



IAPD Report

SETH ADAM RADOW

CRD# 1278347

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

SETH ADAM RADOW (CRD# 1278347)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/04/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	APOLLON WEALTH MANAGEMENT, LLC	CRD# 291902	08/08/2022
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	08/11/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	RAYMOND JAMES & ASSOCIATES, INC.	705	BEVERLY HILLS, CA	11/12/2015 - 08/15/2022
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	BEVERLY HILLS, CA	11/12/2015 - 08/15/2022
IA	UBS FINANCIAL SERVICES INC.	8174	CENTURY CITY, CA	04/05/2002 - 11/23/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**
Main Address: 80 STATE STREET
ALBANY, NY 12207
Firm ID#: 35747

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	08/11/2022
B FINRA	Government Securities Representative	Approved	08/11/2022
B California	Agent	Approved	08/11/2022
B Florida	Agent	Approved	10/07/2024
B Georgia	Agent	Approved	10/07/2024
B Illinois	Agent	Approved	11/08/2024
B New York	Agent	Approved	10/05/2024
B Pennsylvania	Agent	Approved	09/28/2022
B Tennessee	Agent	Approved	08/11/2022

Branch Office Locations

36 Governors Way
Suite 100
Brentwood, TN 37027

Employment 2 of 2

Firm Name: **APOLLON WEALTH MANAGEMENT, LLC**
Main Address: 111 COLEMAN BLVD



Qualifications

Firm ID#: SUITE 402
MOUNT PLEASANT, SC 29464
291902

Regulator	Registration	Status	Date
IA Tennessee	Investment Adviser Representative	Approved	08/08/2022

Branch Office Locations

APOLLON WEALTH MANAGEMENT, LLC
BRENTWOOD, TN



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Government Securities Representative Examination (S72)	Series 72	01/02/2023
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	07/21/1984
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1984
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	11/12/2015 - 08/15/2022	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	BEVERLY HILLS, CA
IA	11/12/2015 - 08/15/2022	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	BEVERLY HILLS, CA
IA	04/05/2002 - 11/23/2015	UBS FINANCIAL SERVICES INC.	CRD# 8174	CENTURY CITY, CA
B	02/22/2002 - 11/23/2015	UBS FINANCIAL SERVICES INC.	CRD# 8174	CENTURY CITY, CA
B	01/08/1991 - 02/28/2002	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ
B	10/17/1990 - 02/04/1991	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	02/05/1988 - 09/28/1990	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	05/06/1986 - 02/12/1988	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	07/26/1984 - 04/29/1986	INVESTORS CENTER INCORPORATED	CRD# 14670	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2022 - Present	APOLLON WEALTH MANAGEMENT, LLC	LEAD ADVISOR	Y	BRENTWOOD, TN, United States
08/2022 - Present	PURSHE KAPLAN STERLING INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	BRENTWOOD, TN, United States
11/2015 - 08/2022	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	LOS ANGELES, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) Kempo DD Martial Arts (Brentwood Martial Arts & Fitness), Non-Investment Related, Brentwood, TN, Business Owner, Partner,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

08/01/2019, Appx. 24 Hrs/Mnth, I will be a partner/teacher in the practice with my wife.

2) 1. Apollon Wealth Management 2. Investment related 3. Office of Employment Address 4. RIA 5. MD, Sr. PM 6. 8/8/2022 7. 60hrs/mo 8. 60 hrs during trading 9. Registered Investment Advisor

3) 1. Appollon Insurance Group, LLC 2. Investment related 3. 2 Wharfside St. Suite 2-O, Charleston, SC 29401 4. Financial Services, Insurance 5. Advisor 6. 8/1/2022 7. 1-2 hrs/wk 8. 0 hrs during trading 9. Recommend/Solicit Insurance Products 10. Commissions

4) 1. PKS Financial 2. Investment Related 3. 80 State St. Albany, NY 12207 4. Fixed / Traditional Insurance 5. Agent 6. 08/2022 7. 4hrs/mo 8. 4 hrs during trading 9. Sales of Fixed / Traditional insurance products

5) Purshe Kaplan Sterling Investments, Inc, Investment Related, Brentwood, TN, Broker Dealer, Registered Representative, 08/2022, Appx. 10 Hrs/Mnth.

6) Westside Wealth Management Legacy, LLC; Entity for Business Operations; Holding Company for managing revenue and expenses for securities business activity. | No securities business is conducted through this entity, this services solely as a holding company.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS Financial Services Inc.
Allegations:	Time Frame: January 16, 2015 to December 10, 2015 The client alleges being told she would get a 3 percent return that she told her advisors that her goal was principal protection and liquidity and the account was dropping. The alleged damages are estimated to be in excess of \$5,000.00.
Product Type:	Other: Managed Wrap Accounts Outside Money Mgr.
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Estimated to be in excess of \$5,000.00
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:	12/10/2015
Complaint Pending?	No
Status:	Settled



Status Date: 05/31/2016

Settlement Amount: \$100,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS Financial Services, Inc.

Allegations: Time Frame: January 16, 2015 to December 10, 2015. The client alleges being told she would get a 3 percent return - that she told her advisors that her goal was principal protection and liquidity and the account was dropping. The alleged damages are estimated to be in excess of \$5,000.00

Product Type: Other: Managed Wrap Accounts Outside Money Mgr.

