IAPD Report

PRESCILIANO ORTEGA JR

CRD# 1058215

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

PRESCILIANO ORTEGA JR (CRD# 1058215)

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 **06/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	08/07/2017
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	CETERA ADVISOR NETWORKS LLC	13572	TUSCON, AZ	08/17/2017 - 06/29/2023
B	GREAT NATION INVESTMENT CORPORATION	19981	EL PASO, TX	08/10/2010 - 09/05/2017
B	UNITED EQUITY SECURITIES, LLC	47261	HUSTON, TX	11/07/2008 - 08/09/2010

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	2
Termination	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 **8** 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	FINRA	Direct Participation Programs	Approved	08/07/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	08/07/2017
B	Arizona	Agent	Approved	08/07/2017
B	California	Agent	Approved	08/07/2017
B	Colorado	Agent	Approved	03/01/2021
B	Florida	Agent	Approved	07/21/2023
B	Nevada	Agent	Approved	04/19/2018
B	New Mexico	Agent	Approved	08/07/2017
B	Texas	Agent	Approved	08/07/2017
B	Utah	Agent	Approved	06/11/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
2150 Trawood Drive Suite A 200
EL PASO, TX 79935

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Qualifications

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	06/29/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
2150 Trawood Drive Suite A 200
El Paso, TX 79935

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Direct Participation Programs Representative Examination (S22)	Series 22	06/26/1984
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/17/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/24/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/16/1984

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.

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	08/17/2017 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	TUSCON, AZ
B	08/10/2010 - 09/05/2017	GREAT NATION INVESTMENT CORPORATION	CRD# 19981	EL PASO, TX
B	11/07/2008 - 08/09/2010	UNITED EQUITY SECURITIES, LLC	CRD# 47261	HUSTON, TX
B	10/15/2004 - 08/11/2008	ING FINANCIAL PARTNERS, INC.	CRD# 2882	EL PASO, TX
B	04/14/1999 - 09/20/2004	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN
B	03/04/1999 - 03/26/1999	FORTIS INVESTORS, INC.	CRD# 421	
B	10/15/1993 - 03/01/1999	AETNA INVESTMENT SERVICES, INC.	CRD# 34815	WINDSOR, CT
B	01/26/1988 - 10/15/1993	AETNA LIFE INSURANCE AND ANNUITY COMPANY	CRD# 13256	HARTFORD, CT
B	02/23/1984 - 12/21/1987	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	

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
08/2017 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
09/1987 - Present	PRESCI ORTEGA & ASSOCIATES	OTHER - INSURANCE SALES	N	EL PASO, TX, United States
02/1986 - Present	PRESI ORTEGA & ASSOCIATES	OTHER - OWNER	N	EL PASO, TX, United States
08/2010 - 08/2017	GREAT NATION INVESTMENT CORPORATION	REGISTERED REPRESENTATIVE	Y	AMARILLO, TX, 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
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, DISABILITY AND LONG-TERM CARE
2. NAME OF OTHER BUSINESS: RETIREMENT ADVISORS OF THE SOUTHWEST
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FINANCIAL SERVICES
START DATE: 07/2012
POSITION/TITLE/RELATIONSHIP: OWNER
APX NUMBER OF HOURS PER WEEK: 40
APX NUMBER OF HOURS DURING TRADING HOURS: 40
BRIEF DESCRIPTION OF DUTIES: DBA NAME FOR SECURITIES BUSINESS
3. NAME OF OTHER BUSINESS: PRESI ORTEGA & ASSOCIATES
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: PROPERTY & CASUALTY / FIXED ANNUITIES
START DATE: 07/1990
POSITION/TITLE/RELATIONSHIP: OWNER
APX NUMBER OF HOURS PER WEEK: 2
APX NUMBER OF HOURS DURING TRADING HOURS: 2
BRIEF DESCRIPTION OF DUTIES: OWNER
4. NAME OF OTHER BUSINESS: SAN VICENTE FAMILY HEALTH CENTER
INVESTMENT RELATED: NO
ADDRESS: 8061 ALAMEDA AVE, EL PASO, TX 79915
NATURE OF BUSINESS: HEALTHCARE FOR THE POOR
START DATE: 09/2014
POSITION/TITLE/RELATIONSHIP: BOARD MEMBER
APX NUMBER OF HOURS PER WEEK: 4 / MONTH
APX NUMBER OF HOURS DURING TRADING HOURS: 4 / MONTH
BRIEF DESCRIPTION OF DUTIES: OVERSEE HEALTH CENTER
5. NAME OF OTHER BUSINESS: YUCCA COUNCIL BOY SCOUT BOARD OF DIRECTORS ;
INVESTMENT RELATED: NO;
ADDRESS: 7601 LOCKHEED EL PASO, TX 79925;
NATURE OF BUSINESS: NON PROFIT;
START DATE: 09/2023;
POSITION/TITLE/RELATIONSHIP: BOARD OF DIRECTORS;
APX NUMBER OF HOURS PER WEEK: VARIES;
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES;
BRIEF DESCRIPTION OF DUTIES: OVERSEE SCOUTING ACTIVITIES IN EL PASO TEXAS AREA;
6. NAME OF OTHER BUSINESS: CATHEDRAL HIGH SCHOOL ASSOCIATION;
INVESTMENT RELATED: NO;
ADDRESS: 1309 N STANTON EL PASO, TX 79901;;
NATURE OF BUSINESS: BOARD
START DATE: 02/2024;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

