



IAPD Report

RICHARD S DOERINGER

CRD# 1413498

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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

RICHARD S DOERINGER (CRD# 1413498)

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	09/03/2013
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	09/03/2013 - 06/29/2023
IA	TOWER SQUARE SECURITIES, INC.	833	FACTORYVILLE, PA	08/15/2007 - 09/03/2013
B	TOWER SQUARE SECURITIES, INC.	833	FACTORYVILLE, PA	02/27/1996 - 09/03/2013

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 **17** 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
	FINRA	Direct Participation Programs	Approved	09/03/2013
	FINRA	General Securities Representative	Approved	09/03/2013
	FINRA	Invest. Co and Variable Contracts	Approved	09/03/2013
	California	Agent	Approved	09/03/2013
	Colorado	Agent	Approved	09/03/2013
	Connecticut	Agent	Approved	07/19/2023
	Delaware	Agent	Approved	01/03/2019
	Florida	Agent	Approved	09/03/2013
	Louisiana	Agent	Approved	01/06/2022
	Maryland	Agent	Approved	09/03/2013
	Michigan	Agent	Approved	01/03/2022
	New Jersey	Agent	Approved	09/03/2013
	New York	Agent	Approved	09/03/2013



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	08/18/2022
B	Ohio	Agent	Approved	01/02/2015
B	Oregon	Agent	Approved	03/17/2016
B	Pennsylvania	Agent	Approved	09/03/2013
B	South Carolina	Agent	Approved	09/03/2013
B	Texas	Agent	Approved	06/01/2016
B	Virginia	Agent	Approved	09/03/2013

Branch Office Locations

CETERA ADVISOR NETWORKS LLC

233 DGK LN
FACTORYVILLE, PA 18419

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	Pennsylvania	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Approved	06/29/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC

233 DGK LN
FACTORYVILLE, PA 18419



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/17/1997
 Direct Participation Programs Representative Examination (S22)	Series 22	10/28/1988
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/29/1985

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/29/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Chartered Financial Consultant

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	09/03/2013 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
IA	08/15/2007 - 09/03/2013	TOWER SQUARE SECURITIES, INC.	CRD# 833	FACTORYVILLE, PA
B	02/27/1996 - 09/03/2013	TOWER SQUARE SECURITIES, INC.	CRD# 833	FACTORYVILLE, PA
B	08/15/1994 - 02/29/1996	ADVANTAGE CAPITAL CORPORATION	CRD# 146	ATLANTA, GA
B	09/11/1987 - 08/15/1994	TRAVELERS EQUITIES SALES, INC.	CRD# 833	EL SEGUNDO, CA
B	10/30/1985 - 09/21/1987	E.I. SALES, INC.	CRD# 1703	

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
01/2023 - Present	RDDM Investments LLC	Co-Owner/Financial Professional	Y	Factoryville, PA, United States
09/2013 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, 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) INDEPENDENT INSURANCE AGENT DISABILITY, FIXED ANNUITIES, LIFE/ACCIDENT/HEALTH, LONG-TERM CARE FOR 40HRS/WK & 5 HRS EVENING & WKENDS SINCE 1986

(2) NAME OF OTHER BUSINESS: RDDM INVESTMENTS LLC ;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FINANCIAL SERVICES;
START DATE: 1/2023;
POSITION/TITLE/RELATIONSHIP: CO-OWNER/FINANCIAL PROFESSIONAL;
APX NUMBER OF HOURS PER WEEK: 40 ;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;



End of Report

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