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Estimated to be in excess of \$5,000.00

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: 12/10/2015

Complaint Pending? No

Status: Settled

Status Date: 05/31/2016

Settlement Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Broker Statement The allegations in this complaint are false and the matter will be vigorously defended.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: Time Frame: July 2, 2014 to October 21, 2016 The client alleges that his Financial Advisor told him his investment was well diversified and a great success for his clients. The client further alleges his Financial Advisor told him he would only invest in investments that were in his best interests and he was placed in unsuitable investments. The client finally alleges that he was assured by his Financial Advisor that the investment would perform well.



Product Type: Other: Managed Wrap Accounts Outside Money Mgr

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Estimated to be in excess of \$5,000.00

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: 11/07/2016

Complaint Pending? No

Status: Denied

Status Date: 12/27/2016

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS Financial Services Inc.

Allegations: Time Frame: July 2, 2014 to October 21, 2016 The client alleges that his Financial Advisor told him his investment was well diversified and a great success for his clients. The client further alleges his Financial Advisor told him he would only invest in investments that were in his best interests and he was placed in unsuitable investments. The client finally alleges that he was assured by his Financial Advisor that the investment would perform well.

Product Type: Other: Managed Wrap Accounts Outside Money Mgr

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Estimated to be in excess of \$5,000.00

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: 11/07/2016

Complaint Pending? No

Status: Denied



Status Date: 12/27/2016

Settlement Amount:

Individual Contribution Amount:

Broker Statement

I deny the allegations in this customer complaint. The account at issue was transferred to my team of advisors and was properly handled from that time until the client's departure from my former firm in April of 2015, including but not limited to, enhanced diversification of the portfolio(s). The complaint is baseless and will be vigorously defended.

Disclosure 3 of 3

Reporting Source:

Regulator

Employing firm when activities occurred which led to the complaint:

DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION

Allegations:

MR. RADOW USED DISCRETION IN TRADING THE ACCOUNT AND THAT THIS DISCRETIONARY AUTHORITY WAS ABUSED BY EXCESSIVE TRADING, MADE MATERIAL MISREPRESENTATIONS OF FACT AND OMITTED TO STATE MATERIAL FACTS IN CONNECTION WITH TRANSACTIONS IN THE ACCOUNT. CLAIMANTS ASSERT CAUSES OF ACTION FOR BREACH OF FIDUCIARY DUTY, COMMON LAW FRAUD.

Product Type:

Alleged Damages:

\$172,082.87

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

NASD - CASE #96-04492

Date Notice/Process Served:

11/21/1996

Arbitration Pending?

No

Disposition:

Other

Disposition Date:

03/05/1998

Disposition Detail:

AWARD AGAINST PARTY
** RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO THE CLAIMANTS THE SUM OF \$106,129.00, REPRESENTING COMPENSATION FOR OUT OF POCKET LOSSES AND INTEREST AT 7% ON SAID AMOUNT; MARGIN INTEREST CHARGED TO THE ACCOUNT; AND COMMISSIONS CHARGED FOR TRANSACTIONS IN THE ACCOUNT INCLUDING BROKER COMPENSATION. **

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION



Allegations: BREACH OF FIDUCIARY DITY, COMMON LAW FRAUD, UNSUITABLE INVESTMENTS, AMOUNT OF ALLEGED DAMAGES TOTALLED \$172,082.87.

Product Type:

Alleged Damages: \$172,082.87

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/05/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 96-04492

Date Notice/Process Served: 11/21/1996

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/05/1998

Monetary Compensation Amount: \$106,129.00

Individual Contribution Amount: \$42,451.60

Broker Statement AWARD RENDERED IN THE AMOUNT OF \$106,129.00, THE CLAIM FOR "COMMON LAW FRAUD" WAS DENIED AND DISMISSED. I WAS ASKED TO CONTRIBUTE \$42,451.60 TOWARDS THE AWARD.
Not Provided



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: UBS FINANCIAL SERVICES INC

Termination Type: Discharged

Termination Date: 11/11/2015

Allegations: Mr. Radow provided false information to the Firm regarding certain expenses for which he sought reimbursement as business-related expenses under a Firm expense reimbursement program to which he contributed amounts on a pre-tax basis for use on certain approved business-related expenses.

Product Type: No Product

Reporting Source: Individual

Firm Name: UBS FINANCIAL SERVICES, INC.

Termination Type: Discharged

Termination Date: 11/11/2015

Allegations: UBS ALLEGES FINANCIAL ADVISOR PROVIDED FALSE INFORMATION TO THE FIRM REGARDING CERTAIN EXPENSES FOR WHICH HE SOUGHT REIMBURSEMENT AS BUSINESS-RELATED EXPENSES UNDER A FIRM EXPENSE REIMBURSEMENT PROGRAM TO WHICH HE CONTRIBUTED AMOUNTS ON A PRE-TAX BASIS FOR USE ON CERTAIN APPROVED BUSINESS-RELATED EXPENSES.

Product Type: No Product

Broker Statement

I deny ever providing any false information to UBS regarding any business-related expenses. All such expenses were for business-related activities and all information that I provided to UBS was truthful and accurate. I was employed with UBS for approximately 13 years. In those 13 years, I had consistently expensed the same types of items and never received any negative feedback, or any guidance as to whether any such items should not have been expensed. Furthermore, I did not personally prepare the expense reports, as this task was delegated to administrative staff members.



End of Report

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