



IAPD Report

STEVEN ORTEGA

CRD# 1610914

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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

STEVEN ORTEGA (CRD# 1610914)

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 **03/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	05/15/2013
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	05/15/2013

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
B	WESTPORT RESOURCES INVESTMENT SERVICES, INC.	24535	FT. WORTH, TX	03/06/2009 - 05/20/2013
IA	WESTPORT RESOURCES MANAGEMENT INC	105306	WESTPORT, CT	03/06/2009 - 05/20/2013
B	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	STAMFORD, CT	10/20/2004 - 03/09/2009

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

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 39543

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/15/2013
B FINRA	General Securities Sales Supervisor	Approved	05/15/2013
B FINRA	General Securities Principal	Approved	04/22/2014
B Connecticut	Agent	Approved	05/15/2013
B Florida	Agent	Approved	05/15/2013
B Idaho	Agent	Approved	01/05/2026
B Michigan	Agent	Approved	01/04/2016
B New York	Agent	Approved	09/07/2025
B Pennsylvania	Agent	Approved	05/15/2013
B Texas	Agent	Approved	01/26/2023
B Virginia	Agent	Approved	09/18/2025

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH, INC.
50 WASHINGTON ST
4TH FLOOR



Qualifications

NORWALK, CT 06854

Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

Firm ID#: 134139

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	05/15/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	01/26/2023

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.

50 Washington St.
4th Floor
Norwalk, CT 06854








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 5 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Principal Sales Supervisor (S23)	Series 23	04/22/2014
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/05/1993

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/15/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/04/2004
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/08/1987



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
B	03/06/2009 - 05/20/2013	WESTPORT RESOURCES INVESTMENT SERVICES, INC.	CRD# 24535	FT. WORTH, TX
IA	03/06/2009 - 05/20/2013	WESTPORT RESOURCES MANAGEMENT INC	CRD# 105306	WESTPORT, CT
B	10/20/2004 - 03/09/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	STAMFORD, CT
IA	10/20/2004 - 03/09/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	STAMFORD, CT
IA	05/24/2004 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	WESTPORT, CT
B	01/06/2003 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	08/21/2002 - 10/14/2002	PEOPLE'S SECURITIES, INC.	CRD# 13704	BRIDGEPORT, CT
B	11/06/2000 - 05/28/2002	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	11/06/2000 - 05/28/2002	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	09/01/1998 - 12/22/1999	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	02/27/1997 - 09/08/1998	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	10/18/1995 - 06/17/1996	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
B	09/22/1989 - 07/18/1995	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	01/29/1988 - 05/25/1988	OPPENHEIMER & CO., INC.	CRD# 630	
B	08/18/1987 - 02/05/1988	L. F. ROTHSCHILD & CO. INCORPORATED	CRD# 501	



Registration & Employment History

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
05/2013 - Present	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	FAIRFIELD, IA, United States
05/2013 - Present	CAMBRIDGE INVESTMENT RESEARCH, INC	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, 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) GUIDELIGHT FINANCIAL, 50 WASHINGTON STREET NORWALK CT 06854, 08/2011, TRADE NAME/DBA, INDEPENDENT INSURANCE AGENT FOR VARIOUS INDEPENDENT INSURANCE COMPANIES, INV REL, 2 HR/MO 0 HR/MO TRADING
- 2) CIRA, 1776 PLEASANT PLAIN RD FAIRFIELD IA 52556, 05/2013, AS ADVISORY REP OF A RIA, INV REL, 160 HR/MO 120 HR/MO TRADING



End of Report

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