



IAPD Report

PAUL WAYNE EWING

CRD# 1175958

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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

PAUL WAYNE EWING (CRD# 1175958)

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 **02/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	01/01/2004
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/07/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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 ADVISORS LLC	10299	Naples, FL	01/01/2004 - 03/21/2024
IA	PROSPERITY NETWORK, INC	116331	OVERLAND PARK, KS	10/12/1999 - 12/31/2005
IA	VESTAX SECURITIES CORPORATION	10332	OVERLAND PARK, KS	06/16/1999 - 01/01/2004

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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**
Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111
Firm ID#: 10299

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	01/01/2004
B FINRA	General Securities Representative	Approved	01/01/2004
B FINRA	Municipal Fund	Approved	01/01/2004
B Florida	Agent	Approved	01/01/2004
B Kansas	Agent	Approved	01/01/2004
B Texas	Agent	Approved	02/22/2026

Branch Office Locations

CETERA ADVISORS LLC
10955 LOWELL AVE STE 900, 910, 920, 100, & 200
OVERLAND PARK, KS 66210

CETERA ADVISORS LLC
5129 CASTELLO DR STE 2
NAPLES, FL 34103

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 Florida	Investment Adviser Representative	Approved	03/07/2024



Qualifications

Regulator	Registration	Status	Date
IA Kansas	Investment Adviser Representative	Approved	03/21/2024
IA Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
10955 LOWELL AVE STE 900, 910, 920, 100, & 200
OVERLAND PARK, KS 66210

CETERA INVESTMENT ADVISERS LLC
NAPLES, FL

CETERA INVESTMENT ADVISERS LLC
5129 CASTELLO DR STE 2
NAPLES, FL 34103



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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	03/20/2003
	General Securities Principal Examination (S24)	Series 24	07/07/1989

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/17/1989
	Direct Participation Programs Representative Examination (S22)	Series 22	01/06/1984
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/24/1983

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	06/09/1998
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/30/1983

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	01/01/2004 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	Naples, FL
IA	10/12/1999 - 12/31/2005	PROSPERITY NETWORK, INC	CRD# 116331	OVERLAND PARK, KS
IA	06/16/1999 - 01/01/2004	VESTAX SECURITIES CORPORATION	CRD# 10332	OVERLAND PARK, KS
B	04/05/1999 - 01/01/2004	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH
IA	05/05/2003 - 12/31/2003	MULTI-FINANCIAL SECURITIES CORPORATION	CRD# 10299	OVERLAND PARK, KS
B	04/25/2003 - 12/31/2003	MULTI-FINANCIAL SECURITIES CORPORATION	CRD# 10299	GREENWOOD VILLAGE
B	07/22/1999 - 03/01/2000	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	04/10/1990 - 03/03/1999	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	11/07/1989 - 04/26/1990	TITAN/VALUE EQUITIES GROUP, INC.	CRD# 6359	IRVINE, CA
B	08/16/1989 - 11/07/1989	VALUE EQUITIES CORPORATION	CRD# 13316	
B	10/26/1983 - 08/12/1989	W. S. GRIFFITH & CO., INC.	CRD# 10410	HARTFORD, CT

