

BrokerCheck Report

GIACOMO PARENTE

CRD# 4924478

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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.



GIACOMO PARENTE

CRD# 4924478

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

IA STRATEGIC ADVISERS LLC
 1120 6th AVE
 AVENUE OF THE AMERICAS
 NEW YORK, NY 10036
 CRD# 104555
 Registered with this firm since: 03/31/2025

B FIDELITY BROKERAGE SERVICES LLC
 1120 6th AVE
 AVENUE OF THE AMERICAS
 NEW YORK, NY 10036-6700
 CRD# 7784
 Registered with this firm since: 06/08/2022

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:

- 2 Self-Regulatory Organizations
- 23 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA FIDELITY PERSONAL AND WORKPLACE ADVISORS**
 CRD# 288590
 BOSTON, MA
 06/2022 - 03/2025
- B VANGUARD MARKETING CORPORATION**
 CRD# 7452
 MALVERN, PA
 04/2022 - 05/2022
- IA VANGUARD ADVISERS, INC.**
 CRD# 106715
 MALVERN, PA
 03/2022 - 05/2022

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



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 2 SROs and is licensed in 23 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**

Main Office Address: **900 SALEM STREET
SMITHFIELD, RI 02917**

Firm CRD#: **7784**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/08/2022
B	New York Stock Exchange	General Securities Representative	Approved	06/08/2022

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	05/12/2025
B	Arizona	Agent	Approved	07/21/2023
B	California	Agent	Approved	06/08/2022
B	Connecticut	Agent	Approved	03/26/2025
B	Delaware	Agent	Approved	03/31/2025
B	District of Columbia	Agent	Approved	03/02/2024
B	Florida	Agent	Approved	03/27/2025
B	Georgia	Agent	Approved	06/30/2025
B	Maine	Agent	Approved	09/29/2023
B	Maryland	Agent	Approved	04/29/2025
B	Massachusetts	Agent	Approved	01/06/2024

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	09/05/2025
B	Nevada	Agent	Approved	03/02/2024
B	New Jersey	Agent	Approved	03/26/2025
B	New York	Agent	Approved	09/29/2024
B	North Carolina	Agent	Approved	05/20/2025
B	Ohio	Agent	Approved	05/05/2024
B	Pennsylvania	Agent	Approved	03/26/2025
B	Rhode Island	Agent	Approved	04/29/2025
B	Tennessee	Agent	Approved	03/25/2023
B	Texas	Agent	Approved	01/06/2023
B	Virginia	Agent	Approved	07/16/2024
B	Washington	Agent	Approved	01/06/2023

Branch Office Locations

FIDELITY BROKERAGE SERVICES LLC

1120 6th AVE
 AVENUE OF THE AMERICAS
 NEW YORK, NY 10036-6700

Employment 2 of 2

Firm Name: **STRATEGIC ADVISERS LLC**
 Main Office Address: **155 SEAPORT BLVD**
BOSTON, MA 02210-2698
 Firm CRD#: **104555**

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	New York	Investment Adviser Representative	Approved	05/20/2025
IA	Texas	Investment Adviser Representative	Approved	03/31/2025

Branch Office Locations

1120 6th AVE
AVENUE OF THE AMERICAS
NEW YORK, NY 10036-6700

BROOKLYN, NY



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, 3 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 General Securities Representative Examination	Series 7TO	04/04/2022
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/04/2005

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/18/2022
B IA Uniform Combined State Law Examination	Series 66	06/08/2005

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 **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>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 06/2022 - 03/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	WALNUT CREEK, CA
B 04/2022 - 05/2022	VANGUARD MARKETING CORPORATION	7452	MALVERN, PA
IA 03/2022 - 05/2022	VANGUARD ADVISERS, INC.	106715	MALVERN, PA
B 12/2015 - 06/2019	J.P. MORGAN SECURITIES LLC	79	BURLINGAME, CA
IA 12/2015 - 06/2019	J.P. MORGAN SECURITIES LLC	79	BURLINGAME, CA
IA 11/2012 - 12/2015	LPL FINANCIAL LLC	6413	OAKLAND, CA
B 11/2012 - 12/2015	LPL FINANCIAL LLC	6413	OAKLAND, CA
B 04/2009 - 11/2012	CUNA BROKERAGE SERVICES, INC.	13941	SAN MATEO, CA
IA 04/2009 - 11/2012	CUNA BROKERAGE SERVICES, INC.	13941	SAN MATEO, CA
B 11/2007 - 01/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	SAN FRANCISCO, CA
IA 11/2007 - 01/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	SAN FRANCISCO, CA
B 10/2005 - 11/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN FRANCISCO, CA
IA 10/2005 - 11/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN FRANCISCO, CA
IA 06/2005 - 09/2005	WELLS FARGO INVESTMENTS, LLC	10582	SAN FRANCISCO, CA
B 05/2005 - 09/2005	WELLS FARGO INVESTMENTS, LLC	10582	SAN FRANCISCO, CA

