



IAPD Report

MICHAEL ROBERT MATHIOUDAKIS

CRD# 1693094

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

MICHAEL ROBERT MATHIOUDAKIS (CRD# 1693094)

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 **02/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GENESIS ADVISORS, LLC	CRD# 151976	11/12/2009

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	TITAN SECURITIES	131392	PLANO, TX	05/08/2009 - 06/02/2010
IA	PRIVATE WEALTH ADVISORS, INC.	148144	FISHERS, IN	05/04/2009 - 09/30/2009
B	PRIVATE CONSULTING GROUP, INC.	45053	FISHERS, IN	01/03/2001 - 03/30/2009

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
Regulatory Event	1
Customer Dispute	2





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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GENESIS ADVISORS, LLC**
Main Address: 10150 LANTERN ROAD
SUITE 175
FISHERS, IN 46037
Firm ID#: 151976

	Regulator	Registration	Status	Date
	Indiana	Investment Adviser Representative	Approved	11/12/2009
	Texas	Investment Adviser Representative	Approved	04/07/2014

Branch Office Locations

GENESIS ADVISORS, LLC
10150 LANTERN ROAD
SUITE 175
FISHERS, IN 46037




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, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	03/02/2001

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	02/20/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/08/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/23/1996
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/31/1995

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	05/08/2009 - 06/02/2010	TITAN SECURITIES	CRD# 131392	PLANO, TX
IA	05/04/2009 - 09/30/2009	PRIVATE WEALTH ADVISORS, INC.	CRD# 148144	FISHERS, IN
B	01/03/2001 - 03/30/2009	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	FISHERS, IN
IA	11/03/1999 - 12/31/2008	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	FISHERS, IN
IA	01/15/2004 - 12/08/2005	THE STEWARDSHIP ALLIANCE, LLC	CRD# 118835	PRINCETON, IN
IA	12/07/1998 - 04/28/2003	THE GENESIS GROUP, LLC	CRD# 122724	FISHERS, IN
B	07/10/2000 - 01/10/2001	NFP SECURITIES, INC.	CRD# 42046	AUSTIN, TX
B	09/15/1999 - 07/10/2000	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	PORTLAND, OR
B	05/20/1997 - 11/10/1999	PARTNERS SECURITIES, INC.	CRD# 42046	AUSTIN, TX
B	10/18/1995 - 05/28/1997	FORTIS INVESTORS, INC.	CRD# 421	OAKDALE, MN
B	09/11/1993 - 11/10/1995	MANEQUITY, INC.	CRD# 5249	BOSTON, MA
B	07/03/1990 - 10/18/1995	PROEQUITIES, INC.	CRD# 15708	BIRMINGHAM, AL
B	07/09/1987 - 05/31/1988	BERKSHIRE EQUITY SALES, INC.	CRD# 87	

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
11/2024 - Present	Genesis Advisors, LLC	Managing Member	Y	Fishers, IN, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2019 - Present	Genesis ESOP Advisors, LLC	Sole Owner and Managing Member	Y	Fishers, IN, United States
12/2009 - 11/2024	Genesis Advisors, LLC	Managing Member and CCO	Y	Fishers, IN, United States
02/2004 - 01/2021	Genesis Investments, LLC	Managing Member	Y	Fishers, IN, 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.

- 1.07/2019- Michael R. Mathioudakis is currently sole owner and Managing Member of Genesis ESOP Advisors, LLC, Fishers, IN.- a firm that employee stock ownership plan trustee services to companies. This activity accounts for about 80% of his time.
- 2.Michael R. Mathioudakis also is an independent insurance agent. This activity accounts for approximately 5% of his time.
- 3.Michael R. Mathioudakis is a Co-Founder and investor of Quiddity Systems, Inc. Quiddity Systems, Inc. is a technology company in the human AI space. This activity accounts for approximately 10% of his time.