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
01/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
03/2022 - Present	PROSPERITY HOLDINGS, LLC	PART OWNER	Y	OVERLAND PARK, KS, United States
01/2022 - Present	PROPSPERITY ADVISORS, LLC	BOARD OF DIRECTORS	Y	OVERLAND PARK, KS, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2013 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
11/1999 - Present	PROSPERITY NETWORK OF ADVISORS, LLC	PRESIDENT/CEO	Y	OVERLAND PARK, KS, United States
03/2022 - 01/2023	COMPREHENSIVE RETIREMENT SOLUTIONS (CRS), LLC	FINANCIAL PROFESSIONAL	Y	CARMEL, IN, United States
05/2018 - 01/2022	PROSPERITY ADVISORS, LLC & DBA --SS&G WEALTH MANAGEMENT	MANAGING PARTNER	Y	OVERLAND PARK, KS, United States
07/1989 - 01/2020	PROSPERITY ADVISORY GROUP, INC.	PRESIDENT / CEO	N	OVERLAND PARK, KS, 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) LIVING WATERS CHRISTIAN CANOE MINISTRY INC, SAME AS OFFCE ADDRESS, FOUNDER AND VOLUNTEER DIRECTOR, START 2001, 4-10 HRS/WK
- 2) PROSPERITY SHARED, INC. INVESTMENT RELATED; ADDRESS SAME AS REGISTERED LOCATION; SUB S CORP, 9/1/25; POSITION: BOARD OF DIRECTORS; LESS THAN 1 HOUR PER WEEK, NOT DURING TRADING HOURS; DESCRIPTION OF DUTIES: CORPORATION THAT OWNS PROSPERITY NETWORK OF ADVISORS, LLC.
- 3) MYDUCKS.ORG, SAME AS OFFICE ADDRESS, LIFE PLANNING, OVERSEEING THE MANGEMENT OF SERVICES, 2-4HR/WK
- 4) : UP GLOBAL ;
INVESTMENT RELATED: NO
SAME AS RESIDENTIAL LOCATION ;
FAITH BASED INTERNATIONAL SUPPORT AGENCY ;
START DATE: 01/2016 ;
BOARD MEMBER ;
APX NUMBER OF HOURS PER WEEK: 1, NOT DURING TRADING HOURS;
FOUNDING BOARD MEMBER ;
- 5) PROSPERITY NETWORK OF ADVISORS, LLC;
INVESTMENT RELATED,
ADDRESS IS THE REGISTERED LOCATION,
DBA FOR FINANCIAL AND INSURANCE SERVICES;
START 09/2025
APX NUMBER OF HOURS PER WEEK: 1-3; APX NUMBER OF HOURS DURING TRADING HOURS: VARIES; TITLE: CONSULTING; DUTIES: ASSISTS WITH MEETING WITH AND SPEAKING TO ADVISORS AND RECRUITING EFFORTS
- 6) FIT TO RETIRE, LLC;
NOT INVESTMENT RELATED;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS IS THE REGISTERED LOCATION;
SUBSCRIPTION BASED SERVICE TO SUPPORT FINANCIAL ADVISORS WITH NON-FINANCIAL RETIREMENT READINESS;
START 2/2014;
3-10 HOURS/WEEK DURING SECURITIES TRADING HOURS;
OWNER/COORDINATED INDEPENDENT DEVELOPMENT AND CONTENT TEAM.

7) PROSPERITY ADVISORS, LLC;
INVESTMENT RELATED,
SAME AS REGISTERED LOCATION;
FINANCIAL SERVICES;
STARTED: 09/2025;
POSITION: BOARD OF DIRECTORS; APX NUMBER OF HOURS PER WEEK: 3; APX NUMBER OF HOURS DURING TRADING HOURS: VARIES; DBA FOR FINANCIAL SERVICES; BOARD OF DIRECTORS

8) K STATE;
INVESTMENT RELATED: NO;
ADDRESS: 22201 W INNOVATION DR OLATHE, KS 66061;
NATURE OF BUSINESS: ADVISORY BOARD MEMBER;
STARTED: 9/2021;
ADVISORY BOARD MEMBER ;
APX NUMBER OF HOURS PER WEEK: 1 ; DURING TRADING HOURS,
BRIEF DESCRIPTION OF DUTIES: VOLUTEREER MEMBER OF COMMUNITY ADVISORY BOARD;

9) NAME OF OTHER BUSINESS: LITERACY KC;
INVESTMENT RELATED: NO;
ADDRESS: 3 NUMBER OF HOURS DURING TRADING HOURS: 1 ;3036 TROOST AVE KANSAS CITY, MO 64109;
NATURE OF BUSINESS: ADVISORY BOARD MEMBER;
START DATE: 1/2021;
POSITION/TITLE/RELATIONSHIP: ADVISORY BOARD MEMBER/TREASURER ;
APX NUMBER OF HOURS PER WEEK: 1 ;
APX NUMBER OF HOURS DURING TRADING HOURS: 1 ;
BRIEF DESCRIPTION OF DUTIES: ADVISORY BOARD MEMBER, TREASURER;

10) NAME OF OTHER BUSINESS: PFP;
INVESTMENT RELATED: NO;
ADDRESS: 1324 LOVERS LN , 343 JUSTIN HALL MANHATTAN, KT 66505;
NATURE OF BUSINESS: ADVISORY BOARD MEMBER;
START DATE: 6/2020;
POSITION/TITLE/RELATIONSHIP: ADVISORY BOARD MEMBER ;
APX NUMBER OF HOURS PER WEEK: 1 ;
APX NUMBER OF HOURS DURING TRADING HOURS: 1 ;
BRIEF DESCRIPTION OF DUTIES: ADVISORY BOARD MEMBER;

