IAPD Report

ROBERT MAURY EASTMANN

CRD# 1594289

Section Title / Page(s)

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

ROBERT MAURY EASTMANN (CRD# 1594289)

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 **05/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	05/04/2012
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	02/15/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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 ADVISORS LLC	10299	GREENWOOD VILLAGE, IL	05/18/2012 - 03/21/2024
IA	LPL FINANCIAL LLC	6413	BOCA RATON, FL	05/10/2007 - 06/04/2012
B	LPL FINANCIAL LLC	6413	BOCA RATON, FL	05/08/2007 - 06/04/2012

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

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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 **17** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**

Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111

Firm ID#: 10299

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/04/2012
B	FINRA	General Securities Representative	Approved	05/04/2012
B	FINRA	Invest. Co and Variable Contracts	Approved	05/04/2012
B	California	Agent	Approved	05/04/2012
B	Colorado	Agent	Approved	09/02/2025
B	Florida	Agent	Approved	05/18/2012
B	Georgia	Agent	Approved	05/29/2012
B	Illinois	Agent	Approved	05/04/2012
B	Indiana	Agent	Approved	06/05/2012
B	Kansas	Agent	Approved	01/16/2025
B	Massachusetts	Agent	Approved	05/22/2026
B	New Jersey	Agent	Approved	05/04/2012
B	New York	Agent	Approved	05/04/2012

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Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	05/04/2012
B	Oregon	Agent	Approved	05/04/2012
B	Pennsylvania	Agent	Approved	06/11/2025
B	South Carolina	Agent	Approved	06/07/2019
B	South Dakota	Agent	Approved	04/29/2014
B	Texas	Agent	Approved	05/04/2012
B	Virginia	Agent	Approved	04/20/2016

Branch Office Locations

CETERA ADVISORS LLC
5550 GLADES RD STE 500
BOCA RATON, FL 33431

CETERA ADVISORS LLC
RALEIGH, NC

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	Florida	Investment Adviser Representative	Approved	02/15/2024
IA	North Carolina	Investment Adviser Representative	Approved	08/26/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
5550 GLADES RD STE 500
BOCA RATON, FL 33431

CETERA INVESTMENT ADVISERS LLC
RALEIGH, NC

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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
B	General Securities Principal Examination (S24)	Series 24	07/05/2007

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	11/18/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/04/1994

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/10/2000
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/06/1995

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	05/18/2012 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
IA	05/10/2007 - 06/04/2012	LPL FINANCIAL LLC	CRD# 6413	BOCA RATON, FL
B	05/08/2007 - 06/04/2012	LPL FINANCIAL LLC	CRD# 6413	BOCA RATON, FL
B	07/13/2000 - 05/15/2007	NEW ENGLAND SECURITIES	CRD# 615	BOCA RATON, FL
IA	07/13/2000 - 05/15/2007	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	BOCA RATON, FL
B	01/03/1995 - 07/17/2000	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY
B	11/07/1994 - 11/23/1994	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
11/2025 - Present	NEUSE CHRISTIAN ACADEMY	Girls Basketball Coach	N	Raleigh, NC, United States
01/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2013 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, 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) E & B WEALTH MANAGEMENT INC AND EASTMANN FINANCIAL GROUP, SAME AS OFFICE ADDRESS, DBA FOR FINANCIAL SERVICES AND FIXED INSURANCE

(2) NAME OF OTHER BUSINESS: N.R. LADY VIPERS
INVESTMENT RELATED: NO
ADDRESS: 5517 BROOK EDGE DR. RALEIGH NC 27613
BUSINESS: GIRLS AAU BASKETBALL TEAM

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

START DATE: 9/2017
APX NUMBER OF HOURS PER WEEK: 10
APX NUMBER OF HOURS DURING TRADING HOURS: 10
POSITION/TITLE/RELATIONSHIP: COACH
BRIEF DESCRIPTION OF DUTIES: TRAIN GIRLS AND PREPARE FOR TOURNAMENTS

(3) NAME OF OTHER BUSINESS: NEUSE CHRISTIAN ACADEMY;
INVESTMENT RELATED: NO;
ADDRESS: 7600 FALLS OF NEUSE RALEIGH, NC 27615
NATURE OF BUSINESS: BASKETBALL COACHING;
START DATE: 11/2025;
POSITION/TITLE/RELATIONSHIP: GIRLS BASKETBALL COACH;
APX NUMBER OF HOURS PER WEEK: 10;
APX NUMBER OF HOURS DURING TRADING HOURS: 10;
BRIEF DESCRIPTION OF DUTIES: TEACH AND TRAIN YOUNG LADIES TO PLAY BASKETBALL;

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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.

