



## IAPD Report

# ERIC ADRIAN HUCK

CRD# 1363941

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Information	9



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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

### ERIC ADRIAN HUCK (CRD# 1363941)

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 **06/10/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	05/16/2003
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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
<b>IA</b>	CETERA ADVISOR NETWORKS LLC	13572	MECHANICSBURG, PA	12/02/2003 - 06/29/2023
<b>B</b>	T.H.E. FINANCIAL GROUP, LTD	14720	MECHANICSBURG, PA	10/20/2003 - 11/26/2003
<b>B</b>	T.H.E. FINANCIAL GROUP, LTD	14720	MECHANICSBURG, PA	12/12/1991 - 05/16/2003

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
Regulatory Event	1
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 **24** 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	Pennsylvania	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/29/2023

#### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
5 KACEY CT STE 101  
MECHANICSBURG, PA 17055

#### Employment 2 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	Corporate Securities Represent	Approved	05/16/2003
B	FINRA	Direct Participation Programs	Approved	05/16/2003
B	FINRA	Direct Participation Programs Principal	Approved	05/16/2003
B	FINRA	Invest. Co and Variable Contracts	Approved	05/16/2003
B	California	Agent	Approved	01/16/2007



## Qualifications

	Regulator	Registration	Status	Date
<b>B</b>	Connecticut	Agent	Approved	03/09/2016
<b>B</b>	Delaware	Agent	Approved	03/14/2016
<b>B</b>	Florida	Agent	Approved	05/16/2003
<b>B</b>	Georgia	Agent	Approved	05/23/2003
<b>B</b>	Indiana	Agent	Approved	03/16/2005
<b>B</b>	Kansas	Agent	Approved	03/22/2016
<b>B</b>	Kentucky	Agent	Approved	06/07/2017
<b>B</b>	Maine	Agent	Approved	04/27/2016
<b>B</b>	Maryland	Agent	Approved	05/19/2003
<b>B</b>	Massachusetts	Agent	Approved	07/12/2016
<b>B</b>	Michigan	Agent	Approved	03/10/2016
<b>B</b>	Mississippi	Agent	Approved	03/30/2016
<b>B</b>	Nebraska	Agent	Approved	03/30/2016
<b>B</b>	New Jersey	Agent	Approved	03/03/2016
<b>B</b>	New York	Agent	Approved	03/25/2016
<b>B</b>	North Carolina	Agent	Approved	03/03/2016
<b>B</b>	Pennsylvania	Agent	Approved	05/21/2003
<b>B</b>	South Carolina	Agent	Approved	03/11/2016
<b>B</b>	Texas	Agent	Approved	03/11/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Utah	Agent	Approved	02/07/2019
<b>B</b> Virginia	Agent	Approved	03/03/2010
<b>B</b> Washington	Agent	Approved	03/22/2012
<b>B</b> Wisconsin	Agent	Approved	03/09/2016

### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
5 KACEY CT STE 101  
MECHANICSBURG, PA 17055



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	08/02/1993
Direct Participation Programs Principal Examination (S39)	Series 39	04/22/1992

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Corporate Securities Limited Representative Examination (S62)	Series 62	08/21/1992
Direct Participation Programs Representative Examination (S22)	Series 22	11/26/1991
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/06/1985

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	05/06/1985

### 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	12/02/2003 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	MECHANICSBURG, PA
B	10/20/2003 - 11/26/2003	T.H.E. FINANCIAL GROUP, LTD	CRD# 14720	MECHANICSBURG, PA
B	12/12/1991 - 05/16/2003	T.H.E. FINANCIAL GROUP, LTD	CRD# 14720	MECHANICSBURG, PA
B	05/18/1990 - 10/07/1991	HOMESTEAD CAPITAL CORPORATION	CRD# 21906	
B	10/06/1989 - 05/01/1990	CENTURY INVESTORS OF AMERICA, INC.	CRD# 5322	
B	04/06/1988 - 09/11/1989	ASSET MANAGEMENT EQUITIES, LTD.	CRD# 21604	
B	10/26/1987 - 03/26/1988	INA SECURITY CORPORATION	CRD# 422	
B	01/15/1986 - 08/27/1987	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	
B	05/16/1985 - 12/05/1985	LAUVER & COMPANY, INC.	CRD# 510	

#### 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
01/2013 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
01/2006 - 02/2021	BAR FINANCIAL LLC	OWER/PARTNER	Y	MECHANICSBURG, PA, 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 OFFICE,  
NATURE OF BUSINESS: FIXED INSURANCE - LIFE, HEALTH AND LTC,  
POSITION/TITLE/RELATIONSHIP: REPRESENTATIVE,  
START DATE: 2003,  
APPROX NUMBER OF HOURS PER WEEK: 40,  
BRIEF DESCRIPTION OF DUTIES: SALES AND SERVICE;

2. NAME OF OTHER BUSINESS: BAR FINANCIAL LLC,  
INVESTMENT RELATED: YES,  
ADDRESS: SAME AS REGISTERED OFFICE,  
NATURE OF BUSINESS: FINANCIAL SERVICES,  
POSITION/TITLE/RELATIONSHIP: REGIONAL DIRECTOR,  
START DATE: 2003,  
APPROX NUMBER OF HOURS PER WEEK: 40,  
BRIEF DESCRIPTION OF DUTIES: MANAGEMENT AND SALES;

