

Ferrante Capital LLC

208 89th ST South, Virginia Beach, VA 23451

(757) 202-2186

cco@ferrantecapitaladvisers.com

March 25, 2026

Form ADV Part 2B – Brochure Supplement

For

Rocco J. Testa

Investment Adviser Representative

Ferrante Capital LLC

208 89th ST South

Virginia Beach, VA 23451

Phone: (757) 202-2186

This Brochure Supplement provides information about Rocco J. Testa that supplements the Ferrante Capital LLC brochure. A copy of that brochure precedes this supplement. Please contact Andrew J. Lazzeroni if the Ferrante Capital LLC brochure is not included with this supplement or if you have any questions about the contents of this supplement, please contact us at 757-202-2186 or cco@ferrantecapitaladvisers.com

Additional information about Rocco J. Testa is available on the SEC's website at www.adviserinfo.sec.gov

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Item 2: Educational Background and Business Experience

Rocco J. Testa

Year of Birth: 2003

Education

Florida State University
Bachelor of Science in Finance
Graduated May 2025

Florida Atlantic University
Attended 2021 — 2022

Professional Examinations

- Securities Industry Essentials (SIE)
- Uniform Investment Adviser Law Examination (Series 65) — Feb 2026

Mr. Testa does not currently hold any additional professional designations.

Business Experience (last 5 — 10 years)

Ferrante Holdings Inc. — Co-Founder (March 2025 — Present)

Ferrante Capital LLC — Investment Adviser Representative (August 2025 — Present)

Falco Systems LLC — Co-Founder (July 2025 — Present)

Mr. Testa participates in the development and operational oversight of automated trading tools focused on futures markets. Responsibilities include analysis of trading performance, product development coordination, and operational management functions.

Testa Adjusting — Independent Claims Adjuster (May 2024 — August 2024)

Mr. Testa evaluated insurance claims, assessed liability and damages, and prepared analytical reports to support settlement determinations.

Item 3: Disciplinary Information

Mr. Testa has no legal or disciplinary events to disclose. He has never been the subject of a criminal proceeding, civil judicial action, administrative proceeding, or a self-regulatory

organization (SRO) disciplinary action, and he has never been found liable or involved in any arbitration claim.

If any material disciplinary event occurs in the future, this Brochure Supplement will be updated promptly.

Item 4: Other Business Activities

Rocco J. Testa also serves in affiliated roles within the Ferrante group of companies. Approximate time allocations (which may vary):

- **Ferrante Capital LLC** (advisory duties): ~65% of working time.
- **Ferrante Holdings Inc.** — Co-Founder: ~10% of working time.
- **Falco Systems LLC** — Co-Founder: ~25% of working time.

Mr. Testa owns a 25% ownership interest in Ferrante Holdings Inc. Ferrante Holdings Inc. is the parent entity of Ferrante Capital LLC and Falco Systems LLC.

Falco Systems LLC is an affiliated company under common ownership through Ferrante Holdings Inc. but is not part of Ferrante Capital LLC. Mr. Testa is involved through ownership and may receive related compensation that is not tied to advisory services. Clients of Ferrante Capital LLC are under no obligation to use Falco Systems LLC products.

Rocco J. Testa receives W-2 salary from Ferrante Holdings Inc. and may receive bonuses & dividends. He does not receive product-based sales compensation or payments from third-party sponsors for advisory recommendations. Clients are not required to purchase any Falco product or use any specific software, and advisory services are not conditioned on purchasing affiliated products. Clients are free to select unaffiliated alternatives (or none).

Mr. Testa is not registered as a broker-dealer representative, futures commission merchant, commodity pool operator, commodity trading advisor, or associated person of any such entity.

Item 5: Additional Compensation

Rocco J. Testa does **not** receive any economic benefit (cash or non-cash) from product sponsors, custodians, or vendors in connection with providing advisory services, other than generally available custodial platform tools described in the firm's Brochure (Part 2A).

Item 6: Supervision

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Mr. Testa is supervised by Andrew J. Lazzeroni, Chief Executive Officer, Chief Investment Officer, and Chief Compliance Officer of Ferrante Capital LLC.

Mr. Lazzeroni oversees Mr. Testa's advisory activities through ongoing compliance supervision and review procedures. Supervision includes:

- periodic reviews of client account activity and documentation;
- reviews of recommendations for consistency with each client's objectives and risk profile;
- monitoring of communications, including email correspondence;
- ongoing compliance testing under the Firm's Code of Ethics and supervisory procedures; and
- oversight of adherence to fiduciary obligations and regulatory requirements.

Mr. Testa is also accountable to the Board of Directors (Class A) of Ferrante Holdings Inc., the parent company of Ferrante Capital LLC. The Board provides governance oversight and may review compliance matters, business practices, and adherence to Firm policies.

Board of Directors (Class A) — Ferrante Holdings Inc.

- Andrew J. Lazzeroni — CRD #8186804
- Michael A. Licari — CRD #8101738
- Rocco J. Testa — CRD #8186815

Questions regarding supervision may be directed to:

Andrew J. Lazzeroni, Chief Compliance Officer

Phone: 757-202-2186

Email: cco@ferrantecapitaladvisers.com

Item 7: State-Registered Advisers

Rocco J. Testa has not been the subject of an arbitration award or civil/SRO/administrative finding involving violations of investment-related statutes or regulations.

Rocco J. Testa has not been the subject of a bankruptcy petition.