



IAPD Report

STEVEN GEORGE YAZELL

CRD# 2353341

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Information	8

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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

STEVEN GEORGE YAZELL (CRD# 2353341)

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 **05/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VANDERBILT SECURITIES, LLC	CRD# 5953	06/03/2025
IA	CONSOLIDATED PORTFOLIO REVIEW CORP	CRD# 112694	06/03/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	Liverpool, NY	05/05/2025 - 06/26/2025
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	Liverpool, NY	05/05/2025 - 06/26/2025
IA	IBN FINANCIAL SERVICES, INC	42360	Alexandria Bay, NY	07/16/2021 - 06/24/2025

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
Financial	1
Judgment/Lien	6



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

Employment 1 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**
Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797
Firm ID#: 5953

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	06/03/2025
B FINRA	General Securities Representative	Approved	06/03/2025
B FINRA	Municipal Securities Principal	Approved	06/03/2025
B FINRA	Municipal Securities Representative	Approved	06/03/2025
B Arizona	Agent	Approved	07/18/2025
B Florida	Agent	Approved	06/03/2025
B Michigan	Agent	Approved	06/03/2025
B New York	Agent	Approved	06/03/2025

Branch Office Locations

Alexandria Bay, NY

Employment 2 of 2

Firm Name: **CONSOLIDATED PORTFOLIO REVIEW CORP**
Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797
Firm ID#: 112694



Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	06/03/2025
IA Texas	Investment Adviser Representative	Restricted Approval	06/26/2025

Branch Office Locations

CONSOLIDATED PORTFOLIO REVIEW CORP
Alexandria Bay, NY





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




Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	04/01/2003
 General Securities Principal Examination (S24)	Series 24	10/22/2002

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	05/05/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	10/23/2010
 Retail Off-Exchange FOREX Examination (S34)	Series 34	10/14/2010
 General Securities Representative Examination (S7)	Series 7	05/27/1993

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	11/27/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/17/1993



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
IA	05/05/2025 - 06/26/2025	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	Liverpool, NY
B	05/05/2025 - 06/26/2025	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	Liverpool, NY
IA	07/16/2021 - 06/24/2025	IBN FINANCIAL SERVICES, INC	CRD# 42360	Alexandria Bay, NY
B	07/02/2004 - 06/24/2025	IBN FINANCIAL SERVICES, INC.	CRD# 42360	MASSENA, NY
IA	07/17/2003 - 07/02/2004	SENTRA SECURITIES CORP	CRD# 10249	SYRACUSE, NY
B	11/16/1998 - 07/02/2004	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	11/12/1997 - 11/16/1998	UNITED PACIFIC SECURITIES, INC.	CRD# 21986	CARLSBAD, CA
B	03/06/1997 - 12/01/1997	CRISPIN KOEHLER SECURITIES	CRD# 10596	TAMPA, FL
B	01/01/1996 - 03/04/1997	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	05/28/1993 - 01/01/1996	ANDOVER SECURITIES, INC.	CRD# 16903	KANSAS CITY, MO

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
06/2025 - Present	Consolidated Portfolio Review Corp	Investment Advisor Representative	Y	Woodbury, NY, United States
06/2025 - Present	Vanderbilt Securities, LLC	Registered Representative	Y	Woodbury, NY, United States
05/2025 - 06/2025	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
05/2025 - 06/2025	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2004 - 05/2025	IBN FINANCIAL SERVICES, INC	REGISTERED REP IAR	Y	LIVERPOOL, 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.

Music performance, recording sales, publishing. Not Investment Related. Start date: 06/06/2025. Address: 42940 Seaway Avenue, Alexandria Bay New York 13607. Title: Duties: Perform, sell recorded music, publish music, record other musicians. Time spent during regular hours: 0%.



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
Financial	1
Judgment/Lien	6

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Individual

Action Type: Bankruptcy

Bankruptcy: Chapter 13

Action Date: 04/04/2017

Organization Investment-Related?

Type of Court: Federal Court

Name of Court: United States Bankruptcy Court, Northern District of New York

Location of Court: Syracuse, NY

Docket/Case #: 17-30473-5-rel

Action Pending? No

Disposition: Discharged

Disposition Date: 03/24/2023

Broker Statement In October 2017 Bankruptcy Court approved repayment of back taxes under Chapter 13 due to health issues and associated loss of income. Payments are current



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 6

Reporting Source: Individual
Judgment/Lien Holder: Department of the Treasury Internal Revenue Service
Judgment/Lien Amount: \$66,949.74
Judgment/Lien Type: Tax
Date Filed with Court: 04/09/2026
Date Individual Learned: 04/24/2026
Type of Court: County Clerk
Name of Court: Jefferson County
Location of Court: Watertown, NY 13601
Docket/Case #: NA
Judgment/Lien Outstanding? Yes
Broker Statement Taxes became delinquent due to significant illness resulting in loss of income and greatly increased and ongoing out of pocket medical expenses simultaneously for both my wife and myself. I am in a payment plan established by the IRS.

Disclosure 2 of 6

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$28,378.84
Judgment/Lien Type: Tax
Date Filed with Court: 08/18/2016
Date Individual Learned: 12/05/2018
Type of Court: County
Name of Court: Madison County Court
Location of Court: Wampsville, NY
Docket/Case #: 6190
Judgment/Lien Outstanding? Yes
Broker Statement Tax lien is part of chapter 13 repayment plan. Plan was approved by court 10/2017. Payments are current.

Disclosure 3 of 6

Reporting Source: Individual
Judgment/Lien Holder: New York State
Judgment/Lien Amount: \$6,378.88
Judgment/Lien Type: Tax



Date Filed with Court: 04/01/2016
Date Individual Learned: 08/29/2016
Type of Court: State Court
Name of Court: New York State
Location of Court: Oneida County, NY
Docket/Case #: E-023694683-W014-5
Judgment/Lien Outstanding? Yes
Broker Statement Lien is a continuance of prior existing liens. RR is compliant and current on a payment plan with New York State.

Disclosure 4 of 6

Reporting Source: Individual
Judgment/Lien Holder: New York State Department of State
Judgment/Lien Amount: \$6,953.61
Judgment/Lien Type: Tax
Date Filed with Court: 06/29/2010
Date Individual Learned: 07/30/2010
Type of Court: County
Name of Court: Oneida County Court
Location of Court: Oneida County, NY
Docket/Case #: E-023694683-W008-7
Judgment/Lien Outstanding? Yes
Broker Statement Mr. Yazell is maintaining a repayment plan

Disclosure 5 of 6

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$3,956.00
Judgment/Lien Type: Tax
Date Filed with Court: 12/30/2010
Date Individual Learned: 01/01/2011
Type of Court: County
Name of Court: Madison County Court
Location of Court: Madison County, NY
Docket/Case #: 5836
Judgment/Lien Outstanding? Yes
Broker Statement Mr. Yazell is maintaining a repayment plan



Disclosure 6 of 6

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$46,261.00
Judgment/Lien Type:	Tax
Date Filed with Court:	08/28/2012
Date Individual Learned:	08/30/2012
Type of Court:	County
Name of Court:	Madison County Court
Location of Court:	Madison County, NY
Docket/Case #:	5996
Judgment/Lien Outstanding?	Yes
Broker Statement	Mr. Yazell is maintaining a repayment plan



End of Report

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