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
Regulatory Event	1
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	INDIANA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Other: COSTS OF THE INVESTIGATION
Date Initiated:	05/10/2011
Docket/Case Number:	11-0077 CA
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	GENESIS ADVISORS, LLC
Product Type:	Other: UNKNOWN
Allegations:	THE DIVISION ALLEGES THAT MICHAEL MATHIOUDAKIS ("MATHIOUDAKIS") FAILED TO LIST IN SECTION 7.B OF THE FORM ADV THAT KIF, LLC WAS A LIMITED LIABILITY COMPANY FOR WHICH MATHIOUDAKIS SERVES AS A MANAGING MEMBER, IN VIOLATION OF IND. CODE § 23-19-5-1(2).
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

05/10/2011

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Other: \$1,000 COSTS OF THE INVESTIGATION.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$4,000.00

Portion Levied against individual: \$4,000.00

Payment Plan: NONE

Is Payment Plan Current:

Date Paid by individual: 05/10/2011

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$1,000.00

Portion Levied against individual: \$1,000.00

Payment Plan: NONE

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRIVATE CONSULTING GROUP
Allegations:	UNSUITABLE INVESTMENTS, BREACH OF FIDUCIARY DUTY, UNFAIR BUSINESS PRACTICE, FRAUDULENT BEHAVIOR
Product Type:	Penny Stock Promissory Note Other: PRIVATE INVESTMENTS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	SUIT WAS FILED AS A CIVIL CASE FOR AN UNDETERMINED AMOUNT THAT EXCEEDS \$25,000
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	SUPERIOR COURT OF CALIFORNIA, COUNTY OF ORANGE
Docket/Case #:	30-20130062713-CU-FR - CJC
Filing date of arbitration/CFTC reparation or civil litigation:	07/16/2013

Customer Complaint Information

Date Complaint Received:	09/12/2013
Complaint Pending?	No
Status:	Settled
Status Date:	09/12/2013
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	SUPERIOR STATE COURT OF CALIFORNIA
Location of Court:	COUNTY OF ORANGE



Docket/Case #: 30-2013-00662713-CU-FR-CJC

Date Notice/Process Served: 09/12/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/12/2015

Monetary Compensation Amount: \$475,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: The Private Consulting Group, Private Wealth Advisors, Titan Securities & Genesis Advisors

Allegations: Client experienced losses on some private placement equity investments sold through The Private Consulting Group purchased between 2006 and 2013.

Product Type: Direct Investment-DPP & LP Interests
Oil & Gas
Promissory Note
Other: Private Debt and Equity Investments

Alleged Damages: \$5,000,000.00

Alleged Damages Amount Explanation (if amount not exact): Complaint estimated damages to be in excess of \$5,000,000.

Civil Litigation Information

Type of Court: State Court

Name of Court: California Superior Court for the County of Orange

Location of Court: Orange County

Docket/Case #: 30-2013-00662713-CU-FR-CJC

Date Notice/Process Served: 07/30/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/12/2015

Monetary Compensation Amount: \$475,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIVATE CONSULTING GROUP, INC.



Allegations: 01/2005 TO 08/2007. PRIVATE CONSULTING GROUP, INC. WAS NAMED AS A RESPONDENT IN FINRA ARBITRATION 08-02024. COMPLAINT INCLUDED ALLEGATIONS OF CERTAIN SALES PRACTICE VIOLATIONS ON THE PART OF MR. MATHIOUDAKIS. MR. MATHIOUDAKIS WAS NOT NAMED AS A RESPONDENT IN THE ARBITRATION. THE ALLEGATIONS ARISE FROM CLAIMANT'S INVESTMENT IN A MUNICIPAL BOND FUND.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$253,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 08-02024

Filing date of arbitration/CFTC reparation or civil litigation: 06/25/2008

Customer Complaint Information

Date Complaint Received: 06/25/2008

Complaint Pending? No

Status: Withdrawn

Status Date: 05/13/2009

Settlement Amount:

Individual Contribution Amount:



End of Report

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