IAPD Report

JAY E HOCHHEISER

CRD# 1183959

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

JAY E HOCHHEISER (CRD# 1183959)

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 **06/23/2026**.

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 **23** 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	MELVILLE, NY	05/09/2025 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Melville, NY	05/09/2025 - 09/05/2025
IA	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY	01/27/2003 - 05/09/2025

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
Customer Dispute	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 **23** 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	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Delaware	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Indiana	Agent	Approved	09/05/2025
B	Maryland	Agent	Approved	09/05/2025
B	Massachusetts	Agent	Approved	09/05/2025
B	Michigan	Agent	Approved	09/05/2025
B	Minnesota	Agent	Approved	09/05/2025
B	New Hampshire	Agent	Approved	06/23/2026

Qualifications

	Regulator	Registration	Status	Date
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	Pennsylvania	Agent	Approved	09/05/2025
B	Rhode Island	Agent	Approved	09/05/2025
B	South Carolina	Agent	Approved	09/05/2025
B	Tennessee	Agent	Approved	09/05/2025
B	Virginia	Agent	Approved	09/05/2025
B	Wisconsin	Agent	Approved	10/01/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
One Huntington Quadrangle
Suite 2s14
Melville, NY 11747

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

Qualifications

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
1 HUNTINGTON QUADRANGLE
SUITE 2S14
MELVILLE, NY 11747

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, 4 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	General Securities Representative Examination (S7)	Series 7	01/07/1998
B	Direct Participation Programs Representative Examination (S22)	Series 22	03/07/1989
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/16/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/06/1985

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	05/09/2025 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	MELVILLE, NY
B	05/09/2025 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Melville, NY
IA	01/27/2003 - 05/09/2025	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	05/03/1999 - 05/09/2025	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	05/02/1996 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	09/19/1983 - 04/15/1996	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	09/19/1983 - 04/15/1996	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, 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	Melville, NY, United States
01/2025 - Present	outside insurance sales	licensed agent/broker	Y	Melville, NY, United States
03/2021 - Present	retirement plans consulting	consultant	Y	Melville, NY, United States
01/2020 - Present	HD INSURANCE SERVICES	OWNER	Y	MELVILLE, NY, United States
01/2020 - Present	HD Insurance Services-DBA	owner	Y	Melville, NY, United States
09/2000 - Present	HOCHHEISESR DEUTSCH & CO INC.	CEO	Y	MELVILLE, NY, United States
09/2000 - Present	Hochheiser Deutsch & Co inc.	CEO	Y	Melville, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2025 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	MELVILLE, NY, United States
05/2025 - 09/2025	AVANTAX INSURANCE AGENCY LLC	INSURANCE AGENT	Y	MELVILLE, NY, United States
05/2025 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	MELVILLE, NY, United States
03/2021 - 05/2025	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	MELVILLE, NY, United States
05/1999 - 05/2025	PARK AVENUE SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	WOODBURY, NY, United States
04/1996 - 03/2021	THE GUARDIAN LIFE INSURANCE COMPANY	OTHER - FIELD REPRESENTATIVE	Y	WOODBURY, NY, United States
03/2008 - 07/2020	GUARDIAN LIFE INSURANCE	AGENT	Y	TARRYTOWN, 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.

THE ENTRPRENUER'S GUIDE TO ACHIEVING FINANCIAL FREEDOM BOOK
POS: author NATURE: I may receive royalties from book sales INV RELATED: No NUMBER OF HRS: 0 SEC TRDNG HRS: 0 START DATE: 08/18/2016
ADDR: One Huntington Quadrangle, Suite 2s14, Melville NY 11747, United States
DESC: Most copies of the book are given away for free. The book is listed for sale on amazon and the royalties and earnings are not enough to buy myself a Starbucks coffee. lol.

