User Guidance

www.adviserinfo.sec.gov

IAPD Report

MARK STEVEN ROTHSTEIN

CRD# 1084659

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

MARK STEVEN ROTHSTEIN (CRD# 1084659)

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 **02/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	AVANTAX ADVISORY SERVICES	104556	EL SEGUNDO, CA	02/10/2025 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	El Segundo, CA	02/10/2025 - 09/05/2025
IA	INDEPENDENT FINANCIAL GROUP, LLC	7717	EL SEGUNDO, CA	09/27/2019 - 02/10/2025

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
Termination	1
Financial	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 **31** 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 Principal	Approved	09/05/2025
B	FINRA	General Securities Representative	Approved	09/05/2025
B	FINRA	Operations Professional	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	District of Columbia	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Hawaii	Agent	Approved	09/05/2025
B	Idaho	Agent	Approved	09/05/2025
B	Illinois	Agent	Approved	09/05/2025

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	09/05/2025
B	Kentucky	Agent	Approved	09/19/2025
B	Maine	Agent	Approved	09/05/2025
B	Maryland	Agent	Approved	09/05/2025
B	Michigan	Agent	Approved	09/05/2025
B	Nevada	Agent	Approved	09/05/2025
B	New Jersey	Agent	Approved	09/05/2025
B	New Mexico	Agent	Approved	09/05/2025
B	New York	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025
B	Ohio	Agent	Approved	09/05/2025
B	Oklahoma	Agent	Approved	09/05/2025
B	Oregon	Agent	Approved	09/05/2025
B	Pennsylvania	Agent	Approved	09/05/2025
B	South Carolina	Agent	Approved	09/05/2025
B	South Dakota	Agent	Approved	09/05/2025
B	Tennessee	Agent	Approved	09/05/2025
B	Texas	Agent	Approved	09/05/2025
B	Vermont	Agent	Approved	09/05/2025

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	09/05/2025
B	Washington	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
Meridian, ID

CETERA ADVISOR NETWORKS LLC
201 Continental Blvd
Suite 240
El Segundo, CA 90245

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	California	Investment Adviser Representative	Approved	09/05/2025
IA	Idaho	Investment Adviser Representative	Approved	09/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
MERIDIAN, ID

CETERA INVESTMENT ADVISERS LLC
201 CONTINENTAL BLVD
#240
EL SEGUNDO, CA 90245

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	General Securities Principal Examination (S24)	Series 24	07/30/1993

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/18/1982

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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	02/10/2025 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	EL SEGUNDO, CA
B	02/10/2025 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	El Segundo, CA
IA	09/27/2019 - 02/10/2025	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	EL SEGUNDO, CA
B	12/16/2013 - 02/10/2025	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	EL SEGUNDO, CA
IA	01/14/2011 - 03/06/2020	TRI-STAR FINANCIAL	CRD# 148450	EL SEGUNDO, CA
IA	12/16/2013 - 01/23/2015	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	EL SEGUNDO, CA
B	05/23/2013 - 12/19/2013	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	EL SEGUNDO, CA
IA	07/28/2010 - 04/11/2013	CENTAURUS FINANCIAL, INC.	CRD# 30833	EL SEGUNDO, CA
B	07/27/2010 - 04/11/2013	CENTAURUS FINANCIAL, INC.	CRD# 30833	EL SEGUNDO, CA
IA	11/12/2008 - 12/31/2010	MR. MONEY TALKS	CRD# 148450	EL SEGUNDO, CA
IA	05/12/1997 - 08/10/2010	LPL FINANCIAL CORPORATION	CRD# 6413	EL SEGUNDO, CA
B	12/16/1992 - 08/10/2010	LPL FINANCIAL CORPORATION	CRD# 6413	EL SEGUNDO, CA
IA	07/18/2006 - 12/31/2006	HARMONEY FINANCIAL ADVISORS, LLC	CRD# 137660	LOS ANGELES, CA
B	10/03/1983 - 12/17/1992	TRIPLE CHECK FINANCIAL SERVICES, INC.	CRD# 13344	BURBANK, CA
B	06/26/1984 - 12/18/1986	SENTRA SECURITIES CORPORATION	CRD# 10249	
B	12/21/1982 - 07/26/1983	E.A.C. SECURITIES, LTD.	CRD# 3476	

