



## IAPD Report

# JOSE ANTONIO LOPEZ

CRD# 1474666

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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

### JOSE ANTONIO LOPEZ (CRD# 1474666)

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 **05/29/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	10/19/2009
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/15/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	WOODRIDGE, IL	11/12/2009 - 06/29/2023
<b>B</b>	WRP INVESTMENTS, INC.	7365	DARIEN, IL	10/22/2008 - 10/20/2009
<b>B</b>	OBERWEIS SECURITIES, INC.	42060	DARIEN, IL	12/03/2001 - 10/22/2008

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 **19** 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>B</b>	FINRA	General Securities Principal	Approved	10/19/2009
<b>B</b>	FINRA	General Securities Representative	Approved	10/19/2009
<b>B</b>	Alabama	Agent	Approved	05/29/2026
<b>B</b>	California	Agent	Approved	11/21/2016
<b>B</b>	Colorado	Agent	Approved	12/03/2024
<b>B</b>	Florida	Agent	Approved	06/30/2017
<b>B</b>	Georgia	Agent	Approved	01/04/2022
<b>B</b>	Hawaii	Agent	Approved	09/10/2025
<b>B</b>	Illinois	Agent	Approved	10/19/2009
<b>B</b>	Louisiana	Agent	Approved	07/26/2024
<b>B</b>	Massachusetts	Agent	Approved	10/20/2009
<b>B</b>	Michigan	Agent	Approved	01/04/2023
<b>B</b>	Minnesota	Agent	Approved	03/03/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New Jersey	Agent	Approved	03/25/2019
<b>B</b> New Mexico	Agent	Approved	07/10/2017
<b>B</b> New York	Agent	Approved	04/18/2021
<b>B</b> Oklahoma	Agent	Approved	01/02/2025
<b>B</b> Pennsylvania	Agent	Approved	01/22/2016
<b>B</b> Texas	Agent	Approved	01/04/2022
<b>B</b> Virginia	Agent	Approved	01/04/2023
<b>B</b> Washington	Agent	Approved	11/13/2009

### Branch Office Locations

#### CETERA ADVISOR NETWORKS LLC

1200 HARGER ROAD  
SUITE 711  
OAK BROOK, IL 60523

### 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
<b>IA</b> Illinois	Investment Adviser Representative	Approved	03/17/2023
<b>IA</b> Texas	Investment Adviser Representative	Approved	03/15/2023

### Branch Office Locations

#### CETERA INVESTMENT ADVISERS LLC

1200 HARGER ROAD  
SUITE 711



## Qualifications

OAK BROOK, IL 60523




## 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, 3 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/11/1998

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	05/01/1990
 General Securities Representative Examination (S7)	Series 7	03/15/1986

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/12/1995
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/23/1986

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## 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	11/12/2009 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	WOODRIDGE, IL
B	10/22/2008 - 10/20/2009	WRP INVESTMENTS, INC.	CRD# 7365	DARIEN, IL
B	12/03/2001 - 10/22/2008	OBERWEIS SECURITIES, INC.	CRD# 42060	DARIEN, IL
B	07/02/1998 - 11/30/2001	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	03/28/1998 - 06/16/1998	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	CEDAR RAPIDS, IA
B	09/26/1996 - 03/28/1998	ADM SECURITIES, INC.	CRD# 31973	CHICAGO, IL
B	04/12/1995 - 10/01/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	01/03/1991 - 03/30/1995	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	01/03/1991 - 03/30/1995	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	04/25/1990 - 07/03/1990	KETTLER & COMPANY	CRD# 10530	CHICAGO, IL
B	03/10/1987 - 12/21/1988	GRAYSTONE NASH, INC.	CRD# 10635	
B	01/02/1987 - 03/06/1987	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	
B	03/19/1986 - 01/02/1987	MICHELIN AND COMPANY, INC.	CRD# 14447	

