



## IAPD Report

# ANDREW AUSTIN SIRVIS

CRD# 4970459

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



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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

### ANDREW AUSTIN SIRVIS (CRD# 4970459)

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 **12/22/2025**.

### CURRENT EMPLOYERS

|           | Firm                           | CRD#        | Registered Since |
|-----------|--------------------------------|-------------|------------------|
| <b>B</b>  | CETERA WEALTH SERVICES, LLC    | CRD# 13572  | 10/21/2019       |
| <b>IA</b> | CETERA INVESTMENT ADVISERS LLC | CRD# 105644 | 06/29/2023       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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>IA</b> | CETERA ADVISOR NETWORKS LLC     | 13572  | MELVILLE, NY     | 10/22/2019 - 06/29/2023 |
| <b>IA</b> | NATIONAL ASSET MANAGEMENT, INC. | 115927 | MILLER PLACE, NY | 07/23/2012 - 10/22/2019 |
| <b>B</b>  | NATIONAL SECURITIES CORPORATION | 7569   | MILLER PLACE, NY | 07/10/2007 - 10/22/2019 |

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 |
|------------------|-------|
| Regulatory Event | 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 **27** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

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

|          | Regulator            | Registration                      | Status   | Date       |
|----------|----------------------|-----------------------------------|----------|------------|
| <b>B</b> | FINRA                | General Securities Principal      | Approved | 10/21/2019 |
| <b>B</b> | FINRA                | General Securities Representative | Approved | 10/21/2019 |
| <b>B</b> | FINRA                | Operations Professional           | Approved | 10/21/2019 |
| <b>B</b> | Alabama              | Agent                             | Approved | 01/05/2022 |
| <b>B</b> | California           | Agent                             | Approved | 10/22/2019 |
| <b>B</b> | Connecticut          | Agent                             | Approved | 07/10/2020 |
| <b>B</b> | Delaware             | Agent                             | Approved | 09/10/2020 |
| <b>B</b> | District of Columbia | Agent                             | Approved | 12/14/2023 |
| <b>B</b> | Florida              | Agent                             | Approved | 10/22/2019 |
| <b>B</b> | Georgia              | Agent                             | Approved | 05/03/2022 |
| <b>B</b> | Hawaii               | Agent                             | Approved | 04/14/2025 |
| <b>B</b> | Idaho                | Agent                             | Approved | 10/22/2019 |
| <b>B</b> | Kansas               | Agent                             | Approved | 10/29/2019 |



### Qualifications

| Regulator               | Registration | Status   | Date       |
|-------------------------|--------------|----------|------------|
| <b>B</b> Maryland       | Agent        | Approved | 10/29/2019 |
| <b>B</b> Massachusetts  | Agent        | Approved | 10/22/2019 |
| <b>B</b> Michigan       | Agent        | Approved | 10/23/2019 |
| <b>B</b> Nevada         | Agent        | Approved | 10/19/2021 |
| <b>B</b> New Hampshire  | Agent        | Approved | 10/23/2019 |
| <b>B</b> New Jersey     | Agent        | Approved | 10/24/2019 |
| <b>B</b> New York       | Agent        | Approved | 10/24/2019 |
| <b>B</b> North Carolina | Agent        | Approved | 10/25/2019 |
| <b>B</b> Oregon         | Agent        | Approved | 10/31/2019 |
| <b>B</b> Pennsylvania   | Agent        | Approved | 10/22/2019 |
| <b>B</b> Rhode Island   | Agent        | Approved | 10/25/2019 |
| <b>B</b> South Carolina | Agent        | Approved | 03/03/2022 |
| <b>B</b> Tennessee      | Agent        | Approved | 08/26/2022 |
| <b>B</b> Utah           | Agent        | Approved | 03/21/2025 |
| <b>B</b> Vermont        | Agent        | Approved | 11/08/2024 |
| <b>B</b> Virginia       | Agent        | Approved | 10/21/2019 |
| <b>B</b> Washington     | Agent        | Approved | 10/25/2019 |

### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
159 ROUTE 25A, BUILDING 2, SUITE A



### Qualifications

MILLER PLACE, NY 11764

**CETERA ADVISOR NETWORKS LLC**  
899 WEST BEECH STREET  
LONG BEACH, NY 11561

### Employment 2 of 2

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 | 06/29/2023 |

### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
899 WEST BEECH STREET  
LONG BEACH, NY 11561