Registration & Employment History

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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	El Segundo, CA, United States
10/2023 - Present	ATLAS SHRUGGED INSURANCE SERVICES INC	DIRECTOR	Y	EL SEGUNDO, CA, United States
10/2023 - Present	OMEGA ROTH INC.	DIRECTOR	N	EL SEGUNDO, CA, United States
05/2013 - Present	TRI-STAR FINANCIAL SERVICES, LLC	MANAGER	Y	EL SEGUNDO, CA, United States
09/2008 - Present	MR. MONEY TALKS, LLC	MANAGER	Y	EL SEGUNDO, CA, United States
09/1982 - Present	EXECUTIVE TAX GROUP TRI-STAR INCOME TAXSERVICE	PRESIDENT	N	EL SEGUNDO, CA, United States
02/2025 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
02/2025 - 09/2025	AVANTAX INSURANCE AGENCY, LLC	INSURANCE AGENT	Y	EL SEGUNDO, CA, United States
02/2025 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
12/2013 - 01/2025	INDEPDENDENT FINANCIAL GROUP 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) OMEGA ROTH INC
POSITION: director NATURE: income tax preparation for individuals,partnerships, corporations & non profits INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 10/23/2023
ADDRESS: 201 Continental Blvd, Suite 240, El Segundo CA 90245, United States
DESCRIPTION: income tax prep
business marketing
meeting w clients

2) TRI STAR FINANCIAL SERVICES LLC
POSITION: manager NATURE: investment related services offerred thru Avantax INVESTMENT RELATED: Yes NUMBER OF

Registration & Employment History

OTHER BUSINESS ACTIVITIES

HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 05/24/2013
ADDRESS: 201 Continental Blvd, Suite 240, El Segundo CA 90245, United States
DESCRIPTION: client meetings:
provide financial advice based on client needs/objectives/risk tolerance/time horizon
manage staff
manage office operations
marketing

3) EXECUTIVE TAX GROUP DBA TRI STAR INCOME TAX SERVICE
POSITION: president NATURE: INCOME TAX preparation for individuals, partnerships, corporations, non profits. INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 09/14/1982
ADDRESS: 201 Continental Blvd, Suite 240, El Segundo CA 90245, United States
DESCRIPTION: income tax preparation
manage staff
client meetings
pay expenses for business
marketing the business

4) MR MONEY TALKS LLC
POSITION: manager NATURE: live radio money show weekly saturday 2-3 p.m. in idaho
kido a.m. 580 station
all shows submitted to compliance INVESTMENT RELATED: No NUMBER OF HOURS: 36 SECURITIES TRADING HOURS: 0 START DATE: 09/30/2008
ADDRESS: 827 e park blvd suite 100, studio 1, boise ID 83712, United States
DESCRIPTION: radio personality-talk show- saturdays 2-3 p.m. live kido talk radio boise idaho 580 am dial
research financial materials/content
friday &saturday: wall st journal, usa today-money section, think advisor, financial planning magazine,
kiplinger, forbes, etc

5) BUILDING BLOCKS FOUNDATION INC
POSITION: director NATURE: provide the public with financial information to teach kids about money...via radio & seminars
not active at this point/idea for future INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/23/2023
ADDRESS: 201 Continental Blvd, Suite 240, El Segundo CA 90245, United States
DESCRIPTION: at event i speak to children/parents about $$/investing/529 accts etc...

6) ATLAS SHRUGGED INSURANCE SERVICES INC
POSITION: director NATURE: this acct receives commissions from insurance sales..ins products sold thru Avantax.
i understand that my commissions will be paid directly to me & i will transfer a portion to this entity to pay expenses.
INVESTMENT RELATED: Yes NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 4 START DATE: 10/23/2023
ADDRESS: 201 Continental Blvd, Suite 240, El Segundo CA 90245, United States
DESCRIPTION: ins services sold thru Avantax
commissions earned from this endeavor deposited into Atlas Acct.

7) NAME OF OTHER BUSINESS: MERIDIAN SENIOR CENTER
INVESTMENT RELATED: NO;
ADDRESS: 1920 N RECORDS WAY MERIDIAN, ID 83646;
NATURE OF BUSINESS: NON PROFIT;
START DATE: 01/2026;
POSITION/TITLE/RELATIONSHIP: ELECTED BOARD MEMBER;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS PER WEEK: 5;
APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: FINANCE COMMITTEE MEMBER;

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
Termination	1
Financial	1

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:	LPL FINANCIAL
Termination Type:	Discharged
Termination Date:	07/13/2010
Allegations:	FAILURE TO FOLLOW FIRM POLICY REGARDING ADVERTISING REVIEW AND OUTSIDE BUSINESS ACTIVITIES.
Product Type:	No Product
Firm Statement	UPDATED REASON FOR TERMINATION

Reporting Source:	Individual
Firm Name:	LPL FINANCIAL
Termination Type:	Discharged
Termination Date:	07/13/2010
Allegations:	FAILURE TO FOLLOW FIRM POLICY REGARDING ADVERTISING REVIEW AND OUTSIDE BUSINESS ACTIVITIES.
Product Type:	No Product

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	07/16/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	04/15/2020
If a compromise with creditor, provide:	
Name of Creditor:	GURSEY SCHNEIDER, LLP
Original Amount Owed:	$98,290.56
Terms Reached with Creditor:	SETTLED FOR LESS IN THE AMOUNT OF $85,000

End of Report

This page is intentionally left blank.