



IAPD Report

CONSTANTINE SPIRO BASDAKIS

CRD# 1425737

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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

CONSTANTINE SPIRO BASDAKIS (CRD# 1425737)

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 **01/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/02/2007
IA	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	11/21/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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
IA	LPL FINANCIAL LLC	6413	IRVINE, CA	04/02/2007 - 03/06/2017
B	INTERSECURITIES, INC.	16164	IRVINE, CA	03/03/2005 - 04/11/2007
IA	INTERSECURITIES, INC.	16164	IRVINE, CA	03/02/2005 - 04/11/2007

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	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 **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/02/2007
B	FINRA	General Securities Representative	Approved	04/02/2007
B	Arizona	Agent	Approved	04/02/2007
B	California	Agent	Approved	04/02/2007
B	Florida	Agent	Approved	01/12/2026
B	Hawaii	Agent	Approved	01/13/2026
B	Idaho	Agent	Approved	11/30/2011
B	Texas	Agent	Approved	05/20/2013
B	Washington	Agent	Approved	07/10/2013

Branch Office Locations

LPL FINANCIAL LLC
32 EXECUTIVE PARK STE 130
IRVINE, CA 92614

Employment 2 of 2

Firm Name: **STRATOS WEALTH PARTNERS, LTD**
Main Address: 3750 PARK EAST DR
STE 200



Qualifications

Firm ID#: BEACHWOOD, OH 44122
153184

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	11/21/2016
IA	Louisiana	Investment Adviser Representative	Approved	11/23/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	11/28/2016

Branch Office Locations

STRATOS WEALTH PARTNERS, LTD
32 EXECUTIVE PARK
SUITE 130
IRVINE, CA 92614



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 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 (S24)	Series 24	08/14/2006

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	08/09/1993
B	General Securities Representative Examination (S7)	Series 7	11/16/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/30/1992
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/22/1985



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	04/02/2007 - 03/06/2017	LPL FINANCIAL LLC	CRD# 6413	IRVINE, CA
B	03/03/2005 - 04/11/2007	INTERSECURITIES, INC.	CRD# 16164	IRVINE, CA
IA	03/02/2005 - 04/11/2007	INTERSECURITIES, INC.	CRD# 16164	IRVINE, CA
IA	07/08/1997 - 03/11/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ORANGE, CA
B	07/31/1993 - 03/11/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	11/20/1985 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY

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
11/2016 - Present	STRATOS WEALTH PARTNERS, LTD	Investment Adviser Representative	Y	IRVINE, CA, United States
04/2007 - Present	LPL FINANCIAL, LLC	Registered Representative	Y	IRVINE, 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.

- 01/31/2015: BASDAKIS WEALTH MANAGEMENT GROUP, INC. - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - INV REL - 114 PACIFICA, SUITE 320, IRVINE, CA 92618 - START 04/01/2007 - 15 HR/MO NONE DURING SECS TRDG HRS
- 02/04/2015: BGA INSURANCE - INV REL - 114 PACIFICA, SUITE 320, IRVINE, CA 92618 - NON-VARIABLE INSURANCE - START 01/28/2015 - 10 HR/MO NONE DURING SECS TRDG HRS - BASDAKIS ENTERPRISES: LIFE, DISABILITY, LTC
- 08/06/2015 - BWMG, Inc. - INV REL - 114 Pacifica Ste. 320 Irvine, CA 92618 - DBA for LPL Business (entity for LPL business) - START 07/29/2015 - 40 HOURS PER MONTH, 25 DURING TRADING - Basdakis Wealth Management Group, Inc.
- 11/03/2016 - Stratos Wealth Partners - DBA for LPL Business (entity for LPL business) - Investment Related - 114 Pacifica Suite 320 Irvine CA 92618 - Start 11/18/2016 - 160 Hr/Mo; 8 Hour(s) During Securities Trading.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

5. 11/22/2016 - Stratos Wealth Partners - DBA: (Hybrid) Basdakis Wealth Management Group - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 11/18/2016 - 160 Hours Per Month/8 Hours During Securities Trading - IAR - I provide investment advisory services through Stratos Wealth Partners, an independent investment advisor firm. I started this business activity in November 2016. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
6. 6/13/2017 - Stratos Wealth Partners - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Started 11/18/2016 - 160 Hours Per Month/8 Hours During Securities Trading - I provide investment advisory services through Stratos Wealth Partners, an independent investment advisor firm. I started this business activity in 10/2016. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firms Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
7. 6/13/2017 - BMWG, Inc. - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - IAR - Start 11/18/2016 - 160 Hours Per Month/8 Hours During Securities Trading.
8. 1/2/2020 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Agent - Start Date: 10/28/2019 - 2 Hours Per Month/0 Hours During Securities Trading.
9. 9/11/2023 - Basdakis Wealth Management Group Inc. - Investment Related - 18012 Sky Park Circle Suite 150 - Real Estate Rental - Start Date: 1/17/2022 - 2 Hours Per Month/0 Hours During Securities Trading - Renting office space to one Advisors.
10. 04/02/2007 - LPL Financial, LLC (Registered Representative) - Investment Related - At Reported Business Location (s) - 100% time spent between LPL Financial, LLC and Stratos Wealth Partners, Ltd.



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	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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS, INC.
Allegations:	SUITABILITY; ACCOUNT RELATED - FAILURE TO SUPERVISE; BREACH OF FIDUCIARY DUTY
Product Type:	
Alleged Damages:	\$238,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-00264
Date Notice/Process Served:	02/02/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/08/1993
Disposition Detail:	CASE IS CLOSED, SETTLED Not Provided

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN BROTHER, INC

Allegations: ALLEGED FRAUD, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY & FAILURE ON THE PART OF SHEARSON TO SUPERVISE.

Product Type: Other

Other Product Type(s): MASTER LIMITED PARTNERS, LP

Alleged Damages: \$238,000.00

Customer Complaint Information

Date Complaint Received: 06/01/1991

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/02/1993

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-00264

Date Notice/Process Served: 02/02/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/08/1993

Monetary Compensation Amount: \$77,500.00

Individual Contribution Amount: \$9,000.00

Broker Statement IN MID TO LATE 1989, MADE SOME INVESTMENTS IN MLP'S, THESE WERE BOUGHT ON MARGIN. ONE OF THESE THAT WE MADE A SIZABLE INVESTMENT IN WAS T. BOONE PICKENS MESA PETROY, WHICH WENT DOWN CONSIDERABLY. CLOSED HIS ACCOUNT ONE YEAR LATER THE FIRN RECEIVED A COMPLAINT. THE FIRM FELT IT WAS LESS EXPENSIVE TO SETTLE. I WAS ASKED TO CONTRIBUTE \$9000.



End of Report

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