**CETERA INVESTMENT ADVISERS LLC**  
159 ROUTE 25A, BUILDING 2, SUITE A  
MILLER PLACE, NY 11764



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| General Securities Principal Examination (S24) | Series 24 | 09/11/2008 |

#### General Industry/Product Exams

| Exam   | Category    | Date       |
|--|-------------|------------|
| Operations Professional Examination (S99TO)        | Series 99TO | 01/02/2023 |
| Securities Industry Essentials Examination (SIE)   | SIE         | 10/01/2018 |
| General Securities Representative Examination (S7) | Series 7    | 08/02/2005 |

#### State Securities Law Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| Uniform Combined State Law Examination (S66)         | Series 66 | 07/13/2012 |
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 11/03/2005 |

### 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 | 10/22/2019 - 06/29/2023 | CETERA ADVISOR NETWORKS LLC        | CRD#<br>13572  | MELVILLE, NY     |
| IA | 07/23/2012 - 10/22/2019 | NATIONAL ASSET MANAGEMENT, INC.    | CRD#<br>115927 | MILLER PLACE, NY |
| B  | 07/10/2007 - 10/22/2019 | NATIONAL SECURITIES CORPORATION    | CRD# 7569      | MILLER PLACE, NY |
| B  | 01/26/2007 - 07/12/2007 | BROOKSTREET SECURITIES CORPORATION | CRD#<br>14667  | MILLER PLACE, NY |
| B  | 03/14/2006 - 01/19/2007 | GREAT EASTERN SECURITIES, INC.     | CRD# 2061      | SYOSSET, NY      |
| B  | 08/03/2005 - 03/22/2006 | GUNNALLEN FINANCIAL, INC           | CRD#<br>17609  | HAUPPAUGE, 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               |
|-------------------|----------------------------------|-------------------------------------|--------------------|---------------------------------|
| 06/2023 - Present | CETERA INVESTMENT ADVISERS LLC   | INVESTMENT ADVISOR REPRESENTATIVE   | Y                  | SCHAUMBURG, IL, United States   |
| 10/2019 - Present | CETERA WEALTH SERVICES, LLC      | REGISTERED REPRESENTATIVE           | Y                  | EL SEGUNDO, CA, United States   |
| 03/2012 - Present | ANDREW SIRVIS TRUSTEE            | TRUSTEE FOR FAMILY TRUST            | Y                  | CENTEREACH, NY, United States   |
| 08/2007 - Present | A. ASSET WEALTH MANAGEMENT, INC. | OWNER                               | Y                  | MILLER PLACE, NY, United States |
| 08/2007 - Present | NORTH FORK ASSET MANAGEMENT INC. | OWNER OF DBA FOR FINANCIAL SERVICES | Y                  | MILLER PLACE, NY, United States |
| 06/2007 - 10/2019 | NATIONAL SECURITIES CORPORATION  | REGISTERED REPRESENTATIVE           | Y                  | MILLER PLACE, NY, United States |



## Registration & Employment History



### 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. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FIXED INSURANCE

START DATE: 10/2019

APX NUMBER OF HOURS PER WEEK: VARIES

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT

BRIEF DESCRIPTION OF DUTIES: SELLS LIFE AND ANNUITIES

2. NAME OF OTHER BUSINESS: NORTH FORK ASSET MANAGEMENT INC.

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES

POSITION/TITLE/RELATIONSHIP: OWNER OF DBA FOR FINANCIAL SERVICES

APX NUMBER OF HOURS PER WEEK: VARIES

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES

BRIEF DESCRIPTION OF DUTIES: OWNER - PROVIDE FINANCIAL SERVICES

3. NAME OF OTHER BUSINESS: A. ASSET WEALTH MANAGEMENT, INC.

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES

POSITION/TITLE/RELATIONSHIP: OWNER

APX NUMBER OF HOURS PER WEEK: MINIMAL

APX NUMBER OF HOURS DURING TRADING HOURS: MINIMAL

BRIEF DESCRIPTION OF DUTIES: OWNER OF DBA FOR TAX PURPOSES

4. NAME OF OTHER BUSINESS: ANDREW SIRVIS TRUSTEE

INVESTMENT RELATED: YES

ADDRESS: CENTEREACH, NY

NATURE OF BUSINESS: TRUSTEE

POSITION/TITLE/RELATIONSHIP: TRUSTEE FOR FAMILY TRUST

APX NUMBER OF HOURS PER WEEK: MINIMAL

APX NUMBER OF HOURS DURING TRADING HOURS: MINIMAL

BRIEF DESCRIPTION OF DUTIES: TRUSTEE

5. NAME OF OTHER BUSINESS: HAMLET INVESTMENT SERVICES;

INVESTMENT RELATED: YES;

