



IAPD Report

STEPHEN FREDERICK SCHLIESSER

CRD# 1439219

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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

STEPHEN FREDERICK SCHLIESSER (CRD# 1439219)

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 **04/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE PACIFIC CENTER FOR FINANCIAL SERVICES	CRD# 104557	06/18/1999

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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 INVESTMENT ADVISERS LLC	105644	SAN RAMON, CA	06/29/2023 - 04/13/2026
B	CETERA WEALTH SERVICES, LLC	13572	SAN RAMON, CA	02/06/1996 - 04/13/2026
IA	CETERA ADVISOR NETWORKS LLC	13572	SAN RAMON, CA	02/21/2002 - 06/29/2023

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



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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **THE PACIFIC CENTER FOR FINANCIAL SERVICES**
Main Address: 2000 CROW CANYON PLACE
SUITE 430
SAN RAMON, CA 94583
Firm ID#: 104557

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	06/18/1999
IA Texas	Investment Adviser Representative	Restricted Approval	01/14/2008

Branch Office Locations

THE PACIFIC CENTER FOR FINANCIAL SERVICES
2000 CROW CANYON PLACE
SUITE 430
SAN RAMON, CA 94583



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Municipal Fund Securities Principal Examination (S51)	Series 51	03/27/2003
General Securities Principal Examination (S24)	Series 24	10/25/1988

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/18/1986

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	06/28/1989

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	06/29/2023 - 04/13/2026	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	SAN RAMON, CA
B	02/06/1996 - 04/13/2026	CETERA WEALTH SERVICES, LLC	CRD# 13572	SAN RAMON, CA
IA	02/21/2002 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	SAN RAMON, CA
B	10/30/1995 - 02/14/1996	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	06/13/1991 - 11/27/1995	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	01/09/1990 - 06/20/1991	HERRMANN SECURITIES, INC.	CRD# 17703	
B	11/15/1989 - 01/17/1990	CYPRESS CAPITAL CORPORATION	CRD# 7919	
B	04/15/1987 - 11/15/1989	HERRMANN SECURITIES, INC.	CRD# 17703	
B	08/26/1986 - 04/29/1987	PATTERSON FINANCIAL SERVICES, INC.	CRD# 10368	
B	01/22/1986 - 05/23/1986	CALVERT SECURITIES CORPORATION	CRD# 14035	

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
04/1997 - Present	THE PACIFIC CENTER FOR FINANCIAL SERVICES	PRESIDENT/CCO/IAR	Y	SAN RAMON, CA, 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. LIFE, HEALTH, LONG TERM CARE INSURANCE SALES AS COMPONENT OF INVESTMENT/ADVISORY BUSINESS;

2. NAME OF OTHER BUSINESS: 5 STAR PROPERTIES

INVESTMENT RELATED: NO

ADDRESS: SAME AS RESIDENTIAL

NATURE OF BUSINESS: PERSONAL RENTAL PROPERTIES

START DATE: 01/15/2010

POSITION/TITLE/RELATIONSHIP: CO-MANAGER

APX NUMBER OF HOURS PER WEEK: 10 +/-

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES

BRIEF DESCRIPTION OF DUTIES: CO-MANAGE WITH WIFE.

3. NAME OF OTHER BUSINESS: UMAX MORTGAGE

INVESTMENT RELATED: NO

ADDRESS: SAME AS REGISTERED

NATURE OF BUSINESS: MORTGAGES

START DATE: 11/01/2015

POSITION/TITLE/RELATIONSHIP: MORTGAGE BROKER

APX NUMBER OF HOURS PER WEEK: 1-5

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES

BRIEF DESCRIPTION OF DUTIES: 1ST & 2ND MTGS, FHA LOANS.

