



IAPD Report

Gary Arthur Therrian

CRD# 1866210

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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

Gary Arthur Therrian (CRD# 1866210)

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 **01/08/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THE HUNTINGTON INVESTMENT COMPANY	CRD# 16986	10/14/2021
IA	HUNTINGTON FINANCIAL ADVISORS	CRD# 16986	10/18/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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 INVESTMENT ADVISERS LLC	105644	MARSHALL, MI	09/19/2019 - 10/13/2021
B	CETERA INVESTMENT SERVICES LLC	15340	HOLLAND, MI	08/26/2019 - 10/13/2021
B	INFINEX INVESTMENTS, INC.	35371	PORTAGE, MI	02/09/2018 - 08/23/2019

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
Judgment/Lien	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 4 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **HUNTINGTON FINANCIAL ADVISORS**
Main Address: 41 S. HIGH STREET
COLUMBUS, OH 43215
Firm ID#: 16986

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	10/14/2021
B FINRA	General Securities Representative	Approved	10/14/2021
B FINRA	Invest. Co and Variable Contracts	Approved	10/14/2021
B Florida	Agent	Approved	10/15/2021
B Indiana	Agent	Approved	10/18/2021
B Michigan	Agent	Approved	10/18/2021
IA Michigan	Investment Adviser Representative	Approved	10/18/2021
B Ohio	Agent	Approved	01/08/2024

Branch Office Locations

HUNTINGTON FINANCIAL ADVISORS
Marshall Main
115 West Drive South
Marshall, MI 49068



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 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	07/28/1999

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/04/1994
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/25/1988

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	12/27/2016
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/27/2002
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/13/1988

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	09/19/2019 - 10/13/2021	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	MARSHALL, MI
B	08/26/2019 - 10/13/2021	CETERA INVESTMENT SERVICES LLC	CRD# 15340	HOLLAND, MI
B	02/09/2018 - 08/23/2019	INFINEX INVESTMENTS, INC.	CRD# 35371	PORTAGE, MI
IA	02/09/2018 - 08/23/2019	INFINEX INVESTMENTS, INC.	CRD# 35371	PORTAGE, MI
IA	01/20/2017 - 02/09/2018	FIFTH THIRD SECURITIES, INC.	CRD# 628	KALAMAZOO, MI
B	01/13/2017 - 02/09/2018	FIFTH THIRD SECURITIES, INC.	CRD# 628	KALAMAZOO, MI
B	07/01/2016 - 01/06/2017	INFINEX INVESTMENTS, INC.	CRD# 35371	JACKSON, MI
B	06/16/2015 - 07/01/2016	ESSEX NATIONAL SECURITIES, LLC	CRD# 25454	JACKSON, MI
B	03/18/2009 - 05/05/2014	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	KALAMAZOO, MI
B	03/04/2008 - 11/25/2008	LPL FINANCIAL CORPORATION	CRD# 6413	LANSING, MI
B	12/19/2006 - 03/04/2008	IFMG SECURITIES, INC.	CRD# 14416	OKEMOS, MI
IA	11/02/2006 - 12/20/2006	LASALLE FINANCIAL SERVICES, INC.	CRD# 20373	WARREN, MI
B	07/27/1998 - 12/20/2006	LASALLE FINANCIAL SERVICES, INC.	CRD# 20373	WARREN, MI
B	05/09/2001 - 10/08/2001	INDEPENDENCE ONE BROKERAGE SERVICES, INC.	CRD# 17529	FARMINGTON HILLS, M
B	03/03/1998 - 07/27/1998	STANDARD BROKERAGE SERVICES, INC.	CRD# 14387	
B	02/01/1997 - 04/02/1997	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ



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	11/21/1995 - 01/20/1997	FIRST OF AMERICA BROKERAGE SERVICE, INC.	CRD# 16989	CLEVELAND, OH
B	09/21/1995 - 10/13/1995	FIRST OF AMERICA SECURITIES, INC.	CRD# 36568	KALAMAZOO, MI
B	05/01/1995 - 09/21/1995	FIRST OF AMERICA SECURITIES, INC.	CRD# 36568	KALAMAZOO, MI
B	10/06/1993 - 05/01/1995	FIRST OF AMERICA BROKERAGE SERVICE, INC.	CRD# 16989	CLEVELAND, OH
B	08/26/1988 - 11/04/1993	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	08/26/1988 - 11/04/1993	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	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
10/2021 - Present	THE HUNTINGTON INVESTMENT COMPANY	HFA Financial Advisor - Branch	Y	COLUMBUS, OH, United States
08/2019 - Present	CETERA INVESTMENT ADVISORS LLC	IAR REGISTERED REPRESENTATIVE	Y	MARSHALL, MI, United States
08/2019 - Present	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	SAINT CLOUD, MN, United States
08/2019 - Present	TCF NATIONAL BANK	REGISTERED REPRESENTATIVE	Y	MARSHALL, MI, United States
02/2018 - 08/2019	Infinex Investments, Inc.	Reg Rep	Y	Meriden, CT, United States
01/2018 - 08/2019	Flagstar Bank	Banking	Y	Portage, MI, United States
01/2017 - 01/2018	FