



IAPD Report

THOMAS MICHAEL BAUMGARTNER

CRD# 15181

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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

THOMAS MICHAEL BAUMGARTNER (CRD# 15181)

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	11/04/1996
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	SAINT PAUL, MN	01/08/2014 - 06/29/2023
B	JOHN HANCOCK DISTRIBUTORS, INC.	468	BOSTON, MA	03/07/1996 - 11/14/1996
B	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	5181	BOSTON, MA	03/07/1996 - 11/14/1996

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	2



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 5 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	FINRA	General Securities Representative	Approved	11/04/1996
B	California	Agent	Approved	11/04/1996
B	Florida	Agent	Approved	01/07/2025
B	Maine	Agent	Approved	02/23/2000
B	Minnesota	Agent	Approved	11/18/1996
B	Wisconsin	Agent	Approved	01/03/2024

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
ST. PAUL, MN

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	Minnesota	Investment Adviser Representative	Approved	06/29/2023



Qualifications

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
ST. PAUL, MN



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, 3 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
B General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Registered Representative Examination (S1)	Series 1	02/07/1974

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/19/1996



PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	01/08/2014 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	SAINT PAUL, MN
B	03/07/1996 - 11/14/1996	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	03/07/1996 - 11/14/1996	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	12/09/1994 - 02/29/1996	SUN INVESTMENT SERVICES COMPANY	CRD# 5496	WELLESLEY HILLS, MA
B	02/14/1974 - 11/22/1994	PHILADELPHIA LIFE ASSET PLANNING COMPANY	CRD# 629	CARMEL, IN

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
05/1979 - Present	SELF	OTHER - STAND UP COMEDIAN & PRODUCER O	N	ST PAUL, MN, United States
05/1974 - Present	SELF ACTOR	OTHER - ACTOR MEMBER AFTRA (1978) SAG	N	MONTICELLO, MN, United States
01/1973 - Present	SELF-EMPLOYED LIFE INSURANCE SALES	OTHER - SALESMAN	N	ST. PAUL, MN, 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 AND ANNUITIES.
2. TOM BAUMGARTNER AGENCY, OWNER, FOR INSURANCE AGENCY SALES, SAINT PAUL, MN.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3. CHOICE FINANCIAL GROUP, GRAFTON, ND - ONLINE BANKING REFERAL OF PERSONS AND ENTITIES, 1 HOUR PER WEEK.

4. DBA - TOM BAUMGARTNER, COMEDY, ONE HOUR PER WEEK.



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	2

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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	FLORIDA DEPT. OF INSURANCE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/30/1997
Docket/Case Number:	21574-97-A
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	FLORIDA DEPT. OF INSURANCE LICENSING ISSUE: ADMINISTRATIVE PROCEDURE TO GET STATE INSURANCE APPROVAL.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	12/30/1997
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	SIGN SETTLEMENT STIPULATION ORDER AND 12 MONTH PROBATION TO CONDUCT INSURANCE BUSINESS IN FLORIDA.
Broker Statement	Not Provided

**Disclosure 2 of 2**

Reporting Source: Individual

Regulatory Action Initiated By: MINNESOTA DEPARTMENT OF COMMERCE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/15/1993

Docket/Case Number:

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

Product Type:

Other Product Type(s):

Allegations: THE WRITING OF 66 UNAPPROVED LIFE INSURANCE POLICES THROUGH AN UNLISTED COMPANY TO MINNESOTA RESIDENTS

Current Status: Final

Resolution: Decision

Resolution Date: 09/15/1993

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: LICENSE TO SELL LIFE INSURANCE SUSPENDED FOR TWELVE MONTHS WITH EIGHT MONTHS STAYED. NO FINE

Broker Statement I HAD MOVED TO CALIFORNIA AND MY MINNESOTA CLIENTS WANTED ME TO CONTINUE SERVING THEIR ACCOUNTS. MINNESOTA RESIDENTS WERE EXISTING CLIENTS AND RELATIVES OF THESE CLIENTS IE CHILDRE. BUSINESS WAS PRIMATILY 1,035 EXCHANGE INTO BETTER PERFORMING PRODUCTS OR LOWER TERM INSURANCE RATES. THE INSURNACE COMPANY WAS LICENSES IN CA AND IN THE PROCESS OF APPLUING FOR ADMITTANCE INTO MINNESOTA. I WAS LED TO BELIEVE THAT APPROVAL WAS IMMINENT



End of Report

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