Adviser Representative	Approved	07/07/2021
B	Kansas	Agent	Approved	07/07/2021

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Kansas	Investment Adviser Representative	Approved	07/07/2021
B	Kentucky	Agent	Approved	07/07/2021
IA	Kentucky	Investment Adviser Representative	Approved	07/07/2021
B	Louisiana	Agent	Approved	07/07/2021
IA	Louisiana	Investment Adviser Representative	Approved	07/07/2021
B	Maine	Agent	Approved	07/07/2021
IA	Maine	Investment Adviser Representative	Approved	07/07/2021
B	Maryland	Agent	Approved	07/07/2021
IA	Maryland	Investment Adviser Representative	Approved	07/07/2021
B	Massachusetts	Agent	Approved	07/07/2021
IA	Massachusetts	Investment Adviser Representative	Approved	07/13/2021
B	Michigan	Agent	Approved	07/07/2021
IA	Michigan	Investment Adviser Representative	Approved	07/07/2021
B	Minnesota	Agent	Approved	07/07/2021
IA	Minnesota	Investment Adviser Representative	Approved	07/07/2021
B	Mississippi	Agent	Approved	07/07/2021
IA	Mississippi	Investment Adviser Representative	Approved	07/07/2021
B	Missouri	Agent	Approved	07/07/2021
IA	Missouri	Investment Adviser Representative	Approved	07/07/2021
B	Montana	Agent	Approved	07/07/2021
IA	Montana	Investment Adviser Representative	Approved	07/07/2021

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	07/07/2021
IA	Nebraska	Investment Adviser Representative	Approved	07/09/2021
B	Nevada	Agent	Approved	07/07/2021
IA	Nevada	Investment Adviser Representative	Approved	07/16/2021
B	New Hampshire	Agent	Approved	07/07/2021
IA	New Hampshire	Investment Adviser Representative	Approved	07/07/2021
B	New Jersey	Agent	Approved	07/07/2021
IA	New Jersey	Investment Adviser Representative	Approved	07/07/2021
B	New Mexico	Agent	Approved	07/07/2021
IA	New Mexico	Investment Adviser Representative	Approved	07/12/2021
B	New York	Agent	Approved	07/07/2021
IA	New York	Investment Adviser Representative	Approved	07/07/2021
B	North Carolina	Agent	Approved	07/07/2021
IA	North Carolina	Investment Adviser Representative	Approved	07/07/2021
B	North Dakota	Agent	Approved	07/07/2021
IA	North Dakota	Investment Adviser Representative	Approved	07/12/2021
B	Ohio	Agent	Approved	07/07/2021
IA	Ohio	Investment Adviser Representative	Approved	07/07/2021
B	Oklahoma	Agent	Approved	07/07/2021
IA	Oklahoma	Investment Adviser Representative	Approved	07/07/2021
B	Oregon	Agent	Approved	07/07/2021

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Oregon	Investment Adviser Representative	Approved	07/07/2021
B	Pennsylvania	Agent	Approved	07/07/2021
IA	Pennsylvania	Investment Adviser Representative	Approved	07/07/2021
B	Rhode Island	Agent	Approved	07/07/2021
IA	Rhode Island	Investment Adviser Representative	Approved	07/07/2021
B	South Carolina	Agent	Approved	07/07/2021
IA	South Carolina	Investment Adviser Representative	Approved	07/07/2021
B	South Dakota	Agent	Approved	07/07/2021
IA	South Dakota	Investment Adviser Representative	Approved	07/09/2021
B	Tennessee	Agent	Approved	07/07/2021
B	Texas	Agent	Approved	07/07/2021
IA	Texas	Investment Adviser Representative	Approved	07/07/2021
B	Utah	Agent	Approved	07/07/2021
IA	Utah	Investment Adviser Representative	Approved	07/07/2021
B	Vermont	Agent	Approved	07/07/2021
IA	Vermont	Investment Adviser Representative	Approved	07/07/2021
B	Virginia	Agent	Approved	07/07/2021
IA	Virginia	Investment Adviser Representative	Approved	07/07/2021
B	Washington	Agent	Approved	07/07/2021
IA	Washington	Investment Adviser Representative	Approved	07/07/2021
B	West Virginia	Agent	Approved	07/07/2021

