



## IAPD Report

# LESLEY HUBERMAN SOMMERS

CRD# 1043841

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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

### LESLEY HUBERMAN SOMMERS (CRD# 1043841)

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 **12/16/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/03/2013
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

### 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>IA</b>	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA	10/15/2013 - 06/29/2023
<b>B</b>	WALNUT STREET SECURITIES, INC.	15840	TARRYTOWN, NY	08/01/2003 - 09/03/2013
<b>B</b>	NATHAN & LEWIS SECURITIES, INC.	8503	NEW YORK, NY	02/25/1997 - 08/01/2003

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	3



## 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: **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	09/03/2013
<b>B</b> FINRA	General Securities Representative	Approved	09/03/2013
<b>B</b> California	Agent	Approved	09/03/2013
<b>B</b> Colorado	Agent	Approved	09/03/2013
<b>B</b> Connecticut	Agent	Approved	09/03/2013
<b>B</b> Delaware	Agent	Approved	03/31/2015
<b>B</b> District of Columbia	Agent	Approved	09/03/2013
<b>B</b> Florida	Agent	Approved	09/03/2013
<b>B</b> Georgia	Agent	Approved	09/03/2013
<b>B</b> Louisiana	Agent	Approved	03/17/2016
<b>B</b> Maryland	Agent	Approved	05/06/2015
<b>B</b> Massachusetts	Agent	Approved	09/03/2013
<b>B</b> Michigan	Agent	Approved	05/08/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New Hampshire	Agent	Approved	09/03/2013
<b>B</b> New Jersey	Agent	Approved	09/03/2013
<b>B</b> New York	Agent	Approved	09/03/2013
<b>B</b> North Carolina	Agent	Approved	09/03/2013
<b>B</b> Ohio	Agent	Approved	09/03/2013
<b>B</b> Pennsylvania	Agent	Approved	09/03/2013
<b>B</b> South Carolina	Agent	Approved	01/14/2015
<b>B</b> Tennessee	Agent	Approved	04/19/2024
<b>B</b> Texas	Agent	Approved	09/03/2013
<b>B</b> Utah	Agent	Approved	08/06/2024
<b>B</b> Vermont	Agent	Approved	06/03/2016
<b>B</b> Virginia	Agent	Approved	09/03/2013

### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
 303 S BROADWAY STE 103  
 TARRYTOWN, NY 10591

### 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



## Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	06/29/2023
IA Texas	Investment Adviser Representative	Restricted Approval	06/29/2023

### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
303 S BROADWAY STE 103  
TARRYTOWN, NY 10591



## 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
General Securities Principal Examination (S24)	Series 24	12/19/1992

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/17/1982

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	05/06/1986

### 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	10/15/2013 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
B	08/01/2003 - 09/03/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	TARRYTOWN, NY
B	02/25/1997 - 08/01/2003	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
IA	02/26/1997 - 01/23/2003	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW CITY, NY
B	04/29/1982 - 02/26/1997	GARY GOLDBERG & CO., INC.	CRD# 6482	SUFFERN, 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
09/2013 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, 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. INDEPENDENT INSURANCE AGENT SELLING FIXED ANNUITIES, LIFE, ACCIDENT, HEALTH, LTC IN TARRYTOWN, NY FOR 1 WKDY/HR/WK SINCE 1/2010.
2. NAME OF OTHER BUSINESS: DBA SOMMERS FINANCIAL GROUP, INC.  
 INVESTMENT RELATED: YES  
 ADDRESS: SAME AS REGISTERED  
 NATURE OF BUSINESS: DBA FOR MARKETING & FIXED INSURANCE  
 START DATE: 03/1997  
 POSITION/TITLE/RELATIONSHIP: PRESIDENT  
 APX NUMBER OF HOURS PER WEEK: 40+  
 APX NUMBER OF HOURS DURING TRADING HOURS: 32.5  
 BRIEF DESCRIPTION OF DUTIES: DBA FOR FIXED INSURANCE.



## 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	3

### 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Walnut Street Securities
<b>Allegations:</b>	Clients allege "breach of fiduciary responsibility" regarding their IRA accounts alleging rep sold out of the fund they were holding and bought into another portfolio without their consent or knowledge
<b>Product Type:</b>	Mutual Fund Other: Advisory Account
<b>Alleged Damages:</b>	\$21,209.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/23/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	11/18/2016
<b>Settlement Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$0.00

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 18-00950

**Date Notice/Process Served:** 03/19/2018

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/06/2018

**Monetary Compensation Amount:** \$12,000.00

**Individual Contribution Amount:** \$10,000.00

**Disclosure 2 of 3**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WALNUT STREET SECURITIES

**Allegations:** MS. SOMMERS HAS BEEN NAMED AS A RESPONDENT IN A FINRA ARBITRATION WHICH ALLEGES UNSUITABLE RECOMENDATIONS, VIOLATIONS OF SECURITIES LAWS, FINRA RULES, AND FIRM POLICIES AND PROCEDURES.

**Product Type:** Annuity-Variable  
Insurance  
Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** NOT SPECIFIED

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FIRNA

**Docket/Case #:** 10-05155

**Filing date of arbitration/CFTC reparation or civil litigation:** 11/12/2010

**Customer Complaint Information**

**Date Complaint Received:** 12/10/2010

**Complaint Pending?** No



**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 12/10/2010

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 10-05155

**Date Notice/Process Served:** 12/10/2010

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/07/2011

**Monetary Compensation Amount:** \$147,500.00

**Individual Contribution Amount:** \$0.00

**Disclosure 3 of 3**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** GARY GOLDBERG & CO., INC.

**Allegations:** SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-OTHER

**Product Type:**

**Alleged Damages:** \$73,805.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #91-01443](#)

**Date Notice/Process Served:** 05/23/1991

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 07/07/1992

**Disposition Detail:** AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$17,600.00 JOINTLY AND SEVERALL

**Reporting Source:** Firm

**Employing firm when** GARY GOLDBERG & CO., INC.



activities occurred which led to the complaint:

Allegations:

Product Type:

Alleged Damages: \$73,805.00

**Customer Complaint Information**

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-01443](#)

Date Notice/Process Served: 05/23/1991

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/07/1992

Monetary Compensation Amount: \$17,600.00

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GARY GOLDBERG & CO., INC.

Allegations:

CUSTOMER ALLEGED UNSUITABLE INVESTMENT FOR IRA ACCOUNT. CUSTOMER REQUESTED DAMAGES IN THE AMOUNT OF \$116,031, PLUS PUNITIVE DAMAGES.

Product Type:

Alleged Damages: \$73,805.00

**Customer Complaint Information**

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:



**Individual Contribution  
Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:**

[National Association of Securities Dealers, Inc.; 91-01443](#)

**Date Notice/Process Served:** 05/23/1991

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 07/07/1992

**Monetary Compensation  
Amount:** \$17,600.00

**Individual Contribution  
Amount:**

**Broker Statement**

THE PROPER INVESTMENT VEHICLE WAS RECOMMENDED TO  
THE CUSTOMER. CUSTOMER REPRESENTED THAT THEY UNDERSTOOD  
THE  
NATURE AND POSSIBLE RISK OF THE INVESTMENT.



## End of Report

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