

BrokerCheck Report

VASILIOS TAKOS

CRD# 2500839

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



VASILIOS TAKOS
CRD# 2500839

Currently employed by and registered with the following Firm(s):

B

DOMINARI SECURITIES LLC
960 Franklin Ave 1st Floor
Garden City, NY 11530
CRD# 18975
Registered with this firm since: 03/01/2024

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 19 U.S. states and territories



This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- B

AEGIS CAPITAL CORP.
CRD# 15007
Garden City, NY
09/2017 - 04/2024
- B

NATIONAL SECURITIES CORPORATION
CRD# 7569
MINEOLA, NY
01/2007 - 09/2017
- B

FIRST MONTAUK SECURITIES CORP.
CRD# 13755
PORT WASHINGTON, NY
12/2003 - 02/2007

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	4



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 19 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **DOMINARI SECURITIES LLC**

Main Office Address: **725 FIFTH AVENUE, 23RD FL.
NEW YORK, NY 10022**

Firm CRD#: **18975**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	03/01/2024
B	FINRA	General Securities Representative	Approved	03/01/2024

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/04/2024
B	California	Agent	Approved	03/01/2024
B	Colorado	Agent	Approved	04/01/2024
B	Florida	Agent	Approved	03/01/2024
B	Georgia	Agent	Approved	03/01/2024
B	Indiana	Agent	Approved	03/01/2024
B	Kansas	Agent	Approved	03/01/2024
B	Maryland	Agent	Approved	03/04/2024
B	Michigan	Agent	Approved	03/01/2024
B	New Jersey	Agent	Approved	03/20/2024
B	New York	Agent	Approved	03/01/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	04/03/2024
B	Ohio	Agent	Approved	03/01/2024
B	Pennsylvania	Agent	Approved	03/01/2024
B	Texas	Agent	Approved	03/01/2024
B	Utah	Agent	Approved	08/02/2024
B	Virginia	Agent	Approved	03/01/2024
B	Washington	Agent	Approved	04/03/2024
B	Wisconsin	Agent	Approved	03/01/2024

Branch Office Locations

DOMINARI SECURITIES LLC

960 Franklin Ave 1st Floor
Garden City, NY 11530



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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	Series 24	01/29/1996

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/11/1994

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/01/1994

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2017 - 04/2024	AEGIS CAPITAL CORP.	15007	Garden City, NY
B 01/2007 - 09/2017	NATIONAL SECURITIES CORPORATION	7569	MINEOLA, NY
B 12/2003 - 02/2007	FIRST MONTAUK SECURITIES CORP.	13755	PORT WASHINGTON, NY
B 11/2001 - 12/2003	THE CONCORD EQUITY GROUP, LLC	14569	ISELIN, NJ
B 10/1999 - 11/2001	JOSEPHTHAL & CO., INC.	3227	NEW YORK, NY
B 07/1998 - 10/1999	OSCAR GRUSS & SON, INCORPORATED	2091	NEW YORK, NY
B 07/1994 - 07/1998	CONTINENTAL BROKER-DEALER CORP.	14048	CARLE PLACE, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2024 - Present	DOMINARI SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
09/2017 - 03/2024	AEGIS CAPITAL CORP	REGISTERED REP	Y	NEW YORK, NY, United States
05/2010 - 09/2017	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	UNIONDALE, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) GBM PARTNERS LLC; NOT INVESTMENT RELATED; 960 FRANKLIN AVE., GARDEN CITY, NY 11530; BILL PAYING ENTITY USED FOR BRANCH EXPENSES; PARTNER; 10/15/2001; 1 HOURS A MONTH; 0 DURING TRADING HOURS; BILL PAYING ENTITY USED FOR

Registration and Employment History



Other Business Activities, continued

BRANCH EXPENSES

(2) GBM PRIVATE CLIENT GROUP, LLC; NOT INVESTMENT RELATED; TO CONDUCT ALL NON-SECURITIES RELATED INSURANCE BUSINESS; PARTNER; START DATE: 4/12/2011; 5-20 HOURS A MONTH; 0 HOURS DURING TRADING; THIS BUSINESS WILL BE SET UP TO PROVIDE NON-SECURITIES RELATED INSURANCE PRODUCTS.

(3) BM MANAGEMENT II, NON INVESTMENT RELATED, 960 FRANKLIN AVE., GARDEN CITY, NY 11530, BILL PAYING ENTITY FOR PERSONAL DOMESTIC BUSINESS, OWNER, START DATE: 12/2013, 1 HOURS/MONTH DURING TRADING HOURS, NONE DURING TRADING; BILL PAYING ENTITY.