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	West Virginia	Investment Adviser Representative	Approved	07/22/2021
B	Wisconsin	Agent	Approved	07/07/2021
IA	Wisconsin	Investment Adviser Representative	Approved	07/07/2021
B	Wyoming	Agent	Approved	07/07/2021
IA	Wyoming	Investment Adviser Representative	Approved	07/07/2021

Branch Office Locations

PARK AVENUE SECURITIES LLC
10 HUDSON YARDS
NEW YORK, NY 10001

PARK AVENUE SECURITIES LLC
Watertown, SD

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

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	03/10/2018
B	General Securities Representative Examination	Series 7	02/22/2005

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	09/27/2006
B	Uniform Securities Agent State Law Examination	Series 63	03/03/2005

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/.

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	08/2019 - 02/2021	TRANSAMERICA INVESTORS SECURITIES CORPORATION	32205	ST. PAUL, MN
IA	08/2019 - 02/2021	TRANSAMERICA RETIREMENT ADVISORS, LLC	107319	Watertown, SD
IA	04/2018 - 08/2019	GRADIENT INVESTMENTS, LLC	141726	ARDEN HILLS, MN
IA	09/2014 - 03/2018	ADVICE AND PLANNING SERVICES	20472	BLOOMINGTON, MN
B	09/2014 - 03/2018	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	20472	BLOOMINGTON, MN
IA	05/2013 - 08/2014	WELLS FARGO ADVISORS, LLC	19616	ROSEVILLE, MN
B	05/2013 - 08/2014	WELLS FARGO ADVISORS, LLC	19616	ROSEVILLE, MN
B	04/2012 - 04/2013	U.S. BANCORP INVESTMENTS, INC.	17868	SAINT PAUL, MN
IA	04/2012 - 04/2013	U.S. BANCORP INVESTMENTS, INC.	17868	SAINT PAUL, MN
B	01/2011 - 11/2011	WELLS FARGO ADVISORS, LLC	19616	MINNEAPOLIS, MN
IA	01/2011 - 11/2011	WELLS FARGO ADVISORS, LLC	19616	MINNEAPOLIS, MN
B	11/2006 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	MINNEAPOLIS, MN
IA	11/2006 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	MINNEAPOLIS, MN
IA	09/2006 - 11/2006	WELLS FARGO FUNDS MANAGEMENT, LLC	110841	MENOMONEE FALLS, WI
B	04/2005 - 11/2006	WELLS FARGO FUNDS DISTRIBUTOR, LLC	133366	MENOMONEE FALLS, WI
B	03/2005 - 04/2005	STRONG INVESTMENTS, INC.	15658	MENOMONEE FALLS, WI

Employment History

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

Registration and Employment History

Employment History, continued

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
06/2024 - Present	GUARDAIN LIFE INSURANCE COMPANY	AGENT	Y	Watertown, SD, United States
06/2024 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	Watertown, SD, United States
06/2021 - Present	GUARDAIN LIFE INSURANCE CO OF AMERICA	AGENT	N	NEW YORK, NY, United States
06/2021 - Present	PARK AVENUE SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
03/2021 - 05/2021	UNEMPLOYMENT	N/A	N	WATERTOWN, SD, United States
08/2019 - 02/2021	Transamerica Investors Securities Corporation	Registered Rep	Y	St. Paul, MN, United States
08/2019 - 02/2021	Transamerica Life Insurance Company	Retirement Income Advisor	Y	St. Paul, MN, United States
03/2018 - 08/2019	GRADIENT INVESTMENTS, LLC	SENIOR INVESTMENT CONSULTANT	Y	ARDEN HILLS, MN, United States
08/2014 - 03/2018	TIAA-ADVICE AND PLANNING SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	BLOOMINGTON, MN, United States
08/2014 - 03/2018	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	BLOOMINGTON, MN, 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.

No information reported.

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.

End of Report

This page is intentionally left blank.

�2025 FINRA. All rights reserved. Report about Anthony P. Letizia.