



IAPD Report

CHRISTOPHER L SASSONE

CRD# 4386593

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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 L SASSONE (CRD# 4386593)

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 **01/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DAVIE KAPLAN WEALTH CARE ADVISORS, LLC	CRD# 140436	06/22/2021
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	AVANTAX ADVISORY SERVICES	104556	N. CHILI, NY	10/24/2023 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	ROCHESTER, NY	10/25/2019 - 09/05/2025
B	1ST GLOBAL CAPITAL CORP.	30349	ROCHESTER, NY	07/13/2009 - 10/25/2019

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

Employment 1 of 3

Firm Name: **CETERA WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/05/2025
B	Alabama	Agent	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Delaware	Agent	Approved	09/05/2025
B	District of Columbia	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Hawaii	Agent	Approved	09/05/2025
B	Illinois	Agent	Approved	09/05/2025
B	Indiana	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	09/05/2025
B Maine	Agent	Approved	09/05/2025
B Maryland	Agent	Approved	09/05/2025
B Massachusetts	Agent	Approved	09/05/2025
B Michigan	Agent	Approved	09/05/2025
B Missouri	Agent	Approved	09/05/2025
B Nevada	Agent	Approved	09/05/2025
B New Hampshire	Agent	Approved	09/05/2025
B New Jersey	Agent	Approved	09/05/2025
B New Mexico	Agent	Approved	09/05/2025
B New York	Agent	Approved	09/05/2025
B North Carolina	Agent	Approved	09/05/2025
B Ohio	Agent	Approved	09/05/2025
B Pennsylvania	Agent	Approved	09/05/2025
B South Carolina	Agent	Approved	09/05/2025
B Texas	Agent	Approved	09/05/2025
B Utah	Agent	Approved	09/05/2025
B Vermont	Agent	Approved	09/05/2025
B Virginia	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	09/05/2025
B Wisconsin	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
 100 MERIDIAN CENTRE BLVD
 SUITE 200
 ROCHESTER, NY 14618

CETERA ADVISOR NETWORKS LLC
 N. CHILI, NY

Employment 2 of 3

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
 Main Address: 1450 AMERICAN LANE
 6TH FLOOR, SUITE 650
 SCHAUMBURG, IL 60173-2096
 Firm ID#: 105644

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	09/05/2025
IA Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 100 MERIDIAN CENTRE BLVD
 SUITE 200
 ROCHESTER, NY 14618

CETERA INVESTMENT ADVISERS LLC
 N. CHILI, NY

Employment 3 of 3

Firm Name: **DAVIE KAPLAN WEALTH CARE ADVISORS, LLC**
 Main Address: 100 MERIDIAN CENTRE BLVD.
 SUITE 200
 ROCHESTER, NY 14618
 Firm ID#: 140436

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	06/22/2021



Qualifications

Branch Office Locations

DAVIE KAPLAN WEALTH CARE ADVISORS, LLC
100 MERIDIAN CENTRE BLVD.
SUITE 200
ROCHESTER, NY 14618



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	07/27/2001
General Securities Representative Examination (S7)	Series 7	06/15/2001

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	07/25/2001
Uniform Securities Agent State Law Examination (S63)	Series 63	06/28/2001

