



IAPD Report

ANTHONY MICHAEL CISEK

CRD# 4776777

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

ANTHONY MICHAEL CISEK (CRD# 4776777)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.W. COLE FINANCIAL, INC.	CRD# 124583	11/19/2009
IA	J. W. COLE ADVISORS, INC.	CRD# 112294	12/21/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL	11/11/2009 - 11/17/2009
IA	SUMMIT FINANCIAL GROUP INC	109485	WEST PALM BEACH, FL	05/29/2008 - 11/06/2009
B	SUMMIT BROKERAGE SERVICES, INC.	34643	WEST PALM BEACH, FL	05/23/2008 - 11/06/2009

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
Criminal	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 **23** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **J.W. COLE FINANCIAL, INC.**
Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634
Firm ID#: 124583

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	11/19/2009
B	FINRA	General Securities Representative	Approved	11/19/2009
B	Alabama	Agent	Approved	01/02/2018
B	Arizona	Agent	Approved	01/04/2018
B	California	Agent	Approved	07/01/2010
B	Colorado	Agent	Approved	01/05/2018
B	Florida	Agent	Approved	12/16/2009
B	Georgia	Agent	Approved	04/20/2018
B	Maryland	Agent	Approved	01/05/2026
B	Massachusetts	Agent	Approved	01/05/2018
B	Michigan	Agent	Approved	01/04/2018
B	Minnesota	Agent	Approved	01/11/2018
B	Missouri	Agent	Approved	04/21/2016



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	01/05/2018
B	New Hampshire	Agent	Approved	01/06/2014
B	New York	Agent	Approved	01/02/2018
B	North Carolina	Agent	Approved	04/13/2012
B	Pennsylvania	Agent	Approved	01/03/2018
B	Rhode Island	Agent	Approved	03/21/2019
B	South Carolina	Agent	Approved	04/17/2018
B	Tennessee	Agent	Approved	01/05/2018
B	Texas	Agent	Approved	01/02/2018
B	Virginia	Agent	Approved	01/04/2018
B	Wisconsin	Agent	Approved	01/02/2018
B	Wyoming	Agent	Approved	05/17/2024

Branch Office Locations

601 Heritage Drive
Suite 209
JUPITER, FL 33458

10762 SE FEDERAL HIGHWAY
HOBE SOUND, FL 33455

Employment 2 of 2

Firm Name: **J. W. COLE ADVISORS, INC.**
Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634
Firm ID#: 112294



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	12/21/2009

Branch Office Locations

J. W. COLE ADVISORS, INC.
10762 SE Federal highway
Hobe Sound, FL 33455

J. W. COLE ADVISORS, INC.
601 Heritage Drive
Suite 209
Jupiter, FL 33458



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	08/04/2009

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	05/12/2004

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	05/26/2004



PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	11/11/2009 - 11/17/2009	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	BOCA RATON, FL
IA	05/29/2008 - 11/06/2009	SUMMIT FINANCIAL GROUP INC	CRD# 109485	WEST PALM BEACH, FL
B	05/23/2008 - 11/06/2009	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	WEST PALM BEACH, FL
IA	08/16/2007 - 01/14/2008	NATCITY INVESTMENTS, INC.	CRD# 17490	JUPITER, FL
B	08/15/2007 - 01/14/2008	NATCITY INVESTMENTS, INC.	CRD# 17490	JUPITER, FL
IA	06/29/2004 - 02/15/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	WEST PALM BEACH, FL
B	06/24/2004 - 02/15/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	WEST PALM BEACH, FL

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
11/2009 - Present	J.W. COLE ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	TAMPA, FL, United States
11/2009 - Present	J.W. COLE FINANCIAL	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, 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) A) CISEK CAPITAL DBA FINANCIAL PLANNING ASSOCIATES B) INVESTMENT RELATED C) 1080 INDIANTOWN ROAD, SUITE # 201, JUPITER, FL 33477 D) D/B/A ENTITY E) OWNER & AGENT F) 01/15/2010 G) 80 HOURS/MONTH H) 80 HOURS/MONTH DURING TRADING HOURS I) SALE OF NON-VARIABLE INSURANCE PRODUCTS

2) A) CISEK ART B) NOT INVESTMENT RELATED C) 1080 EAST INDIANTOWN RD #100 JUPITER, FL 33477 D) ART CREATION AND MARKETING D) OWNER/ARTIST E) 2007 F) 1-2 HRS/MONTH G) 2007 H) NONE DURING TRADING I) OWNER J) OFFICER



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3)A)OCEANSIDE WEALTH MANAGEMENT/DBA B)ADDRESS: SAME AS BRANCH C)FINANCIAL SERVICES D) TITLE / POSITION: ADVISOR E) START DATE: 3/1/2016 F) 10 HRS PER MONTH G) 10 HRS DURING TRADING H) DUTIES: MARKETING/DESIGN/PROMOTION/ADMIN I) COMPANY OFFICER/DIRECTOR: NO J) CLIENTS INVOLVED:NO



