

## BrokerCheck Report

**JOHN PETER ANNICELLI**

CRD# 6237

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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:
  - 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**JOHN P. ANNICELLI**

CRD# 6237

This broker is not currently registered.

## 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 not currently registered.**

#### 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):**

- B MORGAN STANLEY & CO. INCORPORATED**  
CRD# 8209  
NEW YORK, NY  
04/2007 - 12/2008
- B MORGAN STANLEY DW INC.**  
CRD# 7556  
NEW YORK, NY  
09/2004 - 04/2007
- B CITIGROUP GLOBAL MARKETS INC.**  
CRD# 7059  
NEW YORK, NY  
05/1995 - 04/2004

### Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1
Customer Dispute	1

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## 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>B</b> Registered Principal Examination	Series 40	12/20/1973

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> National Commodity Futures Examination	Series 3	12/22/1993
<b>B</b> AMEX Put and Call Exam	PC	09/07/1977
<b>B</b> Registered Representative Examination	Series 1	02/11/1971

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	11/17/1992
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/30/1984

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/](http://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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 04/2007 - 12/2008	MORGAN STANLEY & CO. INCORPORATED	8209	NEW YORK, NY
<b>B</b> 09/2004 - 04/2007	MORGAN STANLEY DW INC.	7556	NEW YORK, NY
<b>B</b> 05/1995 - 04/2004	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
<b>B</b> 11/1984 - 04/1995	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
<b>B</b> 07/1984 - 11/1984	JESUP & LAMONT SECURITIES CO., INC.	6736	
<b>B</b> 02/1983 - 02/1983	BEAR, STEARNS & CO.	79	
<b>B</b> 04/1978 - 10/1980	AMERICAN SECURITIES CORPORATION	41	
<b>B</b> 11/1972 - 01/1978	LOEB, RHOADES & CO., INCORPORATED	2598	
<b>B</b> 02/1971 - 10/1972	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	

### 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
04/2007 - Present	MORGAN STANLEY & CO., INCORPORATED	MASS TRANSFER	Y	NEW YORK, NY, United States

# Disclosure Events



## What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	1	0
Customer Dispute	1	N/A





## Disclosure Event Details

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.

### Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

#### Disclosure 1 of 1

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 06/15/1981

**Docket/Case Number:**

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 06/15/1982

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** 6/25/81 - ND 81-122,REL.34-17867 AND 34-17868: 6/15/81 - COM-MISSION INSTITUTED PUBLIC ADMINISTRATIVE PROCEEDINGS AGAINST JOHN P. ANNICELLI, SAMUEL H. TROWE, HENRY FISHER, HENRY FISHER AND CO., INC., DOING BUSINESS AS FISHER MUNICIPALS, NOW KNOWN AS COMMONWEALTH SECURITIES AND INVESTMENTS, INC., AND GORDON



SAVOIE, INDIVIDUALLY & DOING BUSINESS AS RUPP FINANCIAL  
COMPUTER SERVICES AND COMPUTER FINANCIAL SERVICES COMPANY  
BASED  
UPON VIOLATIONS OF THE ANTIFRAUD PROVISIONS OF THE SECURITIES  
LAWS. PURSUANT TO THEIR SETTLEMENT OFFERS & WITHOUT ADMITTING  
OR DENYING THE ALLEGATIONS, THE RESPONDENTS WERE FOUND TO  
HAVE  
VIOLATED PROVISIONS OF THE SECURITIES LAWS AS ALLEGED IN THE  
ORDER INSTITUTING PROCEEDINGS. THE COMMISSION SUSPENDED  
RESPONDENT, TROWE AND SAVOIE FROM ASSOCIATION WITH A BROKER,  
MUNICIPAL SECURITIES DEALER, INVESTMENT ADVISER, OR  
INVESTMENT COMPANY. RESPONDENT ANNICELLI WAS SUSPENDED FOR  
12  
MONTHS. IN ADDITION, RESPONDENT & TROWE WILL BE SUBJECT TO  
CERTAIN PROCEDURES SHOULD THEY SERVE AS FINANCIAL ADVISERS TO  
MUNICIPAL ISSUERS DURING THE SUSPENSION PERIODS.

**Reporting Source:** Broker

**Regulatory Action Initiated By:** SEC

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 06/15/1981

**Docket/Case Number:**

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** THAT I HAD VIOLATED 17A OF THE SECURITIES ACT  
OF 1933 AND 10(b) OF THE SECURITIES ACT OF 1934 AND RULES 10(b)  
AND 15(b)1-1

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 06/15/1982



**Sanctions Ordered:**

Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

I WAS SUSPENDED FROM ASSOCIATION WITH ANY  
BROKER, DEALER, MUNICIPAL SECURITIES DEALER, INVESTMENT  
COMPANY  
OR INVESTMENT ADVISOR FOR A PERIOD OF 12 MONTHS.

**Broker Statement**

ON JUNE 5, 1981, THE SEC ENTERED AN ORDER AGAINST  
ME SUSPENDING ME FROM THE ASSOCIATION WITH ANY BROKER,  
DEALER,  
MUNICIPAL SECURITIES DEALER OR INVESTMENT ADVISORS FOR A  
PERIOD  
OF 12 MONTHS, EXCEPT I WAS PERMITTED TO ACT AS A FINANCIAL  
ADVISOR TO A MUNICIPAL ISSUER SUBJECT TO CERTAIN TERMS AND  
CONDITIONS DURING THE PERIOD OF SUSPENSION.



## Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the named broker that resulted in an arbitration award or civil judgment for the customer.

### Disclosure 1 of 1

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES INC.

**Allegations:** CLAIMANT, A PUBLIC CUSTOMER, ALLEGES NEGLIGENCE AND FRAUD AGAINST RESPONDENTS, A MEMBER FIRM AND REGISTRATION REPRESENTATIVE, WITH RESPECT TO INVESTMENTS MADE FOR VARIOUS INDIVIDUAL AND PENSION FUND ACCOUNT AND WITH RESPECT TO A PARTNERSHIP INVESTMENT IN A REAL ESTATE VENTURE.

**Product Type:** Other

**Alleged Damages:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NYSE - CASE #1997-006320](#)

**Date Notice/Process Served:** 01/08/1997

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 09/24/1999

**Disposition Detail:** THE UNDERSIGNED ARBITRATORS HAVE DECIDED AND DETERMINED IN FULL AND FINAL SETTLEMENT OF ALL CLAIMS BETWEEN THE PARTIES THAT: CLAIMANT IS AWARDED THE SUM OF \$69,000.00 TO BE PAID IN EXCHANGE FOR THE CONVEYANCE OF CLAIMANT'S 10% INDIVIDUAL AND/OR CORPORATE INTEREST IN THE REAL ESTATE PARTNERSHIP KNOWN AS OLD STONE HILL ROAD ASSOCIATES PARTNERSHIP. ALL OTHER CLAIMS ARE DENIED. NYSE FORUM FEES OF \$5,250.00 ARE TO BE ASSESSED \$3,000.00 AGAINST RESPONDENT JOHN ANNICELLI AND \$2,250.00 AGAINST CLAIMANT ALAN SCHIFFREN.

**Reporting Source:** Firm



<b>Employing firm when activities occurred which led to the complaint:</b>	PRUDENTIAL SECURITIES
<b>Allegations:</b>	CLAIMANT ALLEGES NEGLIGENCE AND FRAUD AGAINST HIS FINANCIAL ADVISOR WITH RESPECT TO INVESTMENTS MADE FOR VARIOUS INDIVIDUAL AND PENSION FUND ACCOUNTS AND TO A PARTNERSHIP INVESTMENT IN A PRIVATE REAL ESTATE VENTURE.
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	NASD LISTED AND NYSE LISTED STOCKS
<b>Alleged Damages:</b>	\$500,000.00
<b>Customer Complaint Information</b>	
<b>Date Complaint Received:</b>	02/11/1997
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	09/24/1999
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NYSE; 1997-0063200
<b>Date Notice/Process Served:</b>	02/11/1997
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award to Customer
<b>Disposition Date:</b>	09/24/1999
<b>Monetary Compensation Amount:</b>	\$69,000.00
<b>Individual Contribution Amount:</b>	\$69,000.00
<b>Firm Statement</b>	CLAIMANT WAS AWARDED THE SUM OF \$69,000 TO BE PAID IN EXCHANGE FOR THE CONVEYANCE OF CLAIMANT'S 10% INDIVIDUAL AND /OR CORPORATE INTEREST IN THE REAL ESTATE PARTNERSHIP KNOWN AS



OLD STONE HILL ROAD ASSOCIATES PARTNERSHIP. ALL OTHER CLAIMS ARE DENIED. PRUDENTIAL SECURITIES SETTLED WITH THE CLAIMANT IN JUN 1999 FOR \$17,500.00.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL LIFE

**Allegations:** THAT I ENGAGED IN UNAUTHORIZED TRANSACTIONS (APPEARS TO BE 6) THAT PRUDENTIAL FAILED TO SUPERVISE ME PROPERLY, THAT I HELD MYSELF OUT AS A PENSION EXPERT AND THAT I SOLD HIM A REAL ESTATE PARTNERSHIP FRADULENTLY. REAL ESTATE NOT PART OF PRUDENTIAL.

**Product Type:** Other

**Alleged Damages:** \$500,000.00

### Customer Complaint Information

**Date Complaint Received:** 02/11/1997

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 02/11/1997

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NYSE; 1997-0063200

**Date Notice/Process Served:** 02/11/1997

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 09/24/1999

**Monetary Compensation Amount:** \$69,000.00



**Individual Contribution  
Amount:**

\$0.00

**Broker Statement**

NOT DETERMINED  
[CUSTOMER] ALLEGES THAT I & PRUDENTIAL ENGAGED  
IN FRADULENT TRANSACTIONS THAT I CHURNED HIS ACCOUNT AND THAT  
I  
MADE IMPRUDENT INVESTMENTS WITHOUT HIS CONSENT. MOST OF THE  
TRANSACTIONS IN THE COMPLAINT WERE DONE BY A PREVIOUS BROKER.  
THE ACCOUNT WAS ASSIGNED TO ME AT PRUDENTIAL BY THE BRANCH  
MANAGER. I NEVER MADE ANY TRADES WITHOUT [CUSTOMERS]  
CONSENT. ON ALL TRADES HE HAS SHOWN HE MADE MONEY. I REALLY  
DO NOT UNDERSTAND THE CHARGES.

## End of Report



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