Employment History



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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
05/2022 - Present	FIDELITY INVESTMENTS	FINANCIAL CONSULTANT	Y	WALNUT CREEK, CA, United States
03/2022 - 05/2022	THE VANGUARD GROUP, INC.	SENIOR CFP FINANCIAL ADVISOR	Y	MALVERN, PA, United States
04/2021 - 05/2022	Food With An Accent	Cooking Video Maker	N	New York, NY, United States
11/2021 - 04/2022	CORCORAN GROUP	REAL ESTATE SALESPERSON	Y	NEW YORK, NY, United States
05/2021 - 11/2021	Unemployed	Unemployed	N	New York, NY, United States
03/2020 - 05/2021	Unemployed	Unemployed	N	San Francisco, CA, United States
06/2019 - 03/2020	Unemployed	Unemployed	N	Oakland, CA, United States
12/2015 - 06/2019	J.P. MORGAN SECURITIES LLC	PRIVATE CLIENT ADVISOR, VP	Y	Burlingame, CA, United States
11/2012 - 12/2015	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	SAN MATEO, CA, United States
04/2009 - 12/2015	ALLIANT CREDIT UNION	FINANCIAL CONSULTANT	Y	SAN MATEO, CA, 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.

OBA-68499|OrgNm:Food with an accent |Org Addr:San Franci,California,US|OBA Nature:Cooking video maker |Invst Rel:N|Title:NO specific title. I just make Co|Duties:No obligations |StrtDt:04-01-21|TotHrs/mon:10|TrdHrs/mon:0|

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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 - 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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL Financial LLC (Advisor is now at Fidelity Brokerage Services)
Allegations:	The client alleges that his advisor failed to provide complete disclosures regarding a REIT purchase, including that the REIT's management could discontinue dividends and share repurchases. Moreover, the client stated he was unaware that the investment might be repriced lower. 12/13/2012 - 08/02/2024
Product Type:	Other: REIT
Alleged Damages:	\$76,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/02/2024
Complaint Pending?	No
Status:	Denied
Status Date:	08/15/2024

**Settlement Amount:****Individual Contribution Amount:****Firm Statement**

Before purchasing the investment of concern, the client had a history of utilizing Alternative Investments. On three separate occasions, the client attested to receiving and understanding product-specific disclosures (REITs), which plainly cautioned that REIT management could discontinue dividends and share repurchases. Within the product-specific disclosures, subscription agreement, and prospectus, the client was informed the REIT could be repriced lower. The client has not realized any loss on the investment, which is currently an equity and may be sold on a listed exchange. LPL denies the client's allegations that he was not provided full disclosure.

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

LPL FINANCIAL LLC

Allegations:

The client alleges that his advisor failed to provide complete disclosures regarding a REIT purchase, including that the REIT's management could discontinue dividends and share repurchases. Moreover, the client stated he was unaware that the investment might be repriced lower. 12/13/2012 - 08/02/2024

Product Type:

Other: REIT

Alleged Damages:

\$76,000.00

Is this an oral complaint?

Yes

Is this a written complaint?

No

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information**Date Complaint Received:**

08/02/2024

Complaint Pending?

No

Status:

Denied

Status Date:

08/15/2024

Settlement Amount:



Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CUNA Brokerage Services, Inc.
Allegations:	Client alleged he was not informed of serial annuities and potential tax implications. Now that he has surrendered an annuity contract he has received notice that he's to pay taxes on the gains of both contracts.
Product Type:	Annuity-Fixed Annuity-Variable
Alleged Damages:	\$15,287.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/22/2018
Complaint Pending?	No
Status:	Denied
Status Date:	10/16/2018
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CUNA Brokerage Services, Inc.
Allegations:	Client alleged he was not informed of serial annuities and potential tax implications. Now that he has surrendered an annuity contract he has received



notice that he's to pay taxes on the gains of both contracts.

Product Type:

Annuity-Fixed
Annuity-Variable

Alleged Damages:

\$15,287.00

Is this an oral complaint?

No

Is this a written complaint?

Yes

**Is this an arbitration/CFTC
reparation or civil litigation?**

No

Customer Complaint Information

Date Complaint Received:

08/22/2018

Complaint Pending?

No

Status:

Denied

Status Date:

10/16/2018

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

This complaint was filed on 08/22/2018 through CUNA Brokerage Services, an institution I was affiliated until November 2012, so the meeting with the client must have happen 5+ years back, and since I don't have access to the client file/notes anymore, I can't recall the conversation I had with this client. However, as usual practice when proposing an annuity I always disclose to the client all the relevant information on the product, including fees, features, surrender period/charges, and potential tax implication. Depending on the client situation I may expand the conversation, within my capacity, on the taxation portion, and make sure that the client understands everything. Furthermore, I also remind clients to consult with their CPA if they want more information about their potential tax implication.

End of Report



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