IAPD Report

DENNIS GENE HARRELSON

CRD# 1042284

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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

DENNIS GENE HARRELSON (CRD# 1042284)

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 **08/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	06/28/2023
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	08/03/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	SECURIAN FINANCIAL SERVICES, INC.	15296	FORT MYERS, FL	01/02/1996 - 08/10/2023
B	SECURIAN FINANCIAL SERVICES, INC.	15296	FORT MYERS, FL	07/17/1985 - 08/10/2023
B	THE MINNESOTA MUTUAL LIFE INSURANCE COMPANY	2797	FORT MYERS, FL	06/13/1984 - 07/15/1985

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

Employment 1 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	Florida	Investment Adviser Representative	Approved	08/03/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
12610 NEW BRITTANY BOULEVARD
FORT MYERS, FL 33907

Employment 2 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	FINRA	Corporate Securities Represent	Approved	06/28/2023
B	FINRA	General Securities Principal	Approved	06/28/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	06/28/2023
B	FINRA	Investment Co./Variable Contracts Prin	Approved	06/28/2023
B	Florida	Agent	Approved	07/31/2023

Branch Office Locations

Qualifications

CETERA ADVISOR NETWORKS LLC
12610 New Brittany Blvd
Fort Myers, FL 33907

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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/23/2000
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/20/1996

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Corporate Securities Limited Representative Examination (S62)	Series 62	09/02/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/12/1984

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/02/1998

PROFESSIONAL DESIGNATIONS

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

No information reported.

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.

User Guidance

www.adviserinfo.sec.gov

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	01/02/1996 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	FORT MYERS, FL
B	07/17/1985 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	FORT MYERS, FL
B	06/13/1984 - 07/15/1985	THE MINNESOTA MUTUAL LIFE INSURANCE COMPANY	CRD# 2797	

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
06/2023 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
06/2005 - Present	OMNI REAL ESTATE INVESTMENT SERVICES	SALESPERSON	Y	FT MYERS, FL, United States
10/2004 - Present	THE CONTINUING EDUCATION ACADEMY	INSTRUCTOR	N	FT MYERS, FL, United States
07/2001 - Present	OMNI RESOURCE GROUP	OWNER	Y	FT MYERS, FL, United States
01/2001 - Present	OMNI FINANCIAL SERVICES, INC	BROKER	N	FT. MYERS, FL, United States
07/1996 - Present	OMNI FINANCIAL SERVICES OF LEE COUNTY, INC.	CEO	Y	Fort Myers, FL, United States
06/1983 - Present	HARRELSON HOLDING INC	GENERAL AGENT/PRESIDENT	Y	FT MYERS, FL, United States
06/1983 - Present	HARRELSON HOLDINGS, INC	MINORITY OWNER/CEO	N	FORT MYERS, FL, United States
07/1985 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	REGISTERED REP	Y	ST. PAUL, MN, United States
06/1980 - 08/2023	MINNESOTA LIFE	GENERAL AGENT	Y	ST. PAUL, MN, 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. OMNI INVESTMENT CONSULTANTS INC.
POSITION: Owner NATURE: Business Owner INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/01/1986
ADDRESS: , Fort Myers FL , United States
DESCRIPTION: Owner

2. OMNI REAL ESTATE INVESTMENT SERVICES
POSITION: Member NATURE: Rental Property INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 05/01/2005
ADDRESS: , Ft Myers FL , United States
DESCRIPTION: Member

3. NAME OF OTHER BUSINESS: OMNI FINANCIAL SERVICES OF LEE COUNTY, INC.;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FINANCIAL SERVICES;
START DATE: 07/1996;
POSITION/TITLE/RELATIONSHIP: CEO;
APX NUMBER OF HOURS PER WEEK: 30;
APX NUMBER OF HOURS DURING TRADING HOURS: 30;
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

4. OMNI RESOURCE GROUP OF SW FLORIDA, LLC
POSITION: Agent/Broker NATURE: Fixed Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 07/01/2001
ADDRESS: 12610 New Brittany Blvd, Fort Myers FL 33907, United States
DESCRIPTION: I am the owner. I may at times refer business owners to OMNI Resource Group for business management consulting services.I may at times sell fixed insurance products that are not required to be sold through Securian.

5. THE CONTINUING EDUCATION ACADEMY, LLC
POSITION: Participant NATURE: Trainer/Teacher INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2005
ADDRESS: 12610 New Brittany Blvd, Fort Myers FL 33907, United States
DESCRIPTION: I will be participating in continuing education seminars to help prospect for ML/SFS clients/business.

6. NAME OF OTHER BUSINESS: HARRELSON HOLDINGS, INC.
INVESTMENT RELATED: NO,
ADDRESS: 12610 NEW BRITTANY BLVD, FORT MYERS, F 33907,
NATURE OF BUSINESS: HOLDING COMPANY,
START DATE: 06/1983,
POSITION/TITLE/RELATIONSHIP: MINORITY OWNER/CEO,
APX NUMBER OF HOURS PER WEEK: 1, NOT DURING TRADING HOURS,
BRIEF DESCRIPTION OF DUTIES: HOLDING COMPANY FOR ASSET PROTECTION PURPOSE MANAGED BY SON;

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:	SECURIAN FINANCIAL SERVICES, INC.
Allegations:	BREACH OF FIDUCIARY DUTY, NEGLIGENT MISREPRESENTATION, FRAUDULENT INDUCEMENT, NEGLIGENT SUPERVISION & INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS.
Product Type:	Insurance
Other Product Type(s):	VARIABLE LIFE INSURANCE
Alleged Damages:	$15,000.00

Customer Complaint Information

Date Complaint Received:	04/15/2002
Complaint Pending?	No
Status:	Litigation
Status Date:	10/09/2003
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	CIRCUIT COURT OF THE 20TH JUDICIAL CIRCUIT, STATE OF FLORIDA, LEE COUNTY, CIVIL DIVISION; CASE# 022579-CA-1A

Date Notice/Process Served:	03/05/2002
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/09/2003
Monetary Compensation Amount:	$1,028,000.00
Individual Contribution Amount:	$0.00
Broker Statement	REPRESENTATIVE WAS NOT A PARTY TO THE FINANCIAL CONSIDERATION GIVEN TO THE PLAINTIFFS. THE PRINCIPAL CONSIDERATION IS COMPRISED MOSTLY OF INSURANCE BENEFITS PAYABLE UPON THE DEATH OF THE PLAINTIFFS.

End of Report

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