



IAPD Report

DANIEL EDWARD CROWLEY

CRD# 1255054

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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

DANIEL EDWARD CROWLEY (CRD# 1255054)

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 **03/22/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	10/03/2016
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	GREENWOOD VILLAGE, IL	10/03/2016 - 03/21/2024
IA	INVESTORS CAPITAL ADVISORY	30613	BEVERLY, MA	10/01/2003 - 10/03/2016
B	INVESTORS CAPITAL CORP.	30613	BEVERLY, MA	03/31/2003 - 10/03/2016

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?

No



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

Employment 1 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	Massachusetts	Investment Adviser Representative	Approved	03/21/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
100 CUMMINGS CENTER
SUITE 537-H
BEVERLY, MA 01915

Employment 2 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	10/03/2016
B	FINRA	General Securities Representative	Approved	10/03/2016
B	Alabama	Agent	Approved	10/03/2016
B	Arizona	Agent	Approved	10/03/2016



Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	10/03/2016
B	Colorado	Agent	Approved	10/03/2016
B	Connecticut	Agent	Approved	10/03/2016
B	District of Columbia	Agent	Approved	10/03/2016
B	Florida	Agent	Approved	10/03/2016
B	Georgia	Agent	Approved	10/03/2016
B	Hawaii	Agent	Approved	10/03/2016
B	Illinois	Agent	Approved	10/03/2016
B	Iowa	Agent	Approved	10/03/2016
B	Kentucky	Agent	Approved	10/03/2016
B	Louisiana	Agent	Approved	10/03/2016
B	Maryland	Agent	Approved	10/03/2016
B	Massachusetts	Agent	Approved	10/03/2016
B	Michigan	Agent	Approved	10/03/2016
B	Minnesota	Agent	Approved	10/03/2016
B	Missouri	Agent	Approved	04/28/2017
B	Montana	Agent	Approved	10/03/2016
B	Nebraska	Agent	Approved	10/03/2016
B	New Hampshire	Agent	Approved	10/03/2016



Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	10/03/2016
B	New York	Agent	Approved	10/03/2016
B	North Carolina	Agent	Approved	10/03/2016
B	Ohio	Agent	Approved	10/03/2016
B	Pennsylvania	Agent	Approved	10/03/2016
B	Rhode Island	Agent	Approved	10/03/2016
B	South Carolina	Agent	Approved	10/03/2016
B	Texas	Agent	Approved	10/03/2016
B	Utah	Agent	Approved	10/03/2016
B	Vermont	Agent	Approved	10/03/2016
B	Virginia	Agent	Approved	10/03/2016
B	Washington	Agent	Approved	10/03/2016
B	Wisconsin	Agent	Approved	10/03/2016

Branch Office Locations

CETERA ADVISORS LLC
100 CUMMINGS CENTER
SUITE 537-H
BEVERLY, MA 01915



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	04/18/2006

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	04/14/1984

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/05/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/25/1984



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	10/03/2016 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
IA	10/01/2003 - 10/03/2016	INVESTORS CAPITAL ADVISORY	CRD# 30613	BEVERLY, MA
B	03/31/2003 - 10/03/2016	INVESTORS CAPITAL CORP.	CRD# 30613	BEVERLY, MA
IA	09/08/2003 - 12/31/2004	EASTERN POINT ADVISORS INC.	CRD# 107123	LYNNFIELD, MA
B	02/14/1995 - 12/05/2002	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	WALTHAM, MA
B	02/12/1991 - 03/01/1995	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	02/12/1991 - 03/01/1995	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	01/09/1987 - 01/30/1991	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	04/18/1984 - 01/08/1987	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
10/2016 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
01/2009 - Present	HOME DEPOT	OPERATIONS ASSOCIATE	N	DANVERS, MA, United States
03/2003 - 10/2016	INVESTORS CAPITAL	REGISTERED REP	Y	LYNNFIELD, MA, United States



Registration & Employment History



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: 06/27/2016;
APX NUMBER OF HOURS PER WEEK: 1 HOUR;
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: HOME DEPOT;
INVESTMENT RELATED: NO;
ADDRESS: 92 NEWBURY STREET, DANVERS, MA 01923;
NATURE OF BUSINESS: HOME IMPROVEMENT;
START DATE: 2009;
POSITION/TITLE/RELATIONSHIP: OPERATIONS ASSOCIATE;
APX NUMBER OF HOURS PER WEEK: 40-45 HOURS;
APX NUMBER OF HOURS DURING TRADING HOURS: NONE;
BRIEF DESCRIPTION OF DUTIES: RETAIL - OPERATIONS ASSOCIATE



End of Report

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