### 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
03/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHUMBURG, IL, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2013 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REP/IAR	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. FIXED INSURANCE - LIFE, HEALTH, DISABILITY, ANNUITIES, LONG-TERM CARE.
2. NAME OF OTHER BUSINESS: LOPEZ FINANCIAL ADVISORS  
 INVESTMENT RELATED: YES  
 ADDRESS: SAME AS REGISTERED LOCATION  
 NATURE OF BUSINESS: FINANCIAL SERVICES  
 START DATE: 01/2019  
 POSITION/TITLE/RELATIONSHIP: REGISTERED REPRESENTATIVE  
 APX NUMBER OF HOURS PER WEEK: 40  
 APX NUMBER OF HOURS DURING TRADING HOURS: 32.5  
 BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES ;
3. NAME OF OTHER BUSINESS: FBI-CHICAGO CITIZENS ACADEMY ALUMNI ASSOC.; INVESTMENT RELATED: NO  
 ADDRESS: 2111 W. ROOSEVELT RD, CHICAGO IL 60608 ; NATURE OF BUSINESS: NON-PROFIT ; START DATE: 12/2022;  
 POSITION/TITLE/RELATIONSHIP: PRESIDENT ; APX NUMBER OF HOURS PER WEEK: 1 ; APX NUMBER OF HOURS DURING TRADING HOURS: 1 ; BRIEF DESCRIPTION OF DUTIES: PROVIDE LEADERSHIP AND GUIDANCE TO CARRY OUT STATED MISSION;
4. NAME OF OTHER BUSINESS: VARIOUS MORTGAGE LENDERS ;  
 INVESTMENT RELATED: NO ;  
 ADDRESS: SAME AS REGISTERED LOCATION ;  
 NATURE OF BUSINESS: MORTGAGE LENDING ;  
 START DATE: 08/2019 ;  
 POSITION/TITLE/RELATIONSHIP: CLIENT ASSISTANT ;  
 APX NUMBER OF HOURS PER WEEK: LESS THAN 1 ;  
 APX NUMBER OF HOURS DURING TRADING HOURS: LESS THAN 1 ;  
 BRIEF DESCRIPTION OF DUTIES: VALUE ADDED SERVICE PROVIDED TO CLIENTS ;
5. NAME OF OTHER BUSINESS: ROOTS AND WINGS - ALAS Y RAICES;  
 INVESTMENT RELATED: NO;  
 ADDRESS: 302 GREEN ST, BENSENVILLE, IL 60101;  
 NATURE OF BUSINESS: BOARD OF DIRECTORS;  
 START DATE: 09/2022;  
 POSITION/TITLE/RELATIONSHIP: BOARD MEMBER;  
 APX NUMBER OF HOURS PER WEEK: 1-2;  
 APX NUMBER OF HOURS DURING TRADING HOURS: 1-2;  
 BRIEF DESCRIPTION OF DUTIES: BOARD MEMBER WITH VOTING RIGHTS. SET DIRECTION AND CARRY OUT DUTIES IN ORDER TO FULFILL THE MISSION OF THE ORGANIZATION WHICH OFFERS PROGRAMS & SERVICES TO UNDOCUMENTED FOREIGN INDIVIDUALS;



## 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:** Individual

**Employing firm when activities occurred which led to the complaint:** OBERWEIS SECURITIES, INC.

**Allegations:** CLIENT HAD MONEY SITTING IN A MONEY MARKET ACCOUNT.CLIENT WAS NOT PLEASED WITH THE RATE OF RETURN SHE WAS EARNING IN THE MONEY MARKET & EXPRESSED THAT ON VARIOUS OCCASSIONS. REP RECOMMENDED TO HER 2 DIFFERENT DIVIDEND PAYING INVESTMENTS. ONE WAS A PREFERRED SECURITY BY THE ROYAL BANK OF SCOTLAND, WHICH WAS PAYING ROUGHLY 7.5% QUARTERLY DIVIDEND. THE 2ND INVESTMENT WAS STAR GAS PARTNERS PAYING ROUGHLY 10% QUARTERLY DIVIDEND. REP FULLY EXPLAINED THE RISKS AND REWARDS OF EACH INVESTMENT. REP LEFT THE DECISION UP TO THE CLIENT. CLIENT CHOSE STAR GAS PARTNERS. ON 09/30/04, CLIENT PURCHASED 1150 SHARES OF STAR GAS PARTNERS LP SBI @22.05. THE COMPANY CAME OUT WITH VERY DETRIMENTAL AND MATERIAL FACTS THAT THEY WERE WITHOLDING FROM THE MARKET PLACE ON 10/18/04 CAUSING THE VALUE TO RAPIDLY DECLINE. STOCK OPENED AT \$18.70 ON 10/18/04 & CLOSED AT \$4.32 10/18/04. SUBSEQUENTLY, THE DOLLAR AMOUNT OF THE DISPUTE DEPENDS ON WHAT THE PRICE OF STAR GAS PARTNERS IS. THE AMOUNT RANGES BETWEEN \$0.00-\$18,000.00. LASTLY, THE S.E.C. HAS OPENED AN INFORMAL INQUERY INTO THE COMAPANY AND THE CEO WAS RECENTLY FORCED TO RESIGN.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$20,657.00

### Customer Complaint Information



<b>Date Complaint Received:</b>	10/28/2004
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	08/13/2007
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	FINRA ARBITRATION # 07-02279
<b>Date Notice/Process Served:</b>	08/13/2007
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	10/05/2007
<b>Monetary Compensation Amount:</b>	\$6,000.00
<b>Individual Contribution Amount:</b>	\$6,000.00
<b>Broker Statement</b>	ARBITRATION WAS SETTLED FOR \$6000.



## End of Report

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