



## IAPD Report

# CHRISTOPHER THOMAS GENOVESE

CRD# 2255451

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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

### CHRISTOPHER THOMAS GENOVESE (CRD# 2255451)

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 **12/05/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	ADVISORS ASSET MANAGEMENT, INC.	CRD# 46727	04/11/2001
<b>IA</b>	ADVISORS ASSET MANAGEMENT, INC.	CRD# 46727	10/26/2004

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **34** 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>B</b>	STOEVER, GLASS & COMPANY INC.	7031	NEW YORK, NY	07/09/1997 - 02/02/2001
<b>B</b>	SMITH BARNEY INC.	7059	NEW YORK, NY	08/22/1996 - 06/25/1997
<b>B</b>	STOEVER, GLASS & COMPANY INC.	7031	NEW YORK, NY	09/22/1992 - 09/11/1996

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

#### Employment 1 of 1

Firm Name: **ADVISORS ASSET MANAGEMENT, INC.**

Main Address: 18925 BASE CAMP ROAD  
SUITE 203  
MONUMENT, CO 80132

Firm ID#: 46727

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/11/2001
B FINRA	General Securities Principal	Approved	11/12/2001
B FINRA	Municipal Securities Principal	Approved	03/29/2002
B FINRA	Municipal Securities Representative	Approved	03/29/2002
B FINRA	Investment Banking Representative	Approved	03/23/2010
B FINRA	Investment Banking Principal	Approved	10/01/2018
B Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Arizona	Agent	Approved	09/03/2004
B Arkansas	Agent	Approved	11/08/2005
B California	Agent	Approved	04/11/2001
B Colorado	Agent	Approved	08/09/2004
B Connecticut	Agent	Approved	04/16/2001



## Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	04/11/2001
B Georgia	Agent	Approved	08/05/2004
B Illinois	Agent	Approved	08/04/2004
B Indiana	Agent	Approved	05/15/2001
B Louisiana	Agent	Approved	08/23/2004
B Maine	Agent	Approved	08/10/2004
B Maryland	Agent	Approved	04/11/2001
B Massachusetts	Agent	Approved	04/23/2001
B Michigan	Agent	Approved	08/09/2004
B Minnesota	Agent	Approved	04/11/2001
B Mississippi	Agent	Approved	08/04/2004
B Missouri	Agent	Approved	08/04/2004
B Nevada	Agent	Approved	08/13/2004
B New Hampshire	Agent	Approved	09/01/2004
B New Jersey	Agent	Approved	04/11/2001
IA New Jersey	Investment Adviser Representative	Approved	04/25/2006
B New York	Agent	Approved	04/11/2001
IA New York	Investment Adviser Representative	Approved	10/03/2023
B North Carolina	Agent	Approved	04/11/2001



## Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	08/04/2004
B Oklahoma	Agent	Approved	08/04/2004
B Oregon	Agent	Approved	10/25/2001
B Pennsylvania	Agent	Approved	04/11/2001
B Rhode Island	Agent	Approved	11/02/2005
B South Carolina	Agent	Approved	04/11/2001
B Texas	Agent	Approved	08/05/2004
IA Texas	Investment Adviser Representative	Restricted Approval	10/26/2004
B Utah	Agent	Approved	08/04/2004
B Virginia	Agent	Approved	04/11/2001
B Washington	Agent	Approved	08/04/2004
IA Washington	Investment Adviser Representative	Approved	12/16/2008
B West Virginia	Agent	Approved	08/04/2004
B Wisconsin	Agent	Approved	08/17/2006

## Branch Office Locations

**ADVISORS ASSET MANAGEMENT, INC.**

48 SOUTH SERVICE RD  
SUITE 210  
MELVILLE, NY 11747



## 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 2 principal/supervisory exams, 4 general industry/product exams, and 3 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	03/28/2002
 General Securities Principal Examination (S24)	Series 24	11/09/2001

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/21/1992

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	04/11/2006
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/08/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/24/1992



## 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	07/09/1997 - 02/02/2001	STOEVER, GLASS & COMPANY INC.	CRD# 7031	NEW YORK, NY
B	08/22/1996 - 06/25/1997	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	09/22/1992 - 09/11/1996	STOEVER, GLASS & COMPANY INC.	CRD# 7031	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
04/2002 - Present	ADVISORS ASSET MANAGEMENT, INC	EXECUTIVE VICE PRESIDENT, STRATEGIC INITIATIVES	Y	MELVILLE, NY, 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)NAME:VANLAM, INC BDA ROCKIN ILALIAN ICES NATURE:CONCESSION AT JONES BEACH THEATRE/APPOX. 30 SHOWS PER SEASON DUTIES:VERY LIGHT BOOKKEEPING/BANKING TITLE:TREASURER TIME:10-15 HRS PER YEAR START:6/7/14 THE THEATRE PROVIDES ALL EMPLOYEES, STORGE, PERMIT AND SCHEDULING. TWO BUSINESS PARTNERS HANDLE ALL ELSE. NOT INVESTMENT SECURITIES RELATED