ADDRESS: SAME AS REGISTERED LOCATION;

NATURE OF BUSINESS: FINANCIAL SERVICES;

START DATE: 8/2021;

POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL;

APX NUMBER OF HOURS PER WEEK: 40;

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;

BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;



## 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 | 1     |

### 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 1

|  |  |
|--|--|
| <b>Reporting Source:</b>   | Regulator  |
| <b>Regulatory Action Initiated By:</b>   | CONNECTICUT  |
| <b>Sanction(s) Sought:</b>   | Civil and Administrative Penalt(ies) /Fine(s)  |
| <b>Other Sanction(s) Sought:</b>   |  |
| <b>Date Initiated:</b>   | 10/02/2007   |
| <b>Docket/Case Number:</b>   | CO-07-7404-S   |
| <b>Employing firm when activity occurred which led to the regulatory action:</b> | GREAT EASTERN SECURITIES, INC. (CRD NUMBER 2061)   |
| <b>Product Type:</b>   | No Product   |
| <b>Other Product Type(s):</b>  |  |
| <b>Allegations:</b>  | ON OCTOBER 2, 2007, THE BANKING COMMISSIONER ENTERED A CONSENT ORDER (NO. CO-07-7404-S) WITH RESPECT TO ANDREW AUSTIN SIRVIS. THE CONSENT ORDER ALLEGED THAT IN OR ABOUT MARCH 2006, ANDREW SIRVIS VIOLATED SECTION 36B-6(A) OF THE CONNECTICUT UNIFORM SECURITIES ACT BY TRANSACTING BUSINESS AS A BROKER-DEALER AGENT OF GREAT EASTERN SECURITIES, INC. (CRD NUMBER 2061) AT A TIME WHEN SIRVIS WAS NOT REGISTERED AS AN AGENT OF THE FIRM IN CONNECTICUT. |
| <b>Current Status:</b>   | Final  |
| <b>Resolution:</b>   | 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:** 10/02/2007

**Sanctions Ordered:** Cease and Desist/Injunction  
Monetary/Fine \$500.00

**Other Sanctions Ordered:** THE CONSENT ORDER FINED ANDREW SIRVIS \$500 AND DIRECTED HIM TO CEASE AND DESIST FROM REGULATORY VIOLATIONS.

**Sanction Details:** SEE RESPONSE TO ITEM 13.B.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** CONNECTICUT

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 10/02/2007

**Docket/Case Number:** CO-07-7404-S

**Employing firm when activity occurred which led to the regulatory action:** GREAT EASTERN SECURITIES, INC (CRD# 2061)

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** ON OCTOBER 2, 2007, THE BANKING COMMISSIONER ENTERED A CONSENT ORDER (NO. CO-07-7404-S) WITH RESPECT TO ANDREW AUSTIN SIRVIS. THE CONSENT ORDER ALLEGED THAT IN OR ABOUT MARCH 2006, ANDREW SIRVIS VIOLATED SECTION 36B-6(A) OF THE CONNECTICUT UNIFORM SECURITIES ACT BY TRANSACTING BUSINESS AS A BROKER-DEALER AGENT OF GREAT EASTERN SECURITIES, INC. (CRD NUMBER 2061) AT A TIME WHEN SIRVIS WAS NOT REGISTERED AS AN AGENT OF THE FIRM IN CONNECTICUT.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 10/02/2007

**Sanctions Ordered:** Cease and Desist/Injunction  
Monetary/Fine \$500.00

**Other Sanctions Ordered:** THE CONSENT ORDER FINED ANDREW SIRVIS \$500.00 AND DIRECTED HIM TO CEASE AND DESIST FROM REGULATORY VIOLATIONS.

**Sanction Details:** SEE RESPONSE TO ITEM 13B



## End of Report

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