



IAPD Report

ALI KAZEMI

CRD# 1546765

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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

ALI KAZEMI (CRD# 1546765)

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 **09/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	AVANTAX ADVISORY SERVICES	104556	Piedmont, CA	07/10/2024 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Piedmont, CA	07/09/2024 - 09/05/2025
IA	LPL FINANCIAL LLC	6413	PIEDMONT, CA	04/29/2021 - 07/17/2024

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	2
Termination	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 **8** 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 Principal	Approved	09/05/2025
B FINRA	General Securities Representative	Approved	09/05/2025
B FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025
B Arizona	Agent	Approved	09/05/2025
B California	Agent	Approved	09/05/2025
B Colorado	Agent	Approved	09/05/2025
B Florida	Agent	Approved	09/05/2025
B Maryland	Agent	Approved	09/05/2025
B New Mexico	Agent	Approved	09/05/2025
B Pennsylvania	Agent	Approved	09/19/2025
B Texas	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
Piedmont, CA

Employment 2 of 2



Qualifications

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	California	Investment Adviser Representative	Approved	09/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
PIEDMONT, CA




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	12/18/2009

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/01/1993
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/07/1987

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	11/18/1998
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1992

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	07/10/2024 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Piedmont, CA
B	07/09/2024 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Piedmont, CA
IA	04/29/2021 - 07/17/2024	LPL FINANCIAL LLC	CRD# 6413	PIEDMONT, CA
B	04/28/2021 - 07/17/2024	LPL FINANCIAL LLC	CRD# 6413	PIEDMONT, CA
B	06/13/2018 - 04/29/2021	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SAN FRANCISCO, CA
IA	06/13/2018 - 04/29/2021	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SAN FRANCISCO, CA
B	07/23/2009 - 06/14/2018	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	SAN FRANCISCO, CA
IA	07/23/2009 - 06/14/2018	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	SAN FRANCISCO, CA
IA	10/11/2000 - 07/30/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PINOLE, CA
B	09/13/2000 - 07/30/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PINOLE, CA
B	06/25/1999 - 11/30/1999	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	08/20/1998 - 08/23/1999	WELLS FARGO SECURITIES INC.	CRD# 17438	SAN FRANCISCO, CA
B	05/13/1994 - 08/21/1998	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	06/07/1993 - 08/18/1994	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	06/07/1993 - 08/18/1994	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	09/12/1992 - 05/14/1993	MARKETING ONE SECURITIES, INC.	CRD# 16611	PORTLAND, OR



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/07/1991 - 10/09/1992	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA
B	12/09/1987 - 05/10/1991	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Piedmont, CA, United States
03/2022 - Present	In-Home Supportive Services	Associate	Y	Oakland, CA, United States
03/2022 - Present	In-Home Supportive Services	Associate	Y	Oakland, CA, United States
03/2022 - Present	In-Home Supportive Services	Associate	Y	Oakland, CA, United States
07/2010 - Present	Kazemi Family Trust	Trustee	Y	Piedmont, CA, United States
07/2010 - Present	Kazemi Family Trust	Trustee	Y	Piedmont, CA, United States
08/2009 - Present	Kian Financial Services, Inc.	Chief Executive officer	Y	SACRAMENTO, CA, United States
08/2009 - Present	Kian Financial Services, Inc.	Chief Executive officer	Y	SACRAMENTO, CA, United States
07/2024 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Piedmont, CA, United States
07/2024 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Piedmont, CA, United States
07/2024 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Piedmont, CA, United States
06/2024 - 09/2025	Avantax Insurance Agency and/or Avantax Insurance Services	Insurance agent	Y	Piedmont, CA, United States
06/2024 - 09/2025	Avantax Insurance Agency and/or Avantax Insurance Services	Insurance agent	Y	Piedmont, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2021 - 06/2024	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Piedmont, CA, United States
06/2018 - 04/2021	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	SAN FRANCISCO, CA, United States
07/2009 - 06/2018	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	PIEDMONT, 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) KAZEMI FAMILY TRUST

POSITION: Trustee NATURE: This is our Family Revocable Trust that controls our family home and bank accounts.

INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/14/2010

ADDRESS: 190- Estates Drive, Piedmont, CA 94611, United States

DESCRIPTION: This trust is set up purely for our children, as beneficiaries. My wife and I are the sole trustees. I have no duties in relation to our family trust.

2) KIAN FINANCIAL SERVICES, INC.