HD INSURANCE SERVICES-DBA
POS: owner NATURE: This is where the revenue from the outside business activities of fixed insurance sales and renewals get deposited. There are business expenses paid out of this bank account as well. INV RELATED: No NUMBER OF HRS: 20 SEC TRDNG HRS: 20 START DATE: 01/01/2020
ADDR: One Huntington Quadrangle, Suite 2s14, Melville NY 11747, United States
DESC: same as selling fixed insurance oba

CO- EXECUTOR FOR MY PARENTS
POS: executor NATURE: upon the passing of my parents to aid in transfering the estate to the heris, paying all debts of the estate and dealing with the final tax returns etc... INV RELATED: No NUMBER OF HRS: 0 SEC TRDNG HRS: 0 START DATE: 02/01/2022
ADDR: One Huntington Quadrangle, Suite 2s14, Melville NY 11747, United States
DESC: when they pass away to deal with the estate issues

OUTSIDE INSURANCE SALES
POS: licensed agent/broker NATURE: selling life insurance, Long term care & disability insurance outside of Avantax's insurance

Registration & Employment History

OTHER BUSINESS ACTIVITIES

channels INV RELATED: No NUMBER OF HRS: 20 SEC TRDNG HRS: 20 START DATE: 01/01/2025
ADDR: One Huntington Quadrangle, Suite 2s14, Melville NY 11747, United States
DESC: Shopping for various coverages, assiting the client with the application and underwritting process.
Explaining the ways the various policies work and formulating the most suitable types and amount of insurance for their particular situation.

CHILDREN"S MEDICAL FUND OF NY(CMF)
POS: board member NATURE: Help the charity with events to raise money for the charity that does amazing things for childen and their families. INV RELATED: No NUMBER OF HRS: 2 SEC TRDNG HRS: 2 START DATE: 02/12/2017
ADDR: One Huntington Quadrangle, Suite 2s14, Melville NY 11747, United States
DESC: Help to advise the executive board with ideas for the annual gof outing etc,,,

HOCHHEISER DEUTSCH & CO INC.
POS: CEO NATURE: Financial Planning
This my dba that my wealth management business runs thru for tax purposes and branding. It is set up as an s-corp. INV RELATED: Yes NUMBER OF HRS: 170 SEC TRDNG HRS: 130 START DATE: 09/14/2000
ADDR: One Huntington Quadrangle, Suite 2S14, Melville NY 11747, United States
DESC: This my dba that my wealth management business runs thru for tax purposes and branding. It is set up as an s-corp.

RETIREMENT PLANS CONSULTING
POS: consultant NATURE: Assist 3 third part administrators(TPAs) with the clerical aspects of our retirement plans.
Economic group pension services, Long Island Employee Benefits, UB Pensions INV RELATED: No NUMBER OF HRS: 5 SEC TRDNG HRS: 5 START DATE: 03/01/2021
ADDR: One Huntington Quadrangle, Suite 2s14, Melville NY 11747, United States
DESC: Assist 2 third part administrators(TPAs) with the clerical aspects of our retirement plans at year end, and to help them have the data to prepare for the acuarial work they do for the 5500 filings.

HOCHHEISER DEUTSCH PROTECTION INC
POS: president NATURE: This was the entity that used to receive fixed insurance commissions. It has not been used for several years, and was supposedly disolved by my cpa & attorney.
I did find out out that there are steps still needed to finish disolving this.
It has not been used in any capacity for over 3 or more years. INV RELATED: No NUMBER OF HRS: 0 SEC TRDNG HRS: 0 START DATE: 01/01/2019
ADDR: One Huntington Quadrangle, Suite 2s14, Melville NY 11747, United States
DESC: none

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	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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PARK AVENUE SECURITIES LLC
Allegations:	CUSTOMER ALLEGED THAT ROLLOVER RECOMMENDED BY THE REGISTERED REPRESENTATIVE SUBJECTED CUSTOMER TO UNEXPECTED TAX CONSEQUENCES.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	06/07/2007
Complaint Pending?	No
Status:	Settled
Status Date:	08/19/2008
Settlement Amount:	$8,292.00
Individual Contribution Amount:	$0.00
Broker Statement	NO DAMAGES WERE ALLEGED BY THE CUSTOMER. THE FIRM MADE A DETERMINATION THAT DAMAGES FROM THE ALLEGED CONDUCT WOULD NOT BE LESS THAN $5,000. THE AMOUNT OF $8,292.00 WAS PAID TO THE CUSTOMER TO CORRECT AN ERROR MADE BY THE REPRESENTATIVE THAT RESULTED IN A TAX LIABILITY.

End of Report

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