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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:	LPL FINANCIAL LLC
Allegations:	CUSTOMER ALLEGES FORGED SIGNATURE ON VARIABLE ANNUITY DISCLOSURE FORM.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN $5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/08/2012
Complaint Pending?	No
Status:	Denied
Status Date:	04/13/2012

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Settlement Amount:

Individual Contribution Amount:

Firm Statement CLIENT HAS MADE THIS ALLEGATION WITHOUT BASIS AND IN AN ATTEMPT TO HARM MY REPUTATION AFTER I TERMINATED HIS RELATIONSHIP AS A CLIENT. THE ALLEGATION IS ENTIRELY FALSE AND DOCUMENTATION HAS BEEN PROVIDED TO SHOW THE CLAIM IS WITHOUT MERIT IN ANY MANNER WHATSOEVER.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	CUSTOMER ALLEGES FORGED SIGNATURE ON VARIABLE ANNUITY DISCLOSURE FORM.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN $5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/08/2012
Complaint Pending?	No
Status:	Denied
Status Date:	04/13/2012
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT HAS MADE THIS ALLEGATION WITHOUT BASIS AND IN ATTEMPT TO HARM MY REPUTATION AFTER I TERMINATED HIS RELATIONSHIP AS A CLIENT. THE ALLEGATION IS ENTIRELY FALSE AND DOCUMENTATION HAS BEEN PROVIDED TO SHOW THE CLAIM IS WITHOUT MERIT IN ANY MANNER WHATSOEVER.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES INC.
Allegations:	WITH REGARD TO A VARIABLE ANNUITY PURCHASED BY THE CUSTOMER

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	IN DECEMBER 1997, THE CUSTOMER ALLEGES MR. EASTMANN INDICATED THE VARIABLE ANNUITY WAS A "LIQUID" INVESTMENT. THE CUSTOMER FURTHER STATES MR. EASTMANN "NEVER SAID OR EXPLAINED THAT THE MONEY WAS TIED UP FOR 5 YEARS. HAD (HE) KNOWN THAT (HE) WOULD NEVER HAD TIED (HIS) MONEY UP."
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$42,528.85

Customer Complaint Information

Date Complaint Received:	07/27/2000
Complaint Pending?	No
Status:	Settled
Status Date:	07/28/2000
Settlement Amount:	$2,713.45
Individual Contribution Amount:	$0.00
Firm Statement	UPON REVIEW OF POLICY RECORDS AND DATA, NEW YORK LIFE OFFERED TO ALLOW THE CUSTOMER TO SURRENDER THE VARIABLE ANNUITY WITHOUT INCURRING ANY SURRENDER CHARGES. THE CUSTOMER ACCEPTED THE OFFER AND WAS ISSUED A CHECK FOR $42064.33 REPRESENTING THE ACCUMULATED VALUE OF THE VARIABLE ANNUITY AT THE TIME OF THE SETTLEMENT OF THE CLAIM. THE SURRENDER CHARGES WAIVED BY THE COMPANY AMOUNTED TO $2,713.45.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES, INC.
Allegations:	IN REGARDS TO A VARIABLE ANNUITY THAT WAS SOLD TO THE CUSTOMER BY MYSELF AND ANOTHER AGENT (JOINTLY) IT WAS ALLEGED BY THE CUSTOMER THAT HE WAS NOT AWARE THE SURRENDER CHARGE WOULD BE AS LONG AS IT WAS. HIS FILE WAS WELL DOCUMENTED WITH PROOF HE DID KNOW THIS BUT THE COMPANY FELT BEST TO RELEASE HIM FROM THE CONTRACT. IMMEDIATELY UPON HIS FIRST NOTICE TO NYLIFE WE PROVIDED COPIES OF ALL THIS DOCUMENTATION INCLUDING CALL LOGS, POLICY RECEIPTS,OTHER DOCUMENTS AND A LETTER OF EXPLANATION VIA CERTIFIED MAIL ON JULY 31, 2000. (4 DAYS LATER) BY THE TIME THE RESPONSE TO THE ALLEGATIONS WAS RECEIVED (WHICH WAS SIGNED BY BOTH AGENTS ATTESTING TO THE CLIENTS KNOWLEDGE OF THE SURRENDER CHARGE) NYLIFE HAD ALREADY DEEMED IT BEST TO RELEASE THE CLIENT FROM THE CONTRACT PROVISIONS WITHOUT OUR INFORMATION FOR REFERENCE.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$2,713.45