3. NAME OF OTHER BUSINESS: HARRISBURG AREA LYME DISEASE SUPPORT GROUP  
INVESTMENT RELATED: NO  
ADDRESS: 5 KACEY COURT MECHANICSBURG PA 17055  
START DATE: 4/2017  
NATURE OF BUSINESS: SUPPORTS THOSE INVOLVED/AFFECTED BY LYME DISEASE  
APX # OF HOURS PER WEEK: 20  
APX # OF HOURS DURING TRADING HOURS: 20  
POSITION/TITLE/RELATIONSHIP: PRESIDENT  
DUTIES: CONDUCT MONTHLY MEETINGS, SPEAK PUBLICLY, ADVOCATE FOR LYME RIGHTS

4. NAME OF OTHER BUSINESS: PA LYME RESOURCE NETWORK,  
INVESTMENT RELATED: NO,  
ADDRESS: 211 SOUTH MAIN STREET, NORTH WALES, PA 19454,  
START DATE: 05/01/2014,  
NATURE OF BUSINESS: STATEWIDE LYME DISEASE SUPPORT GROUP,  
APX # OF HOURS PER WEEK: 5  
APX # OF HOURS DURING TRADING HOURS: 5,  
DUTIES: CO-FOUNDER, TREASURER



## 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
Regulatory Event	1
Customer Dispute	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	PENNSYLVANIA CONTACT: JOSEPH MINISI (215)-560-2088
<b>Sanction(s) Sought:</b>	Other
<b>Other Sanction(s) Sought:</b>	ERIC A. HUCK AND OTHER NAMED RESPONDENTS ARE JOINTLY AND SEVERALLY ORDERED TO PAY A \$200,000.00 ADMINISTRATIVE ASSESSMENT AND \$25,000.00 INVESTIGATIVE AND LEGAL COSTS.
<b>Date Initiated:</b>	06/23/2005
<b>Docket/Case Number:</b>	2005-02-14
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	INTERESTS
<b>Allegations:</b>	ERIC A. HUCK VIOLATED THE REGISTRATION PROVISIONS OF THE PA SECURITIES ACT OF 1972.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled
<b>Resolution Date:</b>	06/23/2005
<b>Sanctions Ordered:</b>	Monetary/Fine \$225,000.00
<b>Other Sanctions Ordered:</b>	ERIC A. HUCK IS ORDERED TO COMPLY WITH THE REGISTRATION PROVISIONS OF THE PA SECURITIES ACT OF 1972.



**Sanction Details:** ERIC A. HUCK AND OTHER NAMED RESPONDENTS ARE JOINTLY AND SEVERALLY ORDERED TO PAY A \$200,000.00 ADMINISTRATIVE ASSESSMENT AND \$25,000.00 INVESTIGATIVE AND LEGAL COSTS.

**Regulator Statement** FINDINGS OF FACT, CONCLUSIONS OF LAW AND ORDER ISSUED TO ERIC A. HUCK AND OTHER NAMED RESPONDENTS.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** COMMONWEALTH OF PENNSYLVANIA - SECURITIES COMMISSION

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** ADMINISTRATIVE ASSESSMENT - COSTS OF INVESTIGATION

**Date Initiated:** 06/23/2005

**Docket/Case Number:** 2005-02-14

**Employing firm when activity occurred which led to the regulatory action:** T.H.E. FINANCIAL GROUP

**Product Type:** Other

**Other Product Type(s):** VIATICALS

**Allegations:** ALLEGATIONS CONCERNING THE SALE OF VIATICATED INSURANCE POLICIES

**Current Status:** Final

**Resolution:** Other

**Resolution Date:** 06/23/2005

**Sanctions Ordered:** Monetary/Fine \$225,000.00

**Other Sanctions Ordered:** GLOBAL SETTLEMENT PAID ON BEHALF OF 39 AGENTS AND FORMER BROKER-DEALER.

**Sanction Details:** IN CONNECTION WITH GLOBAL SETTLEMENT, FORMER BROKER-DEALER PAID ADMINISTRATIVE ASSESSMENT AND INVESTIGATIVE COSTS ON BEHALF OF 39 AGENTS WHO SOLD VIATICATED INSURANCE POLICIES IN PENNSYLVANIA.

**Broker Statement** REGARDING #10 WAS RESOLVED BY GLOBAL SETTLEMENT WITH ALL AGENTS AND BROKER-DEALER. PRODUCTS SOLD WERE ON FORMER BROKER DEALER'S APPROVED PRODUCTS LIST. FORMER BROKER-DEALER PAID ADMINISTRATIVE ASSESSMENT AND COSTS. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, REGISTRANT CONSENTED TO THE ORDER.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	T.H.E. FINANCIAL GROUP LTD
<b>Allegations:</b>	MISREPRESENTATION OF INVESTMENTS - APRIL 1998
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	VIATICALS
<b>Alleged Damages:</b>	\$99,900.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/10/2004
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	09/29/2004
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD DISPUTE RESOLUTION CASE NUMBER 04-06210
<b>Date Notice/Process Served:</b>	09/20/2004
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	12/02/2004
<b>Monetary Compensation Amount:</b>	\$48,625.00
<b>Individual Contribution Amount:</b>	\$24,312.50



## End of Report

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