IAPD Report

KARLTON LEWIS DERRICK

CRD# 1060710

Section Title	**Page(s)**

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.

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

KARLTON LEWIS DERRICK (CRD# 1060710)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	02/01/2019
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	EL SEGUNDO, CA	03/31/2021 - 06/29/2023
B	NORTH RIDGE SECURITIES CORP.	27098	new york, NY	08/20/2008 - 02/01/2019
B	RNR SECURITIES, L.L.C.	43689	EAST MEADOW, NY	11/04/1999 - 08/22/2008

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
Judgment/Lien	5

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 **10** 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	General Securities Representative	Approved	02/01/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	02/01/2019
B	California	Agent	Approved	01/02/2026
B	Delaware	Agent	Approved	02/11/2022
B	Florida	Agent	Approved	04/05/2019
B	Georgia	Agent	Approved	02/01/2019
B	New Jersey	Agent	Approved	02/13/2019
B	New York	Agent	Approved	02/01/2019
B	North Carolina	Agent	Approved	02/21/2019
B	Ohio	Agent	Approved	04/25/2019
B	Tennessee	Agent	Approved	06/15/2020
B	Virginia	Agent	Approved	02/01/2019

Branch Office Locations

Qualifications

CETERA ADVISOR NETWORKS LLC
NEW YORK, NY

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
NEW YORK, NY

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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/10/1992

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/22/1999
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/19/1982

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/19/1992

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	03/31/2021 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
B	08/20/2008 - 02/01/2019	NORTH RIDGE SECURITIES CORP.	CRD# 27098	new york, NY
B	11/04/1999 - 08/22/2008	RNR SECURITIES, L.L.C.	CRD# 43689	EAST MEADOW, NY
B	02/18/1998 - 10/07/1999	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	12/19/1994 - 12/05/1997	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	11/17/1992 - 12/16/1994	PRIME CAPITAL SERVICES, INC.	CRD# 18334	POUGHKEEPSIE, NY
B	08/20/1982 - 11/10/1992	FIRST INVESTORS CORPORATION	CRD# 305	EDISON, NJ

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
02/2019 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	new york, NY, United States
08/2014 - Present	CBS SPORTS	CONSULTANT	N	NEW YORK, NY, United States
09/2003 - Present	K.L. DERRICK	REPLAY OFFICIAL	N	NEW YORK, NY, United States
08/2022 - 07/2024	NATIONAL FOOTBALL LEAGUE	INSTANT REPLAY ASSISTANT	N	NEW YORK, NY, United States
09/2020 - 07/2022	NATIONAL FOOTBALL LEAGUE	GAME DAY ASSISTANT	N	EAST RUTHERFORD, NJ, United States
08/2017 - 05/2022	NATIONAL FOOTBALL LEAGUE	CONSULTANT	N	NEW YORK, NY, United States
08/2008 - 02/2019	NORTH RIDGE SECURITIES CORP.	REG. REP.	Y	MELVILLE, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location

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: 02/2019
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 RIDGE WEALTH PLANNING LLC
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FINANCIAL SERVICES
START DATE: 2/2019
POSITION/TITLE/RELATIONSHIP: ADVISOR - FINANCIAL SERVICES
APX NUMBER OF HOURS PER WEEK: 20-30
APX NUMBER OF HOURS DURING TRADING HOURS: 20-30
BRIEF DESCRIPTION OF DUTIES: ADVISOR - FINANCIAL SERVICES

(3) NAME OF OTHER BUSINESS: FFRIEND ENTERPRISES
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: INSURANCE SERVICES
START DATE: 2000
POSITION/TITLE/RELATIONSHIP: AGENT
APX NUMBER OF HOURS PER WEEK: 10-15
APX NUMBER OF HOURS DURING TRADING HOURS: 10-15
BRIEF DESCRIPTION OF DUTIES: SALES

