



IAPD Report

STUART STEIN

CRD# 1135575

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

STUART STEIN (CRD# 1135575)

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 **10/12/2025**.

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 **18** 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	Hauppauge, NY	12/15/2023 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Hauppauge, NY	12/15/2023 - 09/05/2025
IA	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	01/08/2020 - 12/18/2023

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



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 **18** 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	09/05/2025
B FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025
B California	Agent	Approved	09/05/2025
B Connecticut	Agent	Approved	09/05/2025
B Delaware	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 Kansas	Agent	Approved	09/05/2025
B Kentucky	Agent	Approved	09/05/2025
B Maryland	Agent	Approved	09/05/2025
B Massachusetts	Agent	Approved	09/05/2025
B New Jersey	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	09/05/2025
B North Carolina	Agent	Approved	09/05/2025
B Ohio	Agent	Approved	09/05/2025
B Pennsylvania	Agent	Approved	09/05/2025
B Texas	Agent	Approved	09/05/2025
B Utah	Agent	Approved	09/05/2025
B Virginia	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
 1300 Veterans Memorial Hwy
 Suite 120
 Hauppauge, NY 11788

CETERA ADVISOR NETWORKS LLC
 888 Veterans Memorial Highway
 Suite 220
 Hauppauge, NY 11788

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	09/05/2025
IA Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 1300 VETERANS MEMORIAL HWY
 SUITE 120
 HAUPPAUGE, NY 11788

CETERA INVESTMENT ADVISERS LLC
 888 VETERANS MEMORIAL HIGHWAY
 SUITE- 220
 HAUPPAUGE, NY 11788



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/11/1999
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/27/1983

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	10/07/2019
Uniform Securities Agent State Law Examination (S63)	Series 63	10/23/1984

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	12/15/2023 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Hauppauge, NY
B	12/15/2023 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Hauppauge, NY
IA	01/08/2020 - 12/18/2023	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	05/03/2017 - 12/18/2023	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	HOLBROOK, NY
B	03/17/2016 - 08/19/2016	MML INVESTORS SERVICES, LLC	CRD# 10409	HAUPPAUGE, NY
B	06/08/1983 - 02/08/2016	METLIFE SECURITIES INC.	CRD# 14251	HAUPPAUGE, NY
B	06/08/1983 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	HAUPPAUGE, 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
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	Hauppauge, NY, United States
11/2023 - Present	S&P Associates of LI Inc dba S&P Financial Services & dba S&P Financial	Financial Advisor	Y	Hauppauge, NY, United States
07/2021 - Present	Insurance Sales - Annuco	Agent	N	Hauppauge, NY, United States
01/1993 - Present	Professional Group Plans, Inc.	Agent	N	Hauppauge, NY, United States
12/2023 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Hauppauge, NY, United States
12/2023 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Hauppauge, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2023 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Hauppauge, NY, United States
01/2020 - 11/2023	AMERICAN PORTFOLIOS ADVISORS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	HOLBROOK, NY, United States
04/2017 - 11/2023	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	HOLBROOK, NY, United States
03/2016 - 04/2017	MASS MUTUAL LIFE INSURANCE COMPANY	Agent	Y	HAUPPAUGE, NY, United States
03/2016 - 08/2016	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	HAUPPAUGE, NY, 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) PROFESSIONAL GROUP PLANS, INC.

POSITION: AGENT NATURE: Employee benefits such as Health and Disability Insurance. INVESTMENT RELATED: No
 NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 01/02/1993
 ADDRESS: 1300 VETERANS HIGHWAY, SUITE 120, HAUPPAUGE NY 11788, United States
 DESCRIPTION: MEETING WITH CLIENTS, FINDING INSURANCE PRODUCTS NEEDS AND PROVIDING THE BEST OPTIONS

2) INSURANCE SALES - ANNUCO

POSITION: Agent NATURE: Sales of fixed life insurance to retail and commercial customers. INVESTMENT RELATED: No
 NUMBER OF HOURS: 7 SECURITIES TRADING HOURS: 7 START DATE: 07/01/2021
 ADDRESS: 1300 Vets Hwy, Suite 120, Hauppauge NY 11788, United States
 DESCRIPTION: Meet with clients, determine appropriate products that suit their needs.

3) S&P ASSOCIATES OF LI, INC. DBA S&P FINANCIAL SERVICES AND DBA S&P FINANCIAL

POSITION: FINANCIAL ADVISOR NATURE: I WILL OFFER INVESTMENT PLANNING, RETIREMENT PLANNING, ESTATE PLANNING, AND FINANCIAL PLANNING SERVICES UNDER THIS DBA INVESTMENT RELATED: Yes NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 100 START DATE: 11/30/2023
 ADDRESS: 1300 VETERANS MEMORIAL HWY, SUITE 120, HAUPPAUGE NY 11788, United States
 DESCRIPTION: MEET WITH CLIENTS AND PROVIDE INVESTMENT GUIDANCE, REVIEW INVESTMENT PERFORMANCE, HELP TO CHOOSE APPROPRIATE INVESTMENTS THAT ALIGN WITH THE CLIENT RISK TOLERANCE AND OBJECTIVES, ONGOING MONITORING OF CLIENT PORTFOLIO.



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

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:	Individual
Employing firm when activities occurred which led to the complaint:	METLIFE
Allegations:	CUSTOMER ALLEGES THE VARIABLE ANNUITY HE PURCHASED IN NOVEMBER 2007 WAS NOT APPROPRIATE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	02/08/2008
Complaint Pending?	No
Status:	Denied
Status Date:	02/19/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint:

METLIFE

Allegations:

CLIENT ALLEGES THAT THE SURRENDER OF HIS MONY LIFE INSURANCE POLICY AND PURCHASE OF A NEW METLIFE VARIABLE LIFE INSURANCE POLICY IN OCTOBER 2001 WAS INDUCED BY MR. STEIN'S MATERIAL MISREPRESENTATION THAT THE EXCHANGE WOULD BE TAX FREE.

Product Type:

Insurance

Other Product Type(s):

VARIABLE LIFE INSURANCE

Alleged Damages:

\$25,440.00

Customer Complaint Information

Date Complaint Received:

11/18/2003

Complaint Pending?

No

Status:

Settled

Status Date:

07/27/2004

Settlement Amount:

\$15,000.00

Individual Contribution Amount:

\$0.00



End of Report

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