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
Criminal	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source:	Individual
Court Details:	ORANGE COUNTY, ORLANDO, FL DOCKET/CITATION # TO-95-090259 / 750697-K
Charge Date:	08/04/1995
Charge Details:	CHARGE: DL-UNLAWFUL USE-LENDING-PERMIT-USE-FALSE NAME ETC. 1 COUNT MISDEMEANOR CHARGE GUILTY VERDICT
Felony?	No
Current Status:	Final
Status Date:	08/08/1995
Disposition Details:	A. GUILTY VERDICT, B. 08/08/1994, C. FINE OF \$141.25 PAID & DRIVERS PRIVILEGES WERE SUSPENDED FOR 12 MONTHS 8/08/1994
Broker Statement	DURING MY UNDERGRADUATE UNIVERSITY STUDIES IN ORLANDO, FLORIDA I MADE AN INAPPROPRIATE CHOICE CONCERNING THE ENTRY TO A NIGHTCLUB AS A MINOR. THIS INCIDENT, WHICH CURRENTLY APPEARS ON MY DRIVING RECORD, INVOLVED THE USE OF ANOTHER INDIVIDUAL'S IDENTIFICATION TO GAIN ENTRY INTO A NIGHTCLUB IN ORLANDO, FLORIDA. I WAS ATTEMPTING TO ENTER A 21 AND OVER ESTABLISHMENT AS A MINOR. THIS INCIDENT OCCURRED IN 1995. I WAS WRITTEN A TRAFFIC CITATION INCLUDING A NOTICE TO APPEAR IN THE TRAFFIC COURT OF ORANGE COUNTY, FLORIDA. I ENTERED A PLEA OF "NO CONTEST" TO THE CHARGE AND WAS GIVEN A FINE OF \$141.25. ADDITIONALLY, DUE TO THE NATURE OF THE INCIDENT INVOLVING A DRIVERS LICENSE, MY DRIVERS PRIVILEGES WERE SUSPENDED FOR 12 MONTHS.

Disclosure 2 of 2



Reporting Source:	Individual
Court Details:	CIRCUIT COURT OF ORANGE COUNTY, ORLANDO, FL CASE # 48-1993-CF-010827-0
Charge Date:	08/08/1993
Charge Details:	CHARGE #1 "UNAUTHORIZED USE OR POSSESSION OF DRIVERS LICENSE" 1. 1 COUNT, 2. FELONY, 3. NO PLEA/NO TRIAL;PRE-TRAIL DIVERSION CHARGE #2 "POSSESSION OF ALCOHOL BY PERSON UNDER 21" 1. 1 COUNT, 2. MISDEMEANOR, 3. NO PLEA/NO TRIAL; PRE-TRAIL DIVERSION
Felony?	Yes
Current Status:	Final
Status Date:	08/17/1994
Disposition Details:	CHARGE #1 A. PRETRIAL DIVERSION, B. 08/17/1994, C. DROPPED AND/OR ABANDONED; SUCCESSFUL COMPLETION OF ALTERNATIVE COMMUNITY SERVICES PROGRAM/PRETRAIL DIVERSION PROGRAM CHARGE #2 A. PRETRIAL DIVERSION, B. 08/18/1994, C. DROPPED AND/OR ABANDONED; SUCCESSFUL COMPLETION OF ALTERNATIVE COMMUNITY SERVICES PROGRAM/PRETRAIL DIVERSION PROGRAM
Broker Statement	DURING MY UNDERGRADUATE UNIVERSITY STUDIES IN ORLANDO, FLORIDA I MADE AN INAPPROPRIATE CHOICE CONCERNING THE USE OF FALSE IDENTIFICATION. I ATTEMPTED TO ENTER AN ON-CAMPUS FUNCTION USING A FAKE ID IN ORDER TO BRING BEER INTO THE EVENT. THIS OCCURRED ON OCTOBER 8, 1993. I WAS ARRESTED AND CHARGED WITH "UNAUTHORIZED USE OR POSSESSION OF DRIVERS LICENSE" AND "POSSESSION OF ALCOHOL BY PERSON UNDER 21". THIS INCIDENT WAS RESOLVED THROUGH THE PRE-TRIAL DIVERSION PROGRAM. THROUGH THIS PROGRAM THE CLERK OF THE COURT IN ORANGE COUNTY TOOK NO ACTION. THE FINAL OUTCOME OF THE INCIDENT IS THAT THAT BOTH CHARGES HAVE BEEN "DROPPED AND OR ABANONED".



End of Report

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