



## IAPD Report

# ROSS ROBERT PAKE

CRD# 1482819

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**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.



## **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

### ROSS ROBERT PAKE (CRD# 1482819)

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 **03/22/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA ADVISORS LLC	CRD# 10299	06/22/2015
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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 ADVISORS LLC	10299	IRVINE, CA	06/23/2015 - 03/21/2024
<b>B</b>	LPL FINANCIAL LLC	6413	TUSTIN, CA	10/08/1996 - 06/23/2015
<b>IA</b>	LPL FINANCIAL LLC	6413	TUSTIN, CA	10/08/1996 - 06/23/2015

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 **22** 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
	California	Investment Adviser Representative	Approved	03/21/2024
	Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

#### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
1432 EDINGER AVE #200  
TUSTIN, CA 92780

#### Employment 2 of 2

Firm Name: **CETERA ADVISORS LLC**  
Main Address: 5299 DTC BLVD #800  
GREENWOOD VILLAGE, CO 80111  
Firm ID#: 10299

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	06/22/2015
	FINRA	General Securities Representative	Approved	06/22/2015
	Alabama	Agent	Approved	02/07/2018
	Arizona	Agent	Approved	08/14/2015
	California	Agent	Approved	06/23/2015



## Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	08/08/2019
B	Florida	Agent	Approved	04/26/2016
B	Hawaii	Agent	Approved	08/17/2015
B	Idaho	Agent	Approved	08/20/2015
B	Illinois	Agent	Approved	06/23/2015
B	Maryland	Agent	Approved	11/23/2015
B	Michigan	Agent	Approved	07/23/2015
B	Missouri	Agent	Approved	09/09/2015
B	Montana	Agent	Approved	10/20/2020
B	Nevada	Agent	Approved	08/14/2015
B	North Carolina	Agent	Approved	10/09/2020
B	Ohio	Agent	Approved	06/23/2015
B	Oregon	Agent	Approved	02/17/2021
B	Pennsylvania	Agent	Approved	06/23/2015
B	Tennessee	Agent	Approved	03/15/2018
B	Texas	Agent	Approved	11/26/2018
B	Utah	Agent	Approved	03/31/2022
B	Virginia	Agent	Approved	12/12/2018
B	Washington	Agent	Approved	07/30/2015



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

CETERA ADVISORS LLC  
1432 EDINGER AVE #200  
TUSTIN, CA 92780



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/21/1989

#### 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	04/19/1986

#### State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/17/1986



### 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	06/23/2015 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	IRVINE, CA
B	10/08/1996 - 06/23/2015	LPL FINANCIAL LLC	CRD# 6413	TUSTIN, CA
IA	10/08/1996 - 06/23/2015	LPL FINANCIAL LLC	CRD# 6413	TUSTIN, CA
B	09/05/1990 - 10/21/1996	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	JERSEY CITY, NJ
B	05/16/1990 - 08/24/1990	FOR SIGHT CAPITAL MANAGEMENT INC.	CRD# 15458	CLEARWATER, FL
B	02/13/1989 - 05/08/1990	RESOURCE MANAGEMENT ASSOCIATES, GSI	CRD# 20461	
B	04/23/1986 - 01/26/1989	MCG PORTFOLIO MANAGEMENT CORP.	CRD# 7070	

### 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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2015 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
10/1996 - 06/2015	LPL FINANCIAL, LLC	FINANCIAL ADVISOR	Y	TUSTIN, 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 WITH VARIOUS COMPANIES; INVESTMENT RELATED; ADDRESS IS THE REGISTERED LOCATION; FIXED INSURANCE; START 6/2015; LESS THAN 1 HOUR/WEEK; VARIES DURING TRADING AND NON-TRADING HOURS; INSURANCE AGENT; SELLS LIFE, HEALTH, ANNUITIES, AND LONG-TERM CARE.
- 2.DBA LEGACY WEALTH MANAGEMENT; INVESTMENT RELATED; ADDRESS IS THE REGISTERED LOCATION; DBA FOR FINANCIAL AND INSURANCE SERVICES; START 1/2002; 40 HOURS/WEEK DURING SECURITIES TRADING HOURS;





## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

OWNER/FINANCIAL ADVISOR.

3. LEGACY WEALTH PLANNING, INC, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, S CORP, STARTED 2008, OWNER

LESS THAN ONE HOUR PER WEEK, NOT DURING TRADING HOURS

BRIEF DESCRIPTION OF DUTIES: FOR BUSINESS EXPENSES AND TAXES.



## End of Report

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