POSITION: Chief Executive Officer NATURE: I will move over only commissions needed to pay office expenses from doing Avantax business and taxes to this entity, Kian Financial Services, Inc. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 08/24/2009

ADDRESS: 3610 AMERICAN RIVER DR, SUITE 120, SACRAMENTO, CA 95864, United States

DESCRIPTION: pay Avantax business expenses, pay rent, pay licensing and technology fees, pay registration fees, pay any advertising or marketing expenses, and pay taxes

3) IN-HOME SUPPORTIVE SERVICES

POSITION: Associate NATURE: The In-Home Supportive Services (IHSS) program provides in-home assistance to eligible aged, blind, and disabled individuals as an alternative to out-of-home care and enables recipients to remain safely in their own homes.?

INVESTMENT RELATED: No NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 0 START DATE: 03/15/2022

ADDRESS: 6955 Foothill Blvd #100 Oakland, CA 94605 (510) 263-2420, Oakland, CA 94605, United States

DESCRIPTION: Personal care services like dressing, bathing, feeding, and toileting. Paramedical services like helping with injections, wound care, colostomy, and catheter care under the direction of a licensed medical professional. House cleaning, Cooking, Shopping, Laundry, Accompaniment to and from medical appointments.

4) SENTINEL FINANCIAL GROUP

POSITION: owner. NATURE: I will offer financial planning, investment planning, retirement planning, and tax planning services under this DBA name. INVESTMENT RELATED: Yes NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 100 START DATE: 07/15/2024

ADDRESS: 190 Estates Drive, Piedmont, CA 94611, United States

DESCRIPTION: I will meet with clients, review investment performance, and update their financial suitability and financial goals.



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	2
Termination	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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITICORP INVESTMENT SERVICES

Allegations: THE CLIENT ALLEGES THAT SHE NEVER AUTHORIZED MR. KAZEMI TO LIQUIDATE HER PFL FIXED ANNUITY AND USE THE PROCEEDS TO PURCHASE A NATIONWIDE VARIABLE ANNUITY CONTACT IN NOVEMBER 1995. THE CLIENT DISPUTES THE AUTHENTICITY OF THE APPLICATION THAT MR. KAZEMI FILED ON HER BEHALF.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$6,717.00

Customer Complaint Information

Date Complaint Received: 09/12/2000

Complaint Pending? No

Status: Settled

Status Date: 07/29/2002

Settlement Amount: \$6,717.00

Individual Contribution Amount: \$0.00

Firm Statement CLAIM SETTLED TO AVOID THE COSTS AND RISKS ASSOCIATED WITH LITIGATION.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITICORP INVESTMENT SERVICES

Allegations: THE CLIENT ALLEGES THAT SHE NEVER AUTHORIZED MR. KAZEMI TO LIQUIDATE HER PFL FIXED ANNUITY AND USE THE PROCEEDS TO PURCHASE A NATIONWIDE VARIABLE ANNUITY CONTACT IN NOVEMBER 1995. THE CLIENT DISPUTES THE AUTHENTICITY OF THE APPLICATION THAT MR. KAZEMI FILED ON HER BEHALF.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$6,717.00

Customer Complaint Information

Date Complaint Received: 09/12/2000

Complaint Pending? No

Status: Settled

Status Date: 07/29/2002

Settlement Amount: \$6,717.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITICORP INVESTMENT SERVICES

Allegations: CLIENT ALLEGED THAT AFTER SHE PURCHASED HER VARIABLE ANNUITY SHE WAS INFORMED FOR THE FIRST TIME THAT THE TERM OF THIS ANNUITY WAS SEVEN YEARS AND THERE WOULD BE A \$14,000 PENALTY FOR EARLY WITHDRAWAL OF THE FULL AMOUNT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$12,600.00

Customer Complaint Information

Date Complaint Received: 08/11/2000

Complaint Pending? No

Status: Denied

Status Date: 10/19/2000

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: CITICORP INVESTMENT SERVICES

Allegations: CLIENT ALLEGED THAT AFTER SHE PURCHASED HER VARIABLE ANNUITY SHE WAS INFORMED FOR THE FIRST TIME THAT THE TERM OF THIS ANNUITY WAS SEVEN YEARS AND THERE WOULD BE A \$14,000.00 PENALTY FOR EARLY WITHDRAWAL OF THE FULL AMOUNT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$12,600.00

Customer Complaint Information

Date Complaint Received: 08/11/2000

Complaint Pending? No

Status: Denied

Status Date: 10/19/2000

Settlement Amount:

Individual Contribution Amount:



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	CITICORP INVESTMENT SERVICES
Termination Type:	Discharged
Termination Date:	11/01/1999
Allegations:	FAILURE TO FOLLOW COMPANY POLICY
Product Type:	Annuity(ies) - Variable
Other Product Types:	



End of Report

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