BrokerCheck Report

Zachary Douglas Zanghi

CRD# 5616012

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8

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.
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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.

Zachary D. Zanghi

CRD# 5616012

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

IA **BEACON GLOBAL ADVISOR NETWORK, LLC**
1330 Avenue of the Americas
23rd Floor
New York, NY 10019
CRD# 288833
Registered with this firm since: 04/19/2024

B **THE LEADERS GROUP, INC.**
475 SPRINGFIELD AVE
SUMMIT, NJ 07901
CRD# 37157
Registered with this firm since: 04/11/2025

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
- 10 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **BRITE ADVISORS USA, INC.**
CRD# 155775
NEW YORK, NY
08/2020 - 06/2024

IA **TOUCHSTONE ADVISORY, LLC**
CRD# 288370
NEW YORK, NY
11/2017 - 08/2022

B **PRIMARY CAPITAL, LLC**
CRD# 127921
NEW YORK, NY
01/2018 - 05/2020

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
Termination	1

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

Employment 1 of 2

Firm Name: **BEACON GLOBAL ADVISOR NETWORK, LLC**

Main Office Address: **ONE GLENLAKE PARKWAY**
SUITE 650
ATLANTA, GA 30328

Firm CRD#: **288833**

	U.S. State/ Territory	Category	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	05/30/2024
IA	Florida	Investment Adviser Representative	Approved	07/19/2024
IA	New Jersey	Investment Adviser Representative	Approved	08/27/2024
IA	New York	Investment Adviser Representative	Approved	04/19/2024
IA	South Carolina	Investment Adviser Representative	Approved	04/25/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	04/19/2024

Branch Office Locations

ONE GLENLAKE PARKWAY
SUITE 650
ATLANTA, GA 30328

1330 Avenue of the Americas
23rd Floor
New York, NY 10019

Broker Qualifications

Employment 2 of 2

Firm Name: **THE LEADERS GROUP, INC.**

Main Office Address: **475 SPRINGFIELD AVE**
SUMMIT, NJ 07901

Firm CRD#: **37157**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	04/11/2025
B	FINRA	General Securities Representative	Approved	04/11/2025

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	04/30/2025
B	Michigan	Agent	Approved	05/01/2025
B	New Hampshire	Agent	Approved	05/02/2025
B	New Jersey	Agent	Approved	04/30/2025
B	Pennsylvania	Agent	Approved	04/30/2025

Branch Office Locations

THE LEADERS GROUP, INC.
475 SPRINGFIELD AVE
SUMMIT, NJ 07901

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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	01/07/2024

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	01/07/2024
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	01/17/2018

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	04/29/2025
B IA	Uniform Combined State Law Examination	Series 66	12/08/2008

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	08/2020 - 06/2024	BRITE ADVISORS USA, INC.	155775	NEW YORK, NY
IA	11/2017 - 08/2022	TOUCHSTONE ADVISORY, LLC	288370	New York, NY
B	01/2018 - 05/2020	PRIMARY CAPITAL, LLC	127921	NEW YORK, NY
IA	06/2013 - 10/2017	DEVERE USA INC.	155775	NEW YORK, NY
IA	09/2010 - 08/2012	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B	11/2008 - 08/2012	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, 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
04/2025 - Present	The Leaders Group Inc	Registered Representative	Y	Summit, NJ, United States
04/2024 - Present	Beacon Global Advisor Network, LLC	Investment Adviser Representative	Y	Atlanta, GA, United States
04/2024 - Present	Rosefinch Investment Advisors	Senior Partner	Y	New York, NY, United States
08/2020 - 06/2024	BRITE ADVISORS USA, INC.	Investment Advisor Representative	Y	New York, NY, United States
10/2017 - 08/2020	Touchstone Advisory, LLC	Investment Adviser Representative	Y	New York, NY, United States
01/2018 - 06/2020	Primary Capital, LLC	Registered Representative	Y	New York, NY, United States
11/2012 - 09/2017	DEVERE USA INC.	Area Manager	Y	NEW YORK, NY, United States