POSITION/TITLE/RELATIONSHIP: PRESIDENT;
APX NUMBER OF HOURS PER WEEK: 1 ;
APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: FUNDRAISING ACTIVITIES TO RAISE FUNDS FOR SCHOLARSHIPS TO THOSE IN NEED ;

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	2
Termination	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL PARTNERS
Allegations:	THE CLIENT ALLEGES THE REPRESENTATIVE MISREPRESENTED THE RELIASTAR ING INVESTOR ELITE VARIABLE UNIVERSAL LIFE POLICY HE PURCHASED. THE POLICY WAS ISSUED ON FEBRUARY 9, 2006.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE CLIENT DOESN'T ALLEGE A SPECIFIC DAMAGE AMOUNT, BUT THE FIRM CANNOT MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WON'T EXCEED $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:	03/12/2010
Complaint Pending?	No
Status:	Denied

Status Date:	04/22/2010
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE CLIENT'S ALLEGATIONS WERE INVESTIGATED AND FOUND TO BE WITHOUT MERIT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL PARTNERS
Allegations:	THE CLIENT ALLEGES THE REPRESENTATIVE MISREPRESENTED THE RELIASTAR ING INVESTOR ELITE VARIABLE UNIVERSAL LIFE POLICY HE PURCHASED. THE POLICY WAS ISSUED ON FEBRUARY 9, 2006.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE CLIENT DOESN'T ALLEGE A SPECIFIC DAMAGE AMOUNT, BUT THE FIRM CANNOT MAKE A GOOD FAITH DETERMINATION THAT THE DAMAGES WON'T EXCEED %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:	03/12/2010
Complaint Pending?	No
Status:	Denied
Status Date:	04/22/2010
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL PARTNERS, INC.
Allegations:	THE CLIENT ALLEGES THE RR NEVER EXPLAINED THE SURRENDER PERIOD, THE CONTRACT WAS NEVER DELIVERED AND THE RR WOULD NOT RETURN HER CALLS. SHE REQUESTS A REFUND OF HER PREMIUMS ON $26,309.21.
Product Type:	Annuity-Variable
Alleged Damages:	$26,309.00

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:	07/02/2009
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/06/2009
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE ALLEGATIONS WERE INVESTIGATED BY THE ISSUING INSURANCE VENDOR (AN UNAFFILIATED THIRD PARTY) AND WERE FOUND TO BE WITHOUT MERIT

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL PARTNERS
Allegations:	IN 01/08 CLIENT PURCHASED A VARIABLE ANNUITY AND IS NOW CLAIMING ORTEGA DID NOT EXPLAIN FULLY EXPLAIN THE SURRENDER PERIOD AND FEES. SHE CLAIMS SHE NEVER RECEIVED A COPY OF THE POLICY UNTIL 5/09. WANTS HER INITIAL INVESTMENT RETURNED.
Product Type:	Annuity-Variable
Alleged Damages:	$26,309.21
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:	06/29/2009
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/05/2009
Settlement Amount:	
Individual Contribution Amount:	

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	WOODBURY FINANCIAL SERVICES, INC.
Termination Type:	Discharged
Termination Date:	09/20/2004
Allegations:	REP FAILED TO FOLLOW PROCEDURES REGARDING DISCLOSURE OF INVOLVEMENT IN AN OBA WHILE UNDER HEIGHTENED SUPERVISION AGREEMENT
Product Type:	Other
Other Product Types:	VARIABLE UNIVERSAL LIFE

Reporting Source:	Individual
Firm Name:	WOODBURY FINANCIAL SERVICES
Termination Type:	Discharged
Termination Date:	09/20/2004
Allegations:	REP FAILED TO FOLLOW PROCEDURES REGARDING DISCLOSURE OF INVOLVEMENT IN AN OBA WHILE UNDER HEIGHTENED SUPERVISION AGREEMENT
Product Type:	Other
Other Product Types:	VARIABLE UNIVERSAL LIFE
Broker Statement	I WAS TERMINATED BY WOODBURY FOR A VIOLATION OF OUTSIDE BUSINESS ACTIVITY. IT WAS MY INTENTION TO RUN FOR CIYT COUNCIL OF THE CITY OF EL PASO. I NOTIFIED WOODBURY AFTER THE FACT.

End of Report

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