2)NAME:RENTAL PROPERTY OWNED BY GENO AVELLINO, LLC ADDRESS:9533 AVELLINO WAY, UNIT #2912, NAPLES, FLORIDA 34113 TITLE:OWNER/LANDLORD START:DEC 2017 TIME:MINIMAL INVOLVEMENT. WE HAVE A REALTOR HANDLING RENTER SCREENING, COLLECTIONS, ETC. MY WIFE AND I OWN A PROPERTY IN FLORIDA AND HAVE BEEN RENTING IT OUT MONTHLY. WE RECEIVE RENTAL INCOME OF \$2,300 WHICH IS USED TO PAY TAXES, HOA EXPENSES REALTOR EXPENSES AND THE MORTGAGE. COMPENSATION OF \$2300/MONTH IS RENTAL INCOME WHICH IS SLIGHTLY GREATER THAN MONTHLY EXPENSES. NOT INVESTMENT SECURITIES RELATED

3)NAME:ZANDRABILITY, INC ADDRESS:46 WAGON WHEEL LANE, DIX HILLS, NY 11746 TITLE:DIRECTOR DUTIES: FUNDRAISER AND EVENT PLANNER ;SUCH AS T-SHIRT SALES, BOWLING GATHERINGS, BBQ AND MUSIC EVENTS. START:11/2021 TIME:ABOUT 10 HOURS PER MONTH. MY DAUGHTER, ALEXANDRA (ZANDRA) DECIDED TO START A 501-C3 CORPORATION TO RAISE FUNDS TO FIND A CURE FOR SPINAL MUSCULAR ATROPHY (SMA). FOR YEARS OUR FAMILY HAS HOSTED FUNDRAISERS FOR ORGANIZATIONS LIKE "FAMILIES OF SMA" AND "CURE SMA". WITH HER NEW ZANDRABILITY, INC., ALEXANDRA PLANS TO RAISE FUNDS FOR THESE ORGANIZATIONS AS WELL AS FOR LOCAL FAMILIES WITH KIDS CHALLENGED WITH ACCESSIBILITY ISSUES. NOT INVESTMENT SECURITIES RELATED

4) NAME: GENO ABACOA, LLC ADDRESS: 4903 CHANCELLOR DRIVE, UNIT 23, THE VILLAGE AT ABACOA, JUPITER, FLORIDA 33458 START: 12/2024 TIME: VERY LITTLE TIME AS VICTORIA WILL MANAGE THE PROPERTY ALONG WITH AN



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

OUTSIDE MANAGEMENT FIRM. RENTAL PROPERTY IN JUPITER, FLORIDA. COMPENSATION = RENTAL INCOME LESS HOA FEES, TAXES, ETC. LLC IS JOINTLY OWNED WITH VICTORIA GENOVESE. NOT INVESTMENT SECURITIES RELATED

5) NAME: SCOUTING AMERICA THEODORE ROOSEVELT COUNCIL ADDRESS: SCOUTING AMERICA, 544 BROADWAY, MASSAPEQUA, NEW YORK 11758 TITLE: MEMBER OF THE BOARD OF DIRECTORS AND INVESTMENT COMMITTEE START: 12/01/2024 TIME: ABOUT 3 HOURS PER MONTH MEMBER OF BOARD OF DIRECTORS. MEMBER OF INVESTMENT COMMITTEE: ASSETS MANAGED BY MORGAN STANLEY ON FULL DISCRETION BASIS. ROLE IS ADVISORY. NOT INVESTMENT SECURITIES RELATED



## 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

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	
<b>Allegations:</b>	MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED- BREACH OF CONTRACT
<b>Product Type:</b>	
<b>Alleged Damages:</b>	\$500,001.00
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	UNKNOWN - CASE #97-00236
<b>Date Notice/Process Served:</b>	02/03/1997
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	09/26/1997
<b>Disposition Detail:</b>	CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS



WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,  
AWARD  
AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
OTHER MONETARY RELIEF, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC,  
AWARD AMOUNT JOINTLY AND SEVERALLY

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** VIOLATIONS OF STATE & FEDERAL LAWS  
NEGLIGENCES, BREACH OF FIDUCIARY DUTY, FRAUD AND  
MISREPRESENTATION, DAMAGES OF \$500,000

**Product Type:**

**Alleged Damages:** \$500,001.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Assoc. of Securities Dealers; 97-00236

**Date Notice/Process Served:** 02/03/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/26/1997

**Monetary Compensation Amount:** \$70,250.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** SETTLED ON 9/16/97 FOR A CONFIDENTIAL AMOUNT  
TO AVOID FURTHER LITIGATION COSTS AND THE UNCERTAINTY OF THE  
ARBITRATION PROCESS. ALL CLAIMS AND ALLEGATIONS ARE DENIED.  
Not Provided



## End of Report

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