



IAPD Report

CHARLES SMYTH BARKER

CRD# 1824233

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

CHARLES SMYTH BARKER (CRD# 1824233)

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	09/03/2013
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	EL SEGUNDO, CA	09/03/2013 - 06/29/2023
IA	WALNUT STREET SECURITIES, INC.	15840	ST LOUIS, MO	03/07/2007 - 09/03/2013
B	WALNUT STREET SECURITIES, INC.	15840	ST LOUIS, MO	04/02/1996 - 09/03/2013

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	1
Customer Dispute	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 6 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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 Missouri	Investment Adviser Representative	Approved	06/29/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
11600 MANCHESTER RD STE 100
ST LOUIS, MO 63131

Employment 2 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	09/03/2013
B Colorado	Agent	Approved	09/03/2013
B Florida	Agent	Approved	09/03/2013
B Illinois	Agent	Approved	09/03/2013
B Missouri	Agent	Approved	09/03/2013
B Tennessee	Agent	Approved	01/07/2021



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	09/03/2013

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
11600 MANCHESTER RD STE 100
ST LOUIS, MO 63131



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

General Securities Representative Examination (S7)	Series 7	04/16/1988
--	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Combined State Law Examination (S66)	Series 66	02/27/2007
--	-----------	------------

Uniform Securities Agent State Law Examination (S63)	Series 63	04/27/1988
--	-----------	------------

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	09/03/2013 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
IA	03/07/2007 - 09/03/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	ST LOUIS, MO
B	04/02/1996 - 09/03/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	ST LOUIS, MO
B	07/02/1991 - 05/11/1995	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	05/16/1991 - 07/29/1991	DAPCO SECURITIES, INC.	CRD# 14612	GARFIELD HEIGHTS, OH
B	05/24/1988 - 04/25/1991	HIBBARD BROWN & CO., INC.	CRD# 18246	NEW YORK, NY
B	04/20/1988 - 05/31/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	

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
09/2013 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, 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) NAME OF OTHER BUSINESS: COMMITTEE TO ELECT PHILIP OEHLERKING;
 INVESTMENT RELATED: NO;
 ADDRESS: 343 QUAIL VILLAGE CT BALLWIN, MO 63021;
 NATURE OF BUSINESS: POLITICAL CAMPAIGN ;
 START DATE: 12/2021;
 POSITION/TITLE/RELATIONSHIP: TREASURER ;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS PER WEEK: 3 ;
APX NUMBER OF HOURS DURING TRADING HOURS: 3 ;
BRIEF DESCRIPTION OF DUTIES: RESPONSIBLE FOR SIGNING AND FILING FINANCIAL REPORTS WITH THE STATE,
WILL BE PROCESSING DEPOSITS AND DISPURSEMENTS FOR CAMPAIGN;

(2) NAME OF OTHER BUSINESS: COMMITTEE TO ELECT PHILIP OEHLERKING;
INVESTMENT RELATED: NO;
ADDRESS: 343 QUAIL VILLAGE CT BALLWIN, MO 63021;
NATURE OF BUSINESS: POLITICAL CAMPAIGN ;
START DATE: 12/2021;
POSITION/TITLE/RELATIONSHIP: FUNDRAISER ;
APX NUMBER OF HOURS PER WEEK: 3 ;
APX NUMBER OF HOURS DURING TRADING HOURS: 3 ;
BRIEF DESCRIPTION OF DUTIES: WILL BE SOLICITING DONATIONS ON BEHALF OF THE POLITICAL CAMPAIGN;



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	1
Customer Dispute	1

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 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/12/1997

Docket/Case Number: C04970043

Employing firm when activity occurred which led to the regulatory action: HIBBARD BROWN & CO., INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/12/1997

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details:



