User Guidance

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IAPD Report

STEVEN GEORGOPOULOS

CRD# 2800393

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 GEORGOPOULOS (CRD# 2800393)

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 **12/02/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PINNACLE INVESTMENTS, LLC	CRD# 142910	09/23/2019
IA	PINNACLE INVESTMENTS, LLC	CRD# 142910	09/09/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	DAWSON JAMES SECURITIES, INC.	130645	BOCA RATON, FL	05/21/2018 - 09/25/2019
B	WOODSTOCK FINANCIAL GROUP, INC.	38095	Boca Raton, FL	04/29/2014 - 06/18/2018
B	HUNTER SCOTT FINANCIAL LLC.	45559	DELRAY BH, FL	08/03/2012 - 05/05/2014

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	2
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 **21** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PINNACLE INVESTMENTS, LLC**

Main Address: 5845 WIDEWATERS PKWY
STE 300
EAST SYRACUSE, NY 13057

Firm ID#: 142910

	Regulator	Registration	Status	Date
B	FINRA	Corporate Securities Represent	Approved	09/23/2019
B	FINRA	General Securities Representative	Approved	09/23/2019
B	Alabama	Agent	Approved	01/30/2020
B	Arkansas	Agent	Approved	02/04/2020
B	California	Agent	Approved	10/15/2019
B	Colorado	Agent	Approved	11/30/2022
B	Connecticut	Agent	Approved	10/11/2019
B	Florida	Agent	Approved	10/01/2019
IA	Florida	Investment Adviser Representative	Approved	09/09/2021
B	Idaho	Agent	Approved	01/25/2024
B	Indiana	Agent	Approved	01/31/2020
B	Iowa	Agent	Approved	10/14/2019
B	Kansas	Agent	Approved	02/05/2020

Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	10/15/2019
B	Maryland	Agent	Approved	01/29/2024
B	Minnesota	Agent	Approved	02/04/2020
B	New Jersey	Agent	Approved	11/27/2019
B	New York	Agent	Approved	09/23/2019
B	North Carolina	Agent	Approved	10/15/2019
B	Ohio	Agent	Approved	01/25/2024
B	Oklahoma	Agent	Approved	11/20/2019
B	Pennsylvania	Agent	Approved	10/15/2019
B	Texas	Agent	Approved	10/15/2019
B	Wyoming	Agent	Approved	02/27/2020

Branch Office Locations

PINNACLE INVESTMENTS, LLC
7601 NORTH FEDERAL HIGHWAY
SUITE 125B
BOCA RATON, FL 33487

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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/11/2003
B	Corporate Securities Limited Representative Examination (S62)	Series 62	03/10/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/07/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/08/1996

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	05/21/2018 - 09/25/2019	DAWSON JAMES SECURITIES, INC.	CRD# 130645	BOCA RATON, FL
B	04/29/2014 - 06/18/2018	WOODSTOCK FINANCIAL GROUP, INC.	CRD# 38095	Boca Raton, FL
B	08/03/2012 - 05/05/2014	HUNTER SCOTT FINANCIAL LLC.	CRD# 45559	DELRAY BH, FL
B	03/19/2012 - 08/06/2012	BROOKVILLE CAPITAL PARTNERS	CRD# 102380	MELVILLE, NY
B	04/04/2007 - 05/21/2010	JHS CAPITAL ADVISORS, INC.	CRD# 112097	BETHPAGE, NY
B	01/06/2006 - 03/23/2007	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	WESTBURY, NY
B	02/07/2003 - 06/21/2005	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	07/09/2002 - 08/28/2002	EHRENKRANTZ KING NUSSBAUM, INC.	CRD# 113525	MELVILLE, NY
B	06/13/2001 - 06/24/2002	KSH INVESTMENT GROUP, INC.	CRD# 41817	GREAT NECK, NY
B	11/14/2000 - 06/12/2001	HARRISON SECURITIES, INC.	CRD# 14103	PORT WASHINGTON, N
B	07/26/1999 - 11/09/2000	M.S. FARRELL & COMPANY, INC.	CRD# 24232	SYOSSET, NY
B	09/02/1999 - 12/13/1999	GAINES, BERLAND INC.	CRD# 14623	BETHPAGE, NY
B	02/04/1999 - 07/13/1999	WHITEHALL WELLINGTON INVESTMENTS, INC.	CRD# 38022	PORT WASHINGTON, N
B	08/19/1998 - 02/08/1999	GAINES, BERLAND INC.	CRD# 14623	BETHPAGE, NY
B	03/21/1997 - 08/27/1998	FIRST ASSET MANAGEMENT, INC.	CRD# 17341	GARDEN CITY, NY

Registration & Employment History

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
09/2019 - Present	Pinnacle Investments, LLC	REGISTERED REPRESENTATIVE	Y	SYRACUSE, NY, United States
05/2018 - 09/2019	Dawson James Securities	Registered Representative	Y	Boca Raton, FL, United States
04/2014 - 05/2018	WOODSTOCK FINANCIAL GROUP, INC	REGISTERED REP	Y	WOODSTOCK, GA, 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.

GEORGOPOULOS INC (S CORP); NOT INVESTMENT RELATED; 11175 Sea Grass Circle, Boca Raton, FL 33498; FOR TAX AND COMPENSATION PURPOSES; PRESIDENT; STARTED 2011

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	2
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	NOTICE OF HEARING TO DETERMINE WHETHER AN ORDER SHALL BE ENTERED DENYING STEVEN GEORGOPOULOS'S APPLICATION FOR REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS.
Date Initiated:	05/06/2009
Docket/Case Number:	0700381
Employing firm when activity occurred which led to the regulatory action:	HARRISON SECURITIES, LLC
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	THE UTAH SECURITIES DEPARTMENT ENTERED AN ORDER AGAINST STEVEN GEORGOPOULOS FOR FRAUD/OMISSION OF MATERIAL FACTS, USE OF HIGH-PRESSURE BOILER ROOM TACTICS, AND ACTING AS AN UNLICENSED BROKER-DEALER AGENT
Current Status:	Pending
Regulator Statement	NOTICE OF HEARING IS SCHEDULED FOR JUNE 25, 2009 IF YOU HAVE ANY QUESTIONS PLEASE CONTACT ATTORNEY MARIA PAVONE AT 312-793-3384

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF ILLINOIS
Sanction(s) Sought:	Denial
Date Initiated:	05/06/2009
Docket/Case Number:	0700381
Employing firm when activity occurred which led to the regulatory action:	HARRISON SECURITIES
Product Type:	Equity-OTC
Allegations:	UTAH SEC. DPEARTMENT ENTERED AN ORDER AGAINST GEORGOPOULOS FOR FRAU/OMMISSION OF MATERIAL FACTS, USE OF HIGH PRESSURE TACTICS AND ACTING AS AN UNLICENSED BROKER-DEALER AGENT.
Current Status:	Final
Resolution:	Stipulation and 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:	06/26/2009
Sanctions Ordered:	Bar (Temporary/Time Limited) Monetary Penalty other than Fines
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	GENERAL SECURITIES REPRESENTATIVE
Duration:	2 YEARS
Start Date:	06/26/2009
End Date:	06/27/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$750.00
Portion Levied against individual:	$750.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	06/26/2009
Was any portion of penalty waived?	No
Amount Waived:	

Broker Statement	ISSUE RELATES SOLELY TO THE STATE OF UTAH'S 2003 ACTION. GEORGOPOULOS AGREED TO WITHDRAW HIS APPLICATION FOR REGISTRATION WITH THE STATE AND TO NOT REAPPLY FOR A PERIOD OF 2 YEARS. $750.00 WAS PAID TO COVER THE COSTS OF THE STATES INVESTIGATION.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	UTAH DIVISION OF SECURITIES
Sanction(s) Sought:	Bar
Other Sanction(s) Sought:	CEASE & DESIST; FINE
Date Initiated:	07/09/2002
Docket/Case Number:	SD-02-0098
Employing firm when activity occurred which led to the regulatory action:	HARRISON SECURITIES, INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	FRAUD; OMISSION AND/OR MISSTATEMENT OF MATERIAL FACTS; USE OF HIGH PRESSURE, BOILER-ROOM SALES TACTICS; ACTING AS AN UNLICENSE BROKER-DEALER AGENT
Current Status:	Final
Resolution:	Order
Resolution Date:	03/13/2003
Sanctions Ordered:	Cease and Desist/Injunction Monetary/Fine $30,000.00
Other Sanctions Ordered:	
Sanction Details:	CEASE & DESIST FROM VIOLATING UTAH UNIFORM SECURITIES ACT AND FINE OF $30,000.00
Regulator Statement	DIVISION RECEIVED COMPLAINT FROM UTAH RESIDENT THAT RESPONDENT, AN UNLICENSED BROKER-DEALER AGENT, CONTACTING HIM IN AN ATTEMPT TO SELL HIM STOCK. RESPONDENT DID NOT INFORM CLIENT THAT HE WAS NOT LICENSED TO SELL SECURITIES IN UTAH AND MISSTATED OR OMITTED OTHER MATERIAL FACTS. FOR MORE INFORMATION, PLEASE VISIT THE DIVISION'S WEB SITE AT: HTTP://WWW.SECURITIES.STATE.UT.US/ACTIONSEVENTS.ASP?DOCKET+NUMBER=SD%2D02%2D0098

Reporting Source:	Firm
Regulatory Action Initiated By:	UTAH DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	BARRED FROM ASSOCIATION WITH A LICENSED BROKER-DEALER OR INVESTMENT ADVISER IN THE STATE OF UTAH

Date Initiated:	07/18/2002
Docket/Case Number:	SD-02-0098
Employing firm when activity occurred which led to the regulatory action:	HARRISON SECURITIES, INC.
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	FRAUD; OMISSION AND/OR MISSTATEMENT OF MATERIAL FACTS; USE OF HIGH-PRESSURE BOILER-ROOM TACTICS; ACTING AS AN UNLICENSED BROKER-DEALER AGENT.
Current Status:	Final
Resolution:	Order
Resolution Date:	03/13/2003
Sanctions Ordered:	Cease and Desist/Injunction Monetary/Fine $30,000.00
Other Sanctions Ordered:	
Sanction Details:	CEASE AND DESIST FROM VIOLATING UTAH UNIFORM SECURITIES ACT AND FINE OF $30,000.00
Firm Statement	THE DIVISION RECEIVED A COMPLAINT FROM A UTAH RESIDENT THAT MR. GEORGOPOULOS, AN UNLICENCED BROKER-DEALER AGENT CONTACTED HIM IN AN ATTEMPT TO SELL HIM STOCK. RESPONDENT DID NOT INFORM CLIENT HE WAS NOT LICENSED TO SELL SECURITIES IN UTAH AND MISSTATED OR OMITTED OTHER MATERIAL FACTS.

Reporting Source:	Individual
Regulatory Action Initiated By:	UTAH DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	BARRED FROM ASSOCIATION WITH A LICENSED BROKER-DEALER OR INVESTMENT ADVISER IN THE STATE OF UTAH
Date Initiated:	07/18/2002
Docket/Case Number:	SD-02-0098
Employing firm when activity occurred which led to the regulatory action:	HARRISON SECURITIES, INC.
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	FRAUD; OMISSION AND/OR MISSTATEMENT OF MATERIAL FACTS; USE OF HIGH-PRESSURE BOILER-ROOM TACTICS; ACTING AS AN UNLICENSED BROKER-DEALER AGENT.
Current Status:	Final
Resolution:	Order

Resolution Date:	03/13/2003
Sanctions Ordered:	Cease and Desist/Injunction Monetary/Fine $30,000.00
Other Sanctions Ordered:	
Sanction Details:	CEASE AND DESIST FROM VIOLATING UTAH UNIFORM SECURITIES ACT AND FINE OF $30,000.00
Broker Statement	THE DIVISION RECEIVED A COMPLAINT FROM A UTAH RESIDENT THAT MR. GEORGOPOULOS, AN UNLICENCED BROKER-DEALER AGENT CONTACTED HIM IN AN ATTEMPT TO SELL HIM STOCK. RESPONDENT DID NOT INFORM CLIENT HE WAS NOT LICENSED TO SELL SECURITIES IN UTAH AND MISSTATED OT OMITTED OTHER MATERIAL FACTS.

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:	Individual
Employing firm when activities occurred which led to the complaint:	Woodstock Financial Group, Inc
Allegations:	Client is unhappy with commission/fees, reps failure to return phone calls, and unsuitable trades that occurred 09/25/2015 thru 09/29/2015.
Product Type:	Equity-OTC
Alleged Damages:	$9,102.23
Alleged Damages Amount Explanation (if amount not exact):	Client claims $1225.00 in commission/fees, but does not elaborate on trades. This amount is realized and unrealized loss as of 11/02/2015.
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:	10/13/2015
Complaint Pending?	No
Status:	Denied
Status Date:	11/02/2015
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Client's new account documents show high net worth, high liquid net worth, and more than 30 years investing in equity securities.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	EXCESSIVE TRADING
Product Type:	No Product
Alleged Damages:	$53,381.05

Customer Complaint Information

Date Complaint Received:	08/04/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/04/2008
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J. P. TURNER
Allegations:	EXCESSIVE TRADING
Product Type:	No Product
Alleged Damages:	$53,381.05

Customer Complaint Information

Date Complaint Received:	08/04/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/04/2008
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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