Customer Complaint Information

Date Complaint Received:	07/27/2000
Complaint Pending?	No
Status:	Settled

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Status Date:	07/28/2000
Settlement Amount:	$2,713.45
Individual Contribution Amount:	$0.00
Broker Statement	THE CUSTOMER'S REQUEST TO NYLIFE WAS TO WAIVE THE SURRENDER CHARGES (ONLY $2713.45) NOT THE AMOUNT THEY LISTED AS SETTLEMENT AMOUNT SINCE UNDER THE TERMS OF THE POLICY HE HAD ACCESS TO THE REST OF HIS MONEY LESS THE SURRENDER CHARGE REFERENCED ABOVE. THIS AMOUNT OF TRUE SETTLEMENT WAS VERIFIED BY NYLIFE IN THE AMENDED U-5 UNDER NUMBER 28 WHICH WAS FILED ON 09/07/2000 AFTER MY COMPLAINT TO THEM ABOUT THE ERRONEOUS SETTLEMENT AMOUNT THEY LISTED IN QUESTIONS 7 AND 11 OF THE U-5. THIS INCIDENT SHOULD NOT BE REPORTABLE UNDER THE QUESTIONS PROVIDED FOR ON 23I (2) OF THE U-4. IN ADDITION, NYLIFE SHOULD NOT HAVE REPORTED THE ENTIRE CONTRACT VALUE AS THE SETTLEMENT AMOUNT WHEN THE CLIENT HAD RIGHT TO THE ENTIRE VALUE AND THE ONLY AMOUNT EVER IN QUESTION OR PAID BY NYLIFE WAS THE SURRENDER CHARGE OF $2713.45. IN ADDITION, EVEN THIS AMOUNT WAS PAID WITHOUT EVEN CHECKING THE CLIENT'S STORY OR OUR FILES SINCE THEY DID NOT REQUEST INFORMATION FROM US UNTIL THE SETTLEMENT WAS ALREADY MADE WITH THE CLIENT.

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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:	Firm
Firm Name:	LPL FINANCIAL LLC
Termination Type:	Permitted to Resign
Termination Date:	05/07/2012
Allegations:	PERMITTED TO RESIGN FOR FAILURE TO FOLLOW FIRM'S INTERPRETATION OF ITS ELECTRONIC COMMUNICATIONS POLICY.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	LPL FINANCIAL LLC
Termination Type:	Permitted to Resign
Termination Date:	05/07/2012
Allegations:	PERMITTED TO RESIGN FOLLOWING DISAGREEMENT AS TO THE FIRM'S ELECTRONIC COMMUNICATIONS POLICY.
Product Type:	No Product
Broker Statement	I RESIGNED, SOLELY, OF MY OWN ACCORD ON MAY 4TH, 2012 WITHOUT ANY PRIOR DISCUSSION WITH LPL FINANCIAL LLC. THE DISAGREEMENT REGARDING ELECTRONIC CORRESPONDENCE POLICY IS BASED ON LPL FINANCIAL LLC WANTING ACCESS TO EMAILS WITH MY WIFE, ATTORNEY, APPROVED OBA BUSINESS CLIENTS AND NON LPL CLIENTS WHICH DID NOT INCLUDE SECURITIES RELATED INFORMATION OR ARE PRIVILEGED.

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End of Report

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