Regulator Statement

ON SEPTEMBER 12, 1997, DISTRICT NO. 4 NOTIFIED RESPONDENT CHARLES SMYTH BARKER THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C04970043 WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$7,500 - (NASD RULE 2110 - RESPONDENT BARKER RECOMMENDED TO PUBLIC CUSTOMERS THE PURCHASE OF SECURITIES WHICH HE RELIED SOLELY ON MATERIALS AND INFORMATION PROVIDED BY HIS MEMBER FIRM, AND IN RELIANCE ON THE INFORMATION AND MATERIALS, MADE UNTRUE STATEMENTS OF FACTS AND OMITTED TO STATE FACTS NECESSARY TO MAKE THE STATEMENTS NOT MISLEADING IN LIGHT OF THE CIRCUMSTANCES IN WHICH THEY WERE MADE; RECOMMENDED TO PUBLIC CUSTOMERS THE PURCHASE OF SHARES OF SPECULATIVE AND/OR UNSEASONED COMPANIES IN WHICH HE MADE BASELESS PRICE PREDICTIONS, AND/OR PREDICTIONS OF RETURNS; AND, RECOMMENDED TO PUBLIC CUSTOMERS THE PURCHASE OF SECURITIES WITHOUT A REASONABLE BASIS FOR THE RECOMMENDATION AND CONDUCTED MINIMAL INDEPENDENT RESEARCH REGARDING THE RECOMMENDED SECURITIES).

\$7,500 FULLY PAID AS OF 9/17/98, INVOICE #97-04-800

Reporting Source: Individual

Regulatory Action Initiated By: NASDR

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/12/1997

Docket/Case Number: C04970043

Employing firm when activity occurred which led to the regulatory action: HIBBARD BROWN & CO., INC.

Product Type:

Other Product Type(s):

Allegations: FIRST CAUSE-OMISSIONS AND MATERIAL MISSTATEMENT OF FACT BY RELYING ON HIBBARD BROWN & CO. MATERIALS. SECOND CAUSE-UNFOUNDED PRICE & RETURN PREDICTIONS BY RELYING ON HIBBARD MATERIALS. THIRD CAUSE-RECOMMENDATIONS MADE WITHOUT A REASONABLE BASIS-RELIED ON HIBBARD MATERIALS FOR RESEARCH.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Resolution Date:	09/12/1997
Sanctions Ordered:	Censure Monetary/Fine \$7,500.00
Other Sanctions Ordered:	
Sanction Details:	NASDR CENSURE & \$7,500 FINE ACCEPTED & CONSENTED TO THE ENTRY OF FINDINGS BY THE NASDR WITHOUT ADMITTING OR DENYING THE ALLEGATIONS IN THIS MATTER.
Broker Statement	Not Provided



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 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: HIBBARD BROWN & CO., INC.

Allegations: MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE; SUITABILITY; OTHER-OTHER

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$7,020.50

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #90-02471](#)

Date Notice/Process Served: 10/12/1990

Arbitration Pending? No

Disposition: Award

Disposition Date: 03/27/1991

Disposition Detail: RESPONDENTS CHUCK BARKER AND HIBBARD BROWN & CO., INC., ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO THE CLAIMANTS THE SUM OF \$7,020.50.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HIBBARD BROWN & CO., INC.

Allegations: CUSTOMER PURCHASED LOW PRICED STOCKS WORTH APROX. \$7,000 THAT DECLINED IN VALUE. THE SECURITIES WERE PURCHASED THROUGH HIBBARD BROWN & CO. THE FIRM SETTLED FOR THE FALL AMOUNT

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation



Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [National Assoc. of Securities Dealers: 90-02471](#)

Date Notice/Process Served: 10/12/1990

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/27/1991

Monetary Compensation Amount: \$7,020.50

Individual Contribution Amount:

Broker Statement

HIBBARD BROWN & CO. PAID \$7,020.50 TO SETTLE THE COMPLAINT
NO LONGER REPORTABLE-UNDER NEW U4 QUESTIONS THE SETTLEMENT AMOUNT DOES NOT REQUIRE A "YES" ANSWER TO ANY QUESTION



End of Report

This page is intentionally left blank.