(4) NAME OF OTHER BUSINESS: CBS SPORTS
INVESTMENT RELATED: NO
ADDRESS: NEW YORK, NY
NATURE OF BUSINESS: SPORTS & ENTERTAINMENT
START DATE: 8/2014
POSITION/TITLE/RELATIONSHIP: CONSULTANT
APX NUMBER OF HOURS PER WEEK: 4 - DURING SEASON
APX NUMBER OF HOURS DURING TRADING HOURS: 0
BRIEF DESCRIPTION OF DUTIES: MONITOR NFL GAMES

(5) NAME OF OTHER BUSINESS: K.L. DERRICK
INVESTMENT RELATED: NO

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ADDRESS: NEW YORK, NY
NATURE OF BUSINESS: SPORTS & ENTERTAINMENT
START DATE: 9/2003
POSITION/TITLE/RELATIONSHIP: REPLAY OFFICIAL
APX NUMBER OF HOURS PER WEEK: 10 - DURING SEASON
APX NUMBER OF HOURS DURING TRADING HOURS: 0
BRIEF DESCRIPTION OF DUTIES: MONITOR GAMES ON LOCATION AND CHECK VIDEO EVIDENCE OF REVIEWABLE ERRORS;

(6) NAME OF OTHER BUSINESS: CIP FOOTBALL OFFICIALS;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: SPORTS & ENTERTAINMENT;
START DATE: 08/2024;
POSITION/TITLE/RELATIONSHIP: REPLAY OFFICIAL;
APX NUMBER OF HOURS PER WEEK: 36;
APX NUMBER OF HOURS DURING TRADING HOURS: 4;
BRIEF DESCRIPTION OF DUTIES: COLLEGE FOOTBALL OFFICIATING, DECIDING THE REVIEWBLE ASPECTS OF ASSIGNED GAMES;

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
Judgment/Lien	5

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$1,450.06
Judgment/Lien Type:	Tax
Date Filed with Court:	02/10/2021
Date Individual Learned:	03/10/2021
Type of Court:	Federal Court
Name of Court:	Register Office
Location of Court:	New York, NY
Docket/Case #:	2021000091800
Judgment/Lien Outstanding?	Yes
Broker Statement	The lien amount is believed to be incorporated into a current installment payment agreement.

Disclosure 2 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$7,175.00
Judgment/Lien Type:	Tax
Date Filed with Court:	04/17/2009
Date Individual Learned:	04/24/2009
Type of Court:	State Court
Name of Court:	NEW YORK CITY REGISTER'S OFFICE

Location of Court:	NEW YORK, NY
Docket/Case #:	2009041600096009
Judgment/Lien Outstanding?	Yes
Broker Statement	A PAYMENT PLAN IS IN PLACE FOR THIS JUDGMENT.

Disclosure 3 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$79,489.15
Judgment/Lien Type:	Tax
Date Filed with Court:	06/07/2018
Date Individual Learned:	06/07/2018
Type of Court:	register office
Name of Court:	NY County
Location of Court:	NY County, NY
Docket/Case #:	096524725
Judgment/Lien Outstanding?	Yes
Broker Statement	The judgement repay is currently being done under an agreed-upon arrangement

Disclosure 4 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$16,215.07
Judgment/Lien Type:	Tax
Date Filed with Court:	04/16/2008
Date Individual Learned:	01/15/2009
Type of Court:	State Court
Name of Court:	ny supreme court, civil branch
Location of Court:	new york, ny
Docket/Case #:	2008000146100
Judgment/Lien Outstanding?	Yes

Disclosure 5 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$3,747.00
Judgment/Lien Type:	Tax
Date Filed with Court:	04/12/2010

Date Individual Learned:	11/15/2010
Type of Court:	State Court
Name of Court:	ny supreme court, civil branch
Location of Court:	new york, ny
Docket/Case #:	2010040200100000
Judgment/Lien Outstanding?	Yes

End of Report

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