



IAPD Report

RANDALL JOHN MASON

CRD# 1758777

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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

RANDALL JOHN MASON (CRD# 1758777)

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 **09/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	02/17/2015
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	02/17/2015 - 03/21/2024
IA	SPC	110692	CENTENNIAL, CO	03/09/2002 - 02/17/2015
B	PARKLAND SECURITIES, LLC	115368	CENTENNIAL, CO	02/09/2002 - 02/17/2015

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?

Yes

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	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 **11** 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
	FINRA	General Securities Representative	Approved	02/17/2015
	FINRA	Invest. Co and Variable Contracts	Approved	02/17/2015
	FINRA	Investment Co./Variable Contracts Prin	Approved	02/17/2015
	Alabama	Agent	Approved	09/29/2023
	Arizona	Agent	Approved	01/19/2017
	Colorado	Agent	Approved	02/17/2015
	Florida	Agent	Approved	03/19/2015
	Illinois	Agent	Approved	09/18/2025
	Michigan	Agent	Approved	05/15/2025
	Nebraska	Agent	Approved	02/17/2015
	Ohio	Agent	Approved	05/02/2017
	Oklahoma	Agent	Approved	02/17/2015
	South Carolina	Agent	Approved	10/21/2021



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	01/21/2025

Branch Office Locations

CETERA ADVISORS LLC
6855 S HAVANA ST STE 270
CENTENNIAL, CO 80112

CETERA ADVISORS LLC
PARKER, CO

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 Colorado	Investment Adviser Representative	Approved	03/21/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
6855 S HAVANA ST STE 270
CENTENNIAL, CO 80112

CETERA INVESTMENT ADVISERS LLC
PARKER, CO



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	06/08/1993

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	05/26/1998
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/21/1989

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/21/1989



PROFESSIONAL DESIGNATIONS

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

No information reported.

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	02/17/2015 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
IA	03/09/2002 - 02/17/2015	SPC	CRD# 110692	CENTENNIAL, CO
B	02/09/2002 - 02/17/2015	PARKLAND SECURITIES, LLC	CRD# 115368	CENTENNIAL, CO
B	01/30/1998 - 02/09/2002	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	12/16/1993 - 01/29/1998	WORKMAN SECURITIES CORPORATION	CRD# 31898	EDEN PRAIRIE, MN
B	01/03/1992 - 12/22/1993	GDN SECURITIES, LTD.	CRD# 23958	MINNEAPOLIS, MN
B	07/24/1989 - 01/15/1992	AMEV INVESTORS, INC.	CRD# 421	OAKDALE, MN

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
02/2015 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
12/1991 - Present	CIRRUS FINANCIAL GROUP INC	OTHER- FINANCIAL PLANNER	N	AURORA, CO, 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.DBA: CIRRUS FINANCIAL GROUP INC., INVESTMENT RELATED, ADDRESS IS THE REGISTERED LOCATION, FINANCIAL AND INSURANCE SERVICES, BUSINESS, START 1991, 40 HOURS PER WEEK - DURING TRADING HOURS, PRESIDENT, REGISTERED REPRESENTATIVE.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2. FIXED INSURANCE WITH VARIOUS COMPANIES, INVESTMENT RELATED, ADDRESS IS THE REGISTERED LOCATION, START FEBRUARY 2015, 2 HOURS PER WEEK - VARIES DURING TRADING HOURS, INSURANCE AGENT - SELLS LIFE, HEALTH, DISABILITY, ANNUITIES, LONG-TERM CARE, CROP, PROPERTY AND CASUALTY, AND AUTO.

3. NAME OF OTHER BUSINESS: PBR STREET GANG LLC,
INVESTMENT RELATED: NO,
ADDRESS: SAME AS RESIDENTIAL ADDRESS,
NATURE OF BUSINESS: PERSONAL LLC FOR HOLDINGS,
APX NUMBER OF HOURS PER WEEK: 1,
APX NUMBER OF TRADING HOURS PER WEEK: 1,
POSITION/TITLE/RELATIONSHIP: MANAGER & 50% OWNER,
BRIEF DESCRIPTION OF DUTIES: TAXES AND OPERATION OF LLC;

4. NAME OF OTHER BUSINESS: MASON INSURANCE INC.;
INVESTMENT RELATED: YES;
ADDRESS: 110 E. C STREET, MCCOOK, NE 69001;
NATURE OF BUSINESS: INSURANCE;
START DATE: 04/2017;
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: 10;
APX NUMBER OF HOURS DURING TRADING HOURS: 10;
BRIEF DESCRIPTION OF DUTIES: MANAGING THE CURRENT BUSINESS AND SELLING COMPANY;

5. NAME OF OTHER BUSINESS: TERRAIN INC. LANDSCAPE COMPANY;
INVESTMENT RELATED: NO;
ADDRESS: 575 LIPAN ST, DENVER, CO 80204;
NATURE OF BUSINESS: MARKETING & DESIGN;
START DATE: 6/2023;
POSITION/TITLE/RELATIONSHIP: MARKET/DESIGN ASSOCIATE;
APX NUMBER OF HOURS PER WEEK: 1-2;
APX NUMBER OF HOURS DURING TRADING HOURS: 1-2;
BRIEF DESCRIPTION OF DUTIES: HELP WITH MARKETING DUTIES, MAILERS, EMAIL, WEBSITE DESIGN, & SOME DESIGN WORK;



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

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:	PARKLAND SECURITIES, LLC
Allegations:	Arbitration Statement of Claim alleged the investments Claimant purchased in 2014 were unsuitable given her financial situation, investment objectives and risk tolerance. The Claimant further alleges the BD failed to conduct adequate due diligence on the investment programs.
Product Type:	Real Estate Security
Alleged Damages:	\$99,999.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA West Regional Office
Docket/Case #:	23-02074
Filing date of arbitration/CFTC reparation or civil litigation:	07/27/2023

Customer Complaint Information

Date Complaint Received:	07/31/2023
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Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for respondents/defendants)

Status Date: 03/28/2024

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PARKLAND SECURITIES, LLC

Allegations: Arbitration Statement of Claim alleged the investments Claimant purchased in 2014 were unsuitable given her financial situation, investment objectives and risk tolerance. The Claimant further alleges the BD failed to conduct adequate due diligence on the investment programs.

Product Type: Real Estate Security

Alleged Damages: \$99,999.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA West Regional Office

Docket/Case #: 23-02074

Filing date of arbitration/CFTC reparation or civil litigation: 07/27/2023

Customer Complaint Information

Date Complaint Received: 07/31/2023

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for respondents/defendants)

Status Date: 03/28/2024

Settlement Amount:

Individual Contribution Amount:

Broker Statement I absolutely deny the allegations that the investment was unsuitable. The client was fully informed of all the aspects of the investment, signed all disclosure documentation, and agreed that the investment was suitable at the time of the sale. The allegations are false, and I will defend my reputation in this matter to the best of my ability.

Disclosure 2 of 2

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: PARKLAND SECURITIES, LLC

Allegations: Arbitration Statement of Claim alleged the investments Claimant purchased in 2014 were unsuitable given his financial situation, investment objectives and risk tolerance. Claimant further alleges the BD failed to conduct adequate due diligence on the investment programs.

Product Type: Real Estate Security

Alleged Damages: \$134,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA West Regional Office

Docket/Case #: 21-02424

Filing date of arbitration/CFTC reparation or civil litigation: 09/23/2021

Customer Complaint Information

Date Complaint Received: 11/30/2021

Complaint Pending? No

Status: Settled

Status Date: 11/02/2022

Settlement Amount: \$57,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PARKLAND SECURITIES, LLC

Allegations: Arbitration Statement of Claim alleged the investments Claimant purchased in 2014 were unsuitable given his financial situation, investment objectives and risk tolerance. Claimant further alleges the BD failed to conduct adequate due diligence on the investment programs.

Product Type: Real Estate Security

Alleged Damages: \$134,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes



**Arbitration/Reparation forum
or court name and location:** FINRA West Regional Office

Docket/Case #: 21-02424

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/23/2021

Customer Complaint Information

Date Complaint Received: 11/30/2021

Complaint Pending? No

Status: Settled

Status Date: 11/02/2022

Settlement Amount: \$57,500.00

**Individual Contribution
Amount:** \$0.00



End of Report

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