4. 1609 BONITA AVE. HOME OWNERS' ASSOCIATION,

NOT INVESTMENT RELATED,

1609 BONITA AVE., BERKELEY, CA 94706,

HOME OWNERS' ASSOCIATION,

START 11/2013,

1HR/WK (NON-TRADING HOURS),

CFO FOR BOARD OF DIRECTORS;

5. NAME OF OTHER BUSINESS: DBA PACIFIC CENTER FOR FINANCIAL SERVICES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: ADVISORY BUSINESS

POSITION/TITLE/RELATIONSHIP: OWNER - ADVISORY REPRESENTATIVE

START DATE: 09/02

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: CONDUCTING PORTFOLIO MANAGEMENT & FINANCIAL PLANNING

6. NAME OF OTHER BUSINESS: STEPHEN F. SCHLIESSER ;

INVESTMENT RELATED: NO ;

ADDRESS: SAME AS REGISTERED LOCATION ;

NATURE OF BUSINESS: RESIDENTIAL REAL ESTATE REFERRALS;

START DATE: 5/2022 ;

POSITION/TITLE/RELATIONSHIP: REAL ESTATE BROKER ;

APX NUMBER OF HOURS PER WEEK: 1 ;

APX NUMBER OF HOURS DURING TRADING HOURS: 1 ;

BRIEF DESCRIPTION OF DUTIES: REFERRAL RELATIONSHIP WITH AGENTS, REFER A CLIENT THAT MAY LIST THEIR



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HOME FOR SALE ;

7. NAME OF OTHER BUSINESS: COUNTRY CLUB VISTA HOA;

INVESTMENT RELATED: NO,

ADDRESS: 60 MAYHEW WAY WALNUT CREEK, CA 94597;

NATURE OF BUSINESS: HOMEOWNERS ASSOCIATION;

START DATE: 08/2024;

POSITION/TITLE/RELATIONSHIP: TREASURER;

APX NUMBER OF HOURS PER WEEK: 1;

APX NUMBER OF HOURS DURING TRADING HOURS: 0;

BRIEF DESCRIPTION OF DUTIES: REVIEW FINANCIAL STATEMENTS, ASSIST IN COMPILING BUDGET;



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

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

Reporting Source: Regulator

Regulatory Action Initiated By: CA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/05/1999

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: FAILED TO PAY RENEWAL FEE

Current Status: Final

Resolution: Order

Resolution Date: 03/05/1999

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: INVESTMENT ADVISER CERTIFICATE SUMMARILY REVOKED FOR NON-PAYMENT OF RENEWAL FEE.

Regulator Statement CONTACT: MARILYN STEVENS (916) 327-0308



Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF CALIFORNIA- DEPARTMENT OF CORPORATIONS
Sanction(s) Sought:	Revocation
Date Initiated:	03/05/1999
Docket/Case Number:	925-1867
Employing firm when activity occurred which led to the regulatory action:	STEPHEN F. SCHLIESSER, SOLE PROPRIETOR
Product Type:	No Product
Allegations:	NON PAYMENT OF \$125.00 ANNUAL RENEWAL FEE
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	03/05/1999
Sanctions Ordered:	Revocation
Broker Statement	THIS PROCEEDING RESULTED FROM THE CHANGE IN REGISTRATION AS AN INVESTMENT ADVISOR. PREVIOUSLY THE REGISTRATION WAS HELD AS STEPHEN F. SCHLIESSER, SOLE PROPRIETOR. A REGISTRATION FOR THE PACIFIC CENTER FOR FINANCIAL SERVICES, A CALIFORNIA CORPORATION WAS FILED. THE RENEWAL FEE FOR THE SOLE PROPRIETORSHIP WAS NOT PAID AND THE REGISTRATION WITHDRAWAL WAS NOT FILED. CALIFORNIA ISSUED A REVOCATION FOR THE SOLE PROPRIETORSHIP. THE PACIFIC CENTER FOR FINANCIAL SERVICES IS CURRENTLY REGISTERED WITH THE SEC AND NOTICE FILED WITH THE STATE OF CALIFORNIA.



End of Report

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