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	10/24/2023 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	N. CHILI, NY
B	10/25/2019 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	ROCHESTER, NY
B	07/13/2009 - 10/25/2019	1ST GLOBAL CAPITAL CORP.	CRD# 30349	ROCHESTER, NY
B	08/01/2006 - 06/19/2009	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	ROCHESTER, NY
B	12/01/2004 - 11/18/2005	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	11/03/2003 - 11/16/2004	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	11/03/2003 - 11/16/2004	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	02/12/2002 - 11/03/2003	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	DETROIT, MI
B	01/04/2002 - 03/01/2002	KIRLIN SECURITIES INC.	CRD# 21210	SYOSSET, NY
B	06/18/2001 - 11/19/2001	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	ROCHESTER, NY, United States
06/2009 - Present	DAVIE KAPLAN WEALTH CARE ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ROCHESTER, NY, United States
10/2023 - 09/2025	Avantax Advisory Services	Investment Adviser Representative	Y	Rochester, NY, United States
10/2019 - 09/2025	Avantax Investment Services, Inc.	Registered Representative	Y	Rochester, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2009 - 09/2025	Avantax Insurance Services, Inc.	Insurance Agent	Y	Rochester, NY, United States
07/2009 - 10/2019	1ST GLOBAL ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	ROCHESTER, NY, United States
07/2009 - 10/2019	1ST GLOBAL CAPITAL CORP.	FINANCIAL ADVISOR	Y	ROCHESTER, 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) DAVIE KAPLAN WEALTH CARE ADVISORS, LLC (FORMERLY DKCB WEALTH CARE ADVISORS) POSITION: FINANCIAL ADVISOR, RIA NATURE: FINANCIAL SERVICES INVESTMENT RELATED: Yes NUMBER OF HOURS: 50 SECURITIES TRADING HOURS: 50 START DATE: 06/01/2009 ADDRESS: Rochester NY 14614 DESCRIPTION: We provide financial services to our clients
- 2) BRONSKY WEALTH MANAGEMENT POSITION: Financial Advisor NATURE: FINANCIAL SERVICES, INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 05/01/2017 ADDRESS: 6225 Sheridan Dr., Suite 222, Williamsville NY 14221 DESCRIPTION: SUPPORT LICENSED ADVISORS OF BRONSKY WEALTH MANAGEMENT;
- 3) DAVIE KAPLAN WEALTH CARE ADVISORS, LLC (INSURANCE) POSITION: AGENT NATURE: INSURANCE INVESTMENT RELATED: Yes NUMBER OF HOURS: null SECURITIES TRADING HOURS: null START DATE: 06/01/2009 ADDRESS: Rochester NY 14614 DESCRIPTION: INSURANCE AGENT - CONDUCTS INSURANCE SALES/REFERRALS
- 4) DAVIE KAPLAN WEALTH CARE ADVISORS, LLC (RIA) POSITION: INVESTMENT ADVISER REPRESENTATIVE, NATURE: Financial Planning INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: ADDRESS: 1000 First Federal Plaza, Rochester NY 14614 DESCRIPTION: ADVISOR-FINANCIAL PLANNING
- 5) SMALL BUSINESS COUNCIL OF ROCHESTER POSITION: Committee Member NATURE: I am a member of the Cares Committee which does a number of community service charitable events around Rochester INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 12/01/2022 ADDRESS: 150 State St, Suite 400, Rochester NY 14614 DESCRIPTION: General committee member. Help with Thanksgiving Basket Appeal, Winter Hat and Glove Drive and School Supply Backpack Drive
- 6) SMALL BUSINESS COUNCIL OF ROCHESTER POSITION: Board Member NATURE: I have joined the board of the Small Business Council of Rochester as a Board member. This is primarily a networking and charitable fund raising organization INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 01/01/2023 ADDRESS: 150 State St., Suite 400, Rochester NY 14614 DESCRIPTION: ambassador for the Small Business Council throughout the Rochester community Attend 75 percent of scheduled board meetings
- 7) PREMIER COMMUNITY RELATIONS; Board Member; A non-profit organization in NY dedicated to making a positive impact in our community. We specialize in raising funds and awareness for various charitable movements; NIR; HRS 2; HRS 0; 12/04/2023; 109 Jckrist Cir., Rochester NY 14606; Participate in monthly virtual meeting as a board member to weigh in on organization of



Registration & Employment History



OTHER BUSINESS ACTIVITIES

annual charitable events and other business matters pertaining to the organization

8) SMALL BUSINESS COUNCIL OF ROCHESTER POSITION: Treasurer NATURE: I will be responsible for tracking and reporting activities and transactions that are made on behalf of the Small Business Council and providing a monthly report to the board on a monthly basis as to where we stand, as treasurer of the board. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 12/15/2023 ADDRESS: 250 S. Clinton Ave, C/O Greater Rochester Chamber of Commerce, Rochester NY 14604 DESCRIPTION: I will track the finances for the organization, but this role will not have check writing privileges. And will be administrative in nature only.



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:	Individual
Employing firm when activities occurred which led to the complaint:	1ST GLOBAL CAPITAL CORP.
Allegations:	CLIENT'S ALLEGE FA MADE OPERATIONAL ERROR ESTIMATING VALUE OF LIVING BENEFITS
Product Type:	Annuity-Variable
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	\$5000 OR MORE
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:	10/02/2018
Complaint Pending?	No
Status:	Settled
Status Date:	02/19/2019
Settlement Amount:	\$80,128.10



Individual Contribution Amount:

\$0.00

Broker Statement

Financial Advisor discovered a mathematical error in the initial calculations of the client's RMD which lowered the expected amount the client would receive. The Firm made a decision to resolve the matter in the client's favor.



End of Report

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