(4) GBM PROPERTIES LLC, INVESTMENT RELATED; 960 FRANKLIN AVE., GARDEN CITY, NY 11530; PURCHASE REAL ESTATE TO HOUSE BRANCH OFFICE; PARTNER 1/3 OWNER; START 12/19/2011; 1 HR/MO, NONE DURING TRADING;

(5) BM PRIVATE CLIENT GROUP; NOT INVESTMENT RELATED; 960 FRANKLIN AVE., GARDEN CITY, NY 11530; BOOKKEEPING-EXPENSES FOR INTERNATIONAL BUSINESS; OWNER; START: 01/2016; 4HRS PER MONTH ZERO DURING TRADING HRS

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	1	3	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CHURNING, MISREPRESENTATION AND MISMANAGEMENT.
\$500,000

Product Type:

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 11/19/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: 97-05531



Date Notice/Process Served: 11/19/1997

Arbitration Pending? Yes

Firm Statement N/A
Not Provided

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CONTINENTAL BROKER-DEALER

Allegations: [CUSTOMER] ALLEGING CHRUNING MISREPRESENTATION & MISMANAGEMENT

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 11/19/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/19/1997

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 97-05531

Date Notice/Process Served: 11/19/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/15/1999

Monetary Compensation Amount: \$200,000.00



Individual Contribution Amount: \$8,000.00

Broker Statement DISMISSED PURSUANT TO A SETTLEMENT. TO THE BEST OF MY KNOWLEDGE THIS CASE WAS SETTLED FOR OR ABOUT \$200,000.00 BY CONTINENTAL BROKER-DEALER.

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: CONTINENTAL BROKER-DEALER CORP.

Allegations: UNAUTHORIZED TRADING; CHURNING; ACCOUNT RELATED-BREACH OF CONTRACT; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-00265

Date Notice/Process Served: 02/12/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/08/1998

Disposition Detail: PENDING
Not Provide

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CONTINENTAL BROKER-DEALER CORP.

Allegations: UNAUTHORIZED AND EXCESSIVE TRADING, CHURNING, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTIES.

Product Type:

**Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?**

No

Status:

Arbitration/Reparation

Status Date:

04/08/1998

Settlement Amount:**Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:**

NASD; 97-00265

Date Notice/Process Served:

02/12/1997

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

04/08/1998

Monetary Compensation Amount:

\$150,000.00

Individual Contribution Amount:

\$0.00

Firm StatementSETTLEMENT OF \$150,000
Not Provided**Reporting Source:**

Broker

Employing firm when activities occurred which led to the complaint:

CONTINENTAL BROKER-DEALER CORP.

Allegations:

UNAUTHORIZED TRADING, CHURNING, ACCOUNT RELATED-BREACH OF CONTRACT, BRCH OF FIDUCIARY DT

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$179,661.00



Customer Complaint Information

Date Complaint Received: 02/12/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/08/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 97-00265

Date Notice/Process Served: 02/12/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/08/1998

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement

\$150,000 CASH SETTLEMENT BY CONTINENTAL BROKER DEALER. I BILL TAKOS PARTIALLY SUPERVISED [BROKER] AT CONTINENTAL BROKER DEALER. [BROKER] WAS THE ONLY PERSON TALKING TO, AND TRADING [CUSTOMER'S] ACCOUNT. I PERSONALLY NEVER SPOKE TO [CUSTOMER]. BEING THAT [BROKER] WAS NO LONGER EMPLOYED BY CONTINENTAL WHEN [CUSTOMER'S] CLAIM CAME IN, CONTINENTAL B.D. SETTLED WITH [CUSTOMER] FOR \$150,000. I WAS TOLD BY CONTINENTAL B.D. THAT I AM NOT RESPONSIBLE FOR ANY PART OF THAT MONETARY SETTLEMENT BETWEEN CONTINENTAL B.D. AND [CUSTOMER], DUE TO THE FACT I HADN'T ENGAGED IN ANY TRANSACTIONS WITH [CUSTOMER].



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES
Allegations:	EXCESSIVE COMMISSIONS.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM IS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT WOULD BE LESS THAN \$5,000.
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:	01/29/2011
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/04/2011
Settlement Amount:	
Individual Contribution Amount:	



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AEGIS CAPITAL CORP.

Allegations: A former customer of Registered Representative alleges damages arising from Registered Representative's "unsuitable investment advice, misrepresentation and breach of FINRA rules and obligations in relation to [his] investment".

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$200,000.00

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: 06/28/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: AEGIS CAPITAL CORP.

Allegations: A former customer of Registered Representative alleges damages arising from Registered Representative's "unsuitable investment advice, misrepresentation and breach of FINRA rules and obligations in relation to [his] investment".



Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$200,000.00

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: 07/11/2025

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

This is a complaint caused by Aegis' own actions. The client and I were unfortunate victims of the firm's actions. We plan to pursue Aegis for their wrongful acts and remove this disclosure as well.

End of Report



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