IAPD Report

BERTIN MARC STUCKART JR

CRD# 1281643

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

BERTIN MARC STUCKART JR (CRD# 1281643)

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 **01/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	06/03/2020
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

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	CETERA ADVISOR NETWORKS LLC	13572	HILTON HEAD ISLAND, SC	05/20/2021 - 06/29/2023
IA	SUMMIT FINANCIAL GROUP INC	109485	HILTON HEAD ISLAND, SC	06/04/2020 - 05/20/2021
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HILTON HEAD ISLAND, SC	04/22/2009 - 06/04/2020

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	06/03/2020
B	FINRA	General Securities Sales Supervisor	Approved	06/03/2020
B	Alabama	Agent	Approved	01/05/2026
B	Arizona	Agent	Approved	06/09/2020
B	California	Agent	Approved	06/04/2020
B	Colorado	Agent	Approved	08/14/2020
B	Connecticut	Agent	Approved	06/08/2020
B	Florida	Agent	Approved	06/05/2020
B	Georgia	Agent	Approved	06/04/2020
B	Indiana	Agent	Approved	06/03/2020
B	Louisiana	Agent	Approved	06/05/2020
B	Maine	Agent	Approved	01/20/2026
B	Maryland	Agent	Approved	06/03/2020

Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	07/28/2020
B	Michigan	Agent	Approved	01/09/2026
B	New Jersey	Agent	Approved	06/18/2020
B	New Mexico	Agent	Approved	06/05/2020
B	New York	Agent	Approved	06/08/2020
B	North Carolina	Agent	Approved	06/10/2020
B	Ohio	Agent	Approved	06/04/2020
B	Pennsylvania	Agent	Approved	06/08/2020
B	South Carolina	Agent	Approved	06/05/2020
B	Texas	Agent	Approved	06/04/2020
B	Virginia	Agent	Approved	06/08/2020
B	West Virginia	Agent	Approved	06/15/2020

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
12 PALMETTO WAY UNIT A FIRST FLOOR
BLUFFTON, SC 29910

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

Qualifications

	Regulator	Registration	Status	Date
IA	South Carolina	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/29/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
12 PALMETTO WAY UNIT A FIRST FLOOR
BLUFFTON, SC 29910

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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/05/1991

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	10/01/1984
B	General Securities Representative Examination (S7)	Series 7	08/18/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/19/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/31/1984

PROFESSIONAL DESIGNATIONS

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

No information reported.

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	05/20/2021 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	HILTON HEAD ISLAND,
IA	06/04/2020 - 05/20/2021	SUMMIT FINANCIAL GROUP INC	CRD# 109485	HILTON HEAD ISLAND,
B	04/22/2009 - 06/04/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HILTON HEAD ISLAND,
IA	04/22/2009 - 06/04/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HILTON HEAD ISLAND,
IA	07/03/2002 - 05/05/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAVANNAH, GA
B	05/04/2001 - 05/05/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAVANNAH, GA
B	03/30/1990 - 05/07/2001	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	08/27/1984 - 04/12/1990	THE ROBINSON-HUMPHREY COMPANY INC.	CRD# 723	ATLANTA, GA

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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2020 - Present	ATLANTIC INVESTORS	OWNER/FINANCIAL ADVISOR	Y	HILTON HEAD ISLAND, SC, United States
06/2020 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
06/2020 - Present	SUMMIT FINANCIAL GROUP	INVESTMENT ADVISOR REPRESENTATIVE	Y	BOCA RATON, FL, United States
04/2019 - 06/2022	UNITED WAY OF LOWCOUNTRY	CHARIMAN OF THE BOARD OF DIRECTORS	N	BEAUFORT, SC, United States
12/2009 - 06/2020	BANK OF AMERICA, NA	VP; FINANCIAL ADVISOR	Y	HILTON HEAD ISLAND, SC, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2009 - 06/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FA	Y	HILTON HEAD ISLAND, SC, 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. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FIXED INSURANCE
APX NUMBER OF HOURS PER WEEK: 1
APX NUMBER OF HOURS DURING TRADING HOURS: 1
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT
BRIEF DESCRIPTION OF DUTIES: SALES OF LIFE, ANNUITIES, AND LONG-TERM CARE

2. NAME OF OTHER BUSINESS: ATLANTIC INVESTMENT ADVISORS GROUP
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: DBA FOR SECURITIES BUSINESS
START DATE: 5/2020
POSITION/TITLE/RELATIONSHIP: OWNER/FINANCIAL ADVISOR
APX NUMBER OF HOURS PER WEEK: 40
APX NUMBER OF HOURS DURING TRADING HOURS: 40
BRIEF DESCRIPTION OF DUTIES: PROVIDE SECURITIES AND INSURANCE SERVICES TO CLIENTS;

3. NAME OF OTHER BUSINESS: UNITED WAY OF THE LOW COUNTRY;
INVESTMENT RELATED: NO;
ADDRESS: 1277 RIBAULT RD, BEAUFORT, SC 29910;
NATURE OF BUSINESS: BOARD;
START DATE: 3/2023;
POSITION/TITLE/RELATIONSHIP: BOARD MEMBER;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: HELP DIRECT & OVERSEE OPERATIONS OF THE AGENCY;

4. NAME OF OTHER BUSINESS: SHELL HALL PROPERTY OWNERS ASSOCIATION;
INVESTMENT RELATED: NO;
ADDRESS: 110 TRADERS CROSS STE 203-207 BLUFFTON, SC 29909;
NATURE OF BUSINESS: HOMEOWNERS ASSOCIATION;
START DATE: 08/2023;
POSITION/TITLE/RELATIONSHIP: BOARD MEMBER;
APX NUMBER OF HOURS PER WEEK: 2;
APX NUMBER OF HOURS DURING TRADING HOURS: 2;
BRIEF DESCRIPTION OF DUTIES: PROVIDING INSIGHT AND OVERVIEW TO OPERATIONS, MAINTAINING PROPERTY;

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:	Firm
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	CLAIMANT ALLEGED BREACH OF FIDUCIARY DUTY AND CONTRACT; NEGLIGENCE; FRAUD; MISREPRESENTATION AND VIOLATIONS OF THE SOUTH CAROLINA SECURITIES ACT. ALLEGED DAMAGES WERE IN EXCESS OF $1,500,000. (5/2000-3/2001)
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	06/06/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/06/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE #2002-010304

Date Notice/Process Served:	06/06/2002
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	06/18/2004
Monetary Compensation Amount:	$141,373.58
Individual Contribution Amount:	$0.00
Firm Statement	CLAIMANT WAS AWARDED THE SUM OF $141,373.58 WHICH REPRESENTS THE $125,000 AWARD AND $16,373.58 COSTS.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY AND CONTRACT, NEGLIGENCE, FRAUD, MISREPRESENTATIN AND VIOLATIONS OF SOUTH CAROLINA SECURITIES ACT. ALLEGED DAMAGES WERE IN EXCESS OF $1,500,000. (5/2000-3/2001)
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	06/06/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/06/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE #2002-010304
Date Notice/Process Served:	06/06/2002
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	06/08/2004
Monetary Compensation Amount:	$141,373.58
Individual Contribution Amount:	$0.00
Broker Statement	THE PANEL AWARDED CUSTOMER $125,000 PLUS COSTS OF $16,373.58 FOR A TOTAL OF $141,373.58.

End of Report

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