11) PROSPERITY TAX CENTER, LLC,
INVESTMENT RELATED: NO,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: TAX AND ACCOUNTING,
START DATE: 03/2022,
POSITION/TITLE/RELATIONSHIP: REFERRER,
APX NUMBER OF HOURS PER WEEK: 2, MAY BE DURING TRADING HOURS,
BRIEF DESCRIPTION OF DUTIES: REFER CLIENTS TO CPA;

12) PROSPERITY HOLDINGS, LLC,
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

NATURE OF BUSINESS: LLC,
START DATE: 03/2022,
POSITION/TITLE/RELATIONSHIP: PART OWNER
APX NUMBER OF HOURS PER WEEK: 2, MAY BE DURING TRADING HOURS,
BRIEF DESCRIPTION OF DUTIES: LLC TO RECEIVE INCOME FROM PROSPERITY ADVISORS;



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:	Cetera Advisors LLC
Allegations:	Breach of fiduciary duty, Kansas securities regulation violations, negligence, and misrepresentation.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$134,596.65
Alleged Damages Amount Explanation (if amount not exact):	Damages and return of commissions.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	17-00842
Date Notice/Process Served:	04/17/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/14/2018
Monetary Compensation Amount:	\$15,000.00



Individual Contribution Amount: \$0.00

Broker Statement Claimants include an experienced Defense Attorney who approached our firm with the express purpose of purchasing a REIT, unsolicited. Claimants were aware of the risks associated with their investments, which were purchased after client meetings, telephone discussions and email correspondence. Claimants were permitted to make the investments only after they had reviewed and executed paperwork which further detailed the risks of the investments, which were on Cetera Advisors' approved product list. The composition of the portfolio was within Claimants' stated risk tolerance and was suitable for their investment objectives.

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: UNSUITABILITY; MISREPRESENTATIONS OF FACTS; GAVE CLAIMANT MISLEADING INFORMATION; FRAUD; VIOLATION OF SECTION 10(b) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10(b)(5); VIOLATION OF THE KANSAS SECURITIES ACT; BREACH OF FIDUCIARY DUTY

Product Type:

Alleged Damages: \$145,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #88-02187](#)

Date Notice/Process Served: 01/01/1988

Arbitration Pending? No

Disposition: Other

Disposition Date: 07/18/1989

Disposition Detail: AWARD AGAINST PARTY
** THE CLAIMANT SHALL RETAIN THE SECURITIES TENDERED AND THE RESPONDENTS W.S. GRIFFITH & CO. AND PAUL EWING ARE HEREBY JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO THE CLAIMANT THE SUM OF \$31,500.00 IN CASH, INCLUSIVE OF INTEREST. **

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: NONSUITABLE INVESTMENT RECOMMENDATIONS. CLIENT ALLAGED DAMAGES INCLUDING PUNITIVE AND INTEREST TOTALLING \$145,000.00. AWARD-\$31,500.00 FOR SETTLEMENT OF CLAIM, I WAS NOT SUBJECT TO PENALTY, PUNITIVE DAMAGES, OR LEGAL EXPENSES.

**Product Type:****Alleged Damages:** \$145,000.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 07/18/1989**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD; 88-02187](#)**Date Notice/Process Served:** 01/01/1988**Arbitration Pending?** No**Disposition:** Award to Customer**Disposition Date:** 07/18/1989**Monetary Compensation Amount:** \$31,500.00**Individual Contribution Amount:****Broker Statement**

SETTLEMENT-\$31,500.00 PLUS FILING FEES.
IT WAS ALLEGED THAT I MADE AN INAPPROPRIATE INVESTMENT RECOMMENDATION FOR A WIDOW, OUT DEFENSE WAS: (A) NO
DAMAGE WAS DONE-ACTUAL RETURNS FOR THE ENTIRE PORTFOLIO SUFFERED A LITTLE (B) ANOTHER FIRM DISRUPTED THE CLIENT AND THE PORTFOLIO AND PROMPTED THE ACTION (C) ONE OF THE LIMITED PARTNERSHIPS INVOLVED WAS AN INSURANCE MORTGAGE FUND AND WAS
APPROPRIATE AND ALL RECOMMENDATIONS WERE APPROPRIATE AS A PART OF A TOTAL PORTFOLIO.



End of Report

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