

BrokerCheck Report

VINCENT PETER GIANATASIO

CRD# 826699

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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



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.

VINCENT P. GIANATASIO

CRD# 826699

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:

- 0 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- B AMERIPRISE FINANCIAL SERVICES, LLC**
CRD# 6363
Scarsdale, NY
10/2021 - 02/2023
- B CADARET, GRANT & CO., INC.**
CRD# 10641
SCARSDALE, NY
10/1989 - 10/2021
- B CADARET, GRANT & CO., INC.**
CRD# 16404
09/1989 - 10/1989

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
Regulatory Event	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) 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 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 0 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Direct Participation Programs Representative Examination	Series 22TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/20/1993
B Registered Representative Examination	Series 1	08/25/1976

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/12/1986

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 10/2021 - 02/2023	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Scarsdale, NY
B 10/1989 - 10/2021	CADARET, GRANT & CO., INC.	10641	SCARSDALE, NY
B 09/1989 - 10/1989	CADARET, GRANT & CO., INC.	16404	
B 05/1984 - 09/1989	NATHAN & LEWIS SECURITIES, INC.	8503	NEW YORK, NY
B 09/1976 - 02/1983	CIGNA SECURITIES, INC.	145	
B 09/1976 - 10/1981	CG EQUITY SALES COMPANY	145	

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
10/2021 - Present	Ameriprise Financial Services LLC	Registered Rep	Y	Scarsdale, NY, United States
12/1997 - 10/2021	AMERICAN ADVISORY GROUP	PRESIDENT/CEO	Y	Harrison, NY, United States
10/1989 - 10/2021	CADARET, GRANT & CO., INC.	REGISTERED REPRESENTATIVE	Y	SYRACUSE, NY, United States
03/1982 - 10/2021	INVESTORS STRATEGY CORP	PRESIDENT/CEO/RIA	Y	SCARSDALE, NY, 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.

Business Ownership; Investors Strategy Corporation; President & CEO; sales of group medical/life/dental/DI & employees benefits consulting; Scarsdale, NY 10528; Investment Related; April 1982; 60+ hours per month; 40-59 during trading hours/ Strategic Associates Group Inc.; President & CEO; practice operations; Harrison, NY 10528; Not Investment Related; January 2020; 10 to 19 hours per month; 10-19 during

Registration and Employment History



Other Business Activities, continued

trading hours/ American Advisory Group Inc.; President & CEO; pay expenses/salary; Harrison, NY 10528; Not Investment Related; January 1990; 10 to 19 hours per month; 1-9 during trading hours/ Gianco Realty LLC; Managing Partner; help make investment decisions regarding real estate venture with family-wife/daughters; Harrison, NY 10528; Investment Related; January 2010; 1 to 9 hours per month; 0 during trading hours. Outside Employment; Strategic Associates Group Inc.; President/CEO; Harrison, NY 10528; Not Investment Related; January 2020; 10-19 hours per month; 1-9 during trading hours/ American Advisory Group Inc.; President/CEO; Harrison, NY 10528; Not Investment Related; January 1990; 10-19 hours per month; 1-9 during trading hours. Independent Insurance Brokering; United Healthcare; January 2000; Health, Group/ Mutual of Omaha; January 2000; Term Life, Disability Income, Group/ Oxford Healthcare; January 2000; Health, Group/ Anthem Blue Cross/Blue Shield; January 2021; Health, Group/ Unum; January 2000; Term Life, Disability Income, Group/ MetLife; January 2000; Term Life, Disability Income, Group/ Prudential; January 2000; Universal Life, Term Life, Long Term Care, Disability Income, Group/ Shelter Point Insurance; January 2010; Term Life, Disability Income, Group/ Aetna Life; January 2000; Term Life, Disability Income, Health, Group/ MVP; January 2016; Health, Group/ Cigna; January 2000; Term Life, Disability Income, Health, Group/ Petersen Lloyds of London; January 2014; Disability Income/ American General; June 1982; Universal Life, Term Life, Long Term Care/ ACE; January 2000; Disability Income, Group/ Delta Dental; May 2022; Group; sold or intend to sell insurance product(s) not available through Ameriprise. Board of Directors; Anne Anastasia Charitable Foundation; Corporate Secretary; Hollywood, FL 33019; Not Investment Related; January 2010; 1-9 hours per month; 1-9 during trading hours. Fiduciary Activities; Named or act in a fiduciary capacity; such as attorney-in-fact, trustee, conservator, guardian, executor or personal representative.

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.
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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.
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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
Regulatory Event	0	1	0



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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/31/1997
Docket/Case Number:	C11960057
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/31/1997
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

ON MARCH 31, 1997, DISTRICT NO. 11 NOTIFIED VINCENT P. GIANATASIO THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C11960057 WAS ACCEPTED; THEREFORE, RESPONDENT GIANATASIO IS CENSURED AND FINED \$5,000 - (NASD RULE 2110 - RESPONDENT GIANATASIO FAILED TO COMPLY WITH AN INTERPRETATION OF THE BOARD OF GOVERNORS OF THE NASD RELATIVE TO FREE-RIDING AND WITHHOLDING IN THAT HE PURCHASED AND SOLD SHARES OF COMMON STOCKS THAT TRADED THAT A PREMIUM IN THE SECONDARY MARKET).

\$5,000.00 PAID ON 4/28/97, INVOICE #97-11-279

Reporting Source:

Broker

Regulatory Action Initiated By:

NASD DISTRICT #11

Sanction(s) Sought:

Censure

Other Sanction(s) Sought:**Date Initiated:**

03/31/1997

Docket/Case Number:

C11960057

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

CADARET, GRANT & CO., INC.

Product Type:

Equity Listed (Common & Preferred Stock)

Other Product Type(s):**Allegations:**

VIOLATION NASD RULE 210-FAILED TO COMPLY WITH AN INTERPRETATION OF THE BOARD OF GOVERNORS OF THE NASD RELATIVE TO FREE-RIDING AND WITHHOLDING IN THAT I PURCHASED AND SOLD SHARES OF COMMON STOCKS THAT TRADED AT A REMIUM IN THE SECONDARY MARKET.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)



Resolution Date: 04/28/1997

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: LETTER OF ACCEPTANCE, WAIVER AND CONCEPT ACCEPTED. PAID \$5,000.00 FINE ON 4-28-97; INVOICE 97-11-279.

Broker Statement THE SECURITIES IN QUESTION WERE PURCHASED IN AN ACCOUNT IN WHICH THE BROKER HAD DISCRETION OVER. HE PURCHASED AND SOLD THE SECURITIES IN QUESTION WITH OUT MY KNOWLEDGE OR AUTHORIZATION. I NEVER RECEIVED THE ORIGINAL CONFIRMATION AND PROSPECTUS INDICATING THESE SECURITIES IN QUESTION WERE NEW ISSUES. ONCE I WAS AWARE OF THE TRANSACTIONS I IMMEDIATELY INSTRUCTED THE BROKER TO REVERSE THE TRADES AND GIVE BACK ALL PROFITS. THE BROKER SHOULD HAVE BEEN AWARE THAT I WAS A REGISTERED REP AND THAT THESE WERE PROHIBITIVE TRANSACTIONS NOT TO FURTHER IMPLICATE THE BROKER I TOOK RESPONSIBILITY FOR HIS ACTIONS.

End of Report



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