IAPD Report

CHARLES WAYNE MOBLEY JR

CRD# 1365880

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

CHARLES WAYNE MOBLEY JR (CRD# 1365880)

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	CETERA WEALTH SERVICES, LLC	CRD# 13572	06/09/2021
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/30/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	EL SEGUNDO, CA	06/09/2021 - 06/29/2023
IA	VOYA FINANCIAL ADVISORS, INC.	2882	MCDONOUGH, GA	09/19/2006 - 06/09/2021
B	VOYA FINANCIAL ADVISORS, INC.	2882	MCDONOUGH, GA	09/01/2006 - 06/09/2021

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 **1** 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	Georgia	Investment Adviser Representative	Approved	03/30/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
GRIFFIN, GA

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	General Securities Principal	Approved	06/09/2021
B	FINRA	General Securities Representative	Approved	06/09/2021
B	Georgia	Agent	Approved	06/09/2021

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
GRIFFIN, GA

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	09/17/1991

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	06/15/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/02/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/27/1985

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	06/09/2021 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
IA	09/19/2006 - 06/09/2021	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	MCDONOUGH, GA
B	09/01/2006 - 06/09/2021	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	MCDONOUGH, GA
B	03/09/2004 - 09/06/2006	INVEST FINANCIAL CORPORATION	CRD# 12984	CONYERS, GA
IA	02/26/2004 - 09/06/2006	INVEST FINANCIAL CORPORATION	CRD# 12984	CONYERS, GA
IA	03/12/2003 - 02/19/2004	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	CHARLOTTE, NC
B	03/27/2001 - 02/19/2004	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	CHARLOTTE, NC
B	08/14/2000 - 03/13/2001	UBS PAINEWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	05/21/1999 - 08/14/2000	J.C. BRADFORD & CO.	CRD# 1287	NEW YORK, NY
B	06/29/1994 - 06/17/1999	AMERICAN FRONTEER FINANCIAL CORPORATION	CRD# 1398	DENVER, CO
B	05/16/1988 - 07/06/1994	F.N. WOLF & CO., INC.	CRD# 13051	
B	02/02/1987 - 05/18/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	
B	06/18/1985 - 01/31/1987	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
08/2024 - Present	KEEGAN MOBLEY & ASSOCIATES, LLC	PRINCIPAL/OWNER	N	ALPHARETTA, GA, United States
03/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR	Y	SCHAUMBURG, IL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
		REPRESENTATIVE		
06/2021 - Present	CETERA WEALTH SERVICES, LLC	Registered Rep / Investment Advisor Rep	Y	EL SEGUNDO, CA, United States
10/2011 - Present	PROPITIOUS LLC	OWNER	N	MCDONOUGH, GA, United States
09/2014 - 06/2021	VOYA FINANCIAL ADVISORS	REGISTERED REPRESENTATIVE	Y	MCDONOUGH, GA, 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 ENTITY: Independent Insurance Agent; Yes; 146 ATLANTA STREET; MCDONOUGH; GA; 30253; FIXED INSURANCE SALES; INDEPENDENT INSURANCE AGENT; 2/12/2009; 160; 160; SALES OF FIXED INSURANCE PRODUCTS

2. NAME OF ENTITY: HENRY INVESTMENT PARTNERS 1 LLC; No; 134 ATLANTA ST; MCDONOUGH; GA; 30253; REAL ESTATE; MEMBER; 2/22/2018; 10; 0; MARKETING AND EXPOSURE TO THE COMMUNITY

3. NAME OF ENTITY: PROPITIOUS LLC; No; 146 ATLANTA STREET; MCDONOUGH; GA; 30253; POLITICAL CONSULTING; OWNER; 10/1/2011; 24; 24; PAID ON CAMPAIGN CONSULTING FEES AND MARK UPS ON PRODUCTS USED. OWNER - MAIL SERVICES, MEESAGING, PLANNING CAMPAIGN, ORGANIZATIONAL HELP.

4. NAME OF ENTITY: Cedar Street Financial Services, LLC; Yes; 146 ATLANTA STREET; MCDONOUGH; GA; 30253; DBA; owner; 10/1/2007; 160; 160; DBA for sales of securities and insurance products.

5. NAME OF ENTITY: Edulcorate LLC; No; 88 Harrington Walk; Griffin; GA; 30224; political consulting services for hire; Owner; 2/1/2021; 25; 0; consulting with the candidates, orchestrating messaging, working with vendors, and other campaign related service.

6. NAME OF ENTITY: BD Associates LLC; No; 15 Perry St; Newnan; GA; 30263; Political Consulting with candidates; Partner; 3/23/2021; 20; 0; Campaigning from messaging, mail, digital, to voter contact.

7. NAME OF OTHER BUSINESS: KEEGAN MOBLEY & ASSOCIATES;
INVESTMENT RELATED: NO;
ADDRESS: 44 MILTON AVE, ALPHARETTA, GA 30009;
NATURE OF BUSINESS: CONSULTING FIRM
START DATE: 8/2024;
POSITION/TITLE/RELATIONSHIP: PRINCIPAL/OWNER;
APX NUMBER OF HOURS PER WEEK: 10;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: OFFER SERVICES SUCH AS DIRECT MAIL, DIGITAL AND SOCIAL MEDIA ADVERTISING, 4K VIDEO PRODUCTION, POLLING, AND SOCIAL MEDIA MANAGEMENT;

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:	BB&T INVESTMENT SERVICES, INC.
Allegations:	CUSTOMER CLAIMED THAT CHARLES MISHANDLED HIS 401K ROLLOVER WHICH LED TO TAXES AND PENALTIES OF $17,504.88
Product Type:	Mutual Fund(s)
Alleged Damages:	$17,504.88

Customer Complaint Information

Date Complaint Received:	12/03/2003
Complaint Pending?	No
Status:	Settled
Status Date:	01/20/2004
Settlement Amount:	$605.00
Individual Contribution Amount:	$0.00
Firm Statement	IN ORDER TO CORRECT THIS ERROR THE CLIENT HAD TO TAKE OUT A LOAN AND CONTRIBUTE THE MONEY AS AN IRA ROLLOVER. THE FINAL SETTLEMENT AMOUNT IS AN APPROXIAMTION BECAUSE THE AMOUNT WILL NOT BE DETERMINED UNTIL THE LOAN IS REPAID AFTER THE CLIENT FILES HIS TAX RETURN. WE ARE GOING TO REPAY THE CLIENT THE INTEREST FROM THE LOAN. THE AMOUNT WILL BE UNDER 10K.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BB&T INVESTMENT SERVICES INC
Allegations:	CUSTOMER CLAIMED HIS 401K ROLLOVER WAS MISHANDLED WHICH LED TO TAXES & PENALTIES OF $17,504.88
Product Type:	Mutual Fund(s)
Alleged Damages:	$17,504.88

Customer Complaint Information

Date Complaint Received:	12/03/2003
Complaint Pending?	No
Status:	Settled
Status Date:	01/20/2004
Settlement Amount:	$605.00
Individual Contribution Amount:	$0.00
Broker Statement	CLIENT RETURNED FORMS WITH NOT ENOUGH TIME TO COMPLETE ROLLOVER, FUNDS WERE SENT OUT TO HIM BEFORE FORMS REACHED FORMER EMPLOYER. IN ORDER TO CORRECT THE ERROR THE CLIENT TOOK OUT A LOAN AND CONTRIBUTED IT AS AN IRA ROLLOVER. THE $605.00 WILL COVER THE INTEREST PAYMENT ON THE LOAN UNTIL CLIENT FILES HIS TAX RETURN.

End of Report

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