Registration and Employment History

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.) ROSEFINCH INVESTMENT ADVISORS - 4/19/24 - 1330 Avenue of the Americas, 23rd Floor, New York, NY 10019 - Senior Partner, Serve on the company boards/have input on all key business decision/provide investment advisory services to clients, Invt Rel, RIA business, 180 hrs/mo; 160 hrs/mo (during trading hours).
2.) BEACON GLOBAL ADVISOR NETWORK - 4/18/24 - One Glenlake Pkwy, Suite 650, Atlanta, GA 30328, IAR, Invt Rel, RA business, 40 hrs/mo; 40 hrs/mo (during trading hours).

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
Termination	N/A	1	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.

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	CITIGROUP GLOBAL MARKETS INC.
Termination Type:	Discharged
Termination Date:	07/30/2012
Allegations:	TERMINATED BY BANK AFFILIATE FOR ALTERING A DOCUMENT. RR DID NOT USE OR SUBMIT THE DOCUMENT, AND STATES THAT HE DID NOT INTEND TO USE IT.
Product Type:	No Product

Reporting Source:	Broker
Employer Name:	CITIGROUP GLOBAL MARKETS, INC.
Termination Type:	Discharged
Termination Date:	07/30/2012
Allegations:	TERMINATED BY BANK AFFILIATE FOR ALTERING DOCUMENT. RR DID NOT USE OR SUBMIT THE DOCUMENT, AND STATES THAT HE DID NOT INTEND TO USE IT.
Product Type:	No Product
Broker Statement	I WAS EMPLOYED BY CITI FOR A PERIOD OF FOUR YEARS AND NEVER HAD ONE COMPLAINT SUBMITTED AGAINST ME. MY COMPLIANCE WAS (AND

CONTINUES TO BE) OF THE HIGHEST STANDARD.

ONE OF MY CLIENT'S WAS GRAVELY ILL AND A POWER OF ATTORNEY WAS NEEDED, SO THE CLIENT COULD HAVE CERTAIN ACTIONS CARRIED OUT ON HER ACCOUNT, INCLUDING, BUT NOT LIMITED TO, THE URGENT PAYMENT OF MEDICAL BILLS. I RECEIVED A POWER OF ATTORNEY DOCUMENT CONSISTING OF SIX PAGES. ALL PAGES WERE INTACT SAVE FOR A PAGE MISSING A NOTARIZATION STAMP. THIS WAS, UNFORTUNATELY, AN OVERSIGHT FROM THE NOTARY.

IN AN ATTEMPT TO EXPEDITE THE PROCESSING OF THE URGENT AND ESSENTIAL TRANSACTIONS REQUESTED BY THE CLIENT, I DECIDED TO ATTEMPT TO COPY THE NOTARIZATION STAMP ON TO THE MISSING PAGE. HOWEVER, AFTER CONTEMPLATING THE ACT, I REALIZED IMMEDIATELY THAT SUCH AN ATTEMPT WOULD BE A GRAVE ERROR OF JUDGMENT DESPITE THE VERY DIFFICULT CIRCUMSTANCES, WHICH SURROUNDED THE CLIENT. I DID NOT CARRY THE ACT THROUGH AND COMPLETELY WITHDREW FROM ANY ACT TO COMPLETE THE MISSING PAPERWORK.

THERE WAS NO HARM TO THE CLIENT'S INTEREST AND NO COMPLETION OF THE ACT. ACTION WAS NOT TAKEN AGAINST ME BY THE CLIENT OR BY ANY REGULATORY AUTHORITY. IT WAS AN INNOCENT LAPSE IN JUDGMENT WITH NO PREMEDITATED INTENT TO HARM ANYONE, WHICH I IMMEDIATELY CORRECTED. I WAS SIMPLY PLACED IN A PRESSURIZED SITUATION AND WANTED TO ASSIST MY CLIENT DUE TO HER GRAVE CIRCUMSTANCES.

End of Report

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