



IAPD Report

SPIROS VASSILAKOS

CRD# 4250517

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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

SPIROS VASSILAKOS (CRD# 4250517)

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 **09/11/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CSENGE ADVISORY GROUP, LLC	CRD# 131167	09/22/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	LION STREET FINANCIAL, LLC	165828	Clearwater, FL	09/19/2023 - 01/30/2024
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	Largo, FL	07/17/2020 - 09/22/2023
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	Largo, FL	06/30/2020 - 09/22/2023

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

Employment 1 of 1

Firm Name: **CSENGE ADVISORY GROUP, LLC**
Main Address: 4755 EAST BAY DRIVE
CLEARWATER, FL 33764
Firm ID#: 131167

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	09/22/2023
	New Jersey	Investment Adviser Representative	Approved	05/17/2024
	New York	Investment Adviser Representative	Approved	02/16/2024

Branch Office Locations

CSENGE ADVISORY GROUP, LLC
2625 Keystone Rd, Ste. A4,
Tarpon Springs, FL 34688




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 3 state securities law exams.





Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	02/01/2006

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/01/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/20/2000

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/19/2024
  Uniform Combined State Law Examination (S66)	Series 66	08/24/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/14/2001

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	09/19/2023 - 01/30/2024	LION STREET FINANCIAL, LLC	CRD# 165828	Clearwater, FL
IA	07/17/2020 - 09/22/2023	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	Largo, FL
B	06/30/2020 - 09/22/2023	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	Largo, FL
B	08/31/2017 - 07/02/2020	SAGEPOINT FINANCIAL, INC.	CRD# 133763	TARPON SPRINGS, FL
IA	08/31/2017 - 07/02/2020	SAGEPOINT FINANCIAL, INC.	CRD# 133763	TARPON SPRINGS, FL
IA	06/20/2016 - 09/11/2017	LPL FINANCIAL LLC	CRD# 6413	TARPON SPRINGS, FL
B	06/17/2016 - 09/11/2017	LPL FINANCIAL LLC	CRD# 6413	TARPON SPRINGS, FL
IA	09/07/2007 - 07/15/2016	SAGEPOINT FINANCIAL, INC.	CRD# 133763	ORADELL, NJ
B	01/31/2007 - 07/15/2016	SAGEPOINT FINANCIAL, INC.	CRD# 133763	ORADELL, NJ
IA	06/09/2016 - 06/13/2016	HOUSEHOLDER GROUP ESTATE & RETIREMENT SPECIALISTS	CRD# 169045	Oradell, NJ
B	09/07/2004 - 02/01/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	PARAMUS, NJ
B	01/15/2004 - 08/27/2004	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	01/01/2004 - 01/28/2004	PNC INVESTMENTS	CRD# 129052	PITTSBURGH, PA
B	06/01/2002 - 01/01/2004	J.J.B. HILLIARD, W.L. LYONS, INC.	CRD# 453	LOUISVILLE, KY
B	12/21/2001 - 06/01/2002	PNC BROKERAGE CORP	CRD# 34671	PITTSBURGH, PA
B	07/11/2001 - 12/11/2001	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY



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	01/25/2001 - 03/13/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	01/25/2001 - 03/13/2001	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
09/2023 - Present	Csenge Advisory Group	Investment Advisor Representative	Y	Tarpon Springs, FL, United States
09/2023 - Present	Lion Street Financial	Registered Representative	Y	Clearwater, FL, United States
06/2020 - 09/2023	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
06/2020 - 09/2023	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
08/2017 - 06/2020	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	TARPON SPRINGS, FL, United States
06/2016 - 08/2017	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	ORADELL, NJ, United States
06/2016 - 06/2016	HOUSEHOLDER GROUP ESTATE & RETIREMENT SPECIALISTS	Advisory Representative	Y	Oradell, NJ, United States
01/2009 - 06/2016	SAGEPOINT FINANCIAL, INC.	REGISTERED REP	Y	PHOENIX, AZ, 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.

ATHENIAN PRIVATE CLIENT GROUP

POSITION: Owner NATURE: Insurance Services: Life Insurance, Disability Insurance and Long-Term Care Insurance.

INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/07/2007

ADDRESS: 2625 Keystone Rd, Ste A4, Tarpon Springs FL 34688-7436, United States

DESCRIPTION: As part of the Financial Planning services we offer Asset Protection within the financial plans.

CSENGE ADVISORY

POSITION: Independent Contractor NATURE: Provide Investment advisory services. INVESTMENT RELATED: Yes NUMBER



Registration & Employment History



OTHER BUSINESS ACTIVITIES

OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 09/18/2023
ADDRESS: 2625 Keystone Rd, Ste A4, Tarpon Springs FL 34688, United States
DESCRIPTION: Investment Advisory services through the Financial Planning process.

ATHENIAN PRIVATE CLIENT GROUP

POSITION: Owner NATURE: I purchased my office in Tarpon Springs. INVESTMENT RELATED: No NUMBER OF HOURS: 1
SECURITIES TRADING HOURS: 1 START DATE: 08/20/2020
ADDRESS: 2625 Keystone Rd, Ste A4, Tarpon Springs FL 34688, United States
DESCRIPTION: I am the owner of the property and use it as an owner occupied property. I pay all expenses.



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:	Firm
Employing firm when activities occurred which led to the complaint:	WM FINANCIAL SERVICES, INC.
Allegations:	CLIENT BELIEVES REGISTERED REPRESENTATIVE MAY HAVE "MISDIRECTED, MISPLACED, OR MISAPPROPRIATED FUNDS IN THE ACCOUNT."
Product Type:	Other
Other Product Type(s):	CLIENT BELIEVES REGISTERED REPRESENTATIVE MAY HAVE "MISDIRECTED, MISPLACED, OR MISAPPROPRIATED FUNDS IN THE ACCOUNT."
Alleged Damages:	\$3,500.00

Customer Complaint Information

Date Complaint Received:	04/17/2006
Complaint Pending?	No
Status:	Denied
Status Date:	06/16/2006
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Firm Statement	DENIED IT WAS FOUND CLIENT WITHDREW AND DEPOSITED THE FUNDS IN HER ACCOUNT.



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WM FINANCIAL SERVICES, INC.
Allegations:	CLIENT BELIEVES REGISTERED REPRESENTATIVE MAY HAVE "MISDIRECTED, MISPLACED, OR MISAPPROPRIATED FUNDS IN THE ACCOUNT."
Product Type:	Other
Alleged Damages:	\$3,500.00
Customer Complaint Information	
Date Complaint Received:	04/17/2006
Complaint Pending?	No
Status:	Denied
Status Date:	06/16/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	DENIED IT WAS FOUND CLIENT WITHDREW AND DEPOSITED THE FUNDS IN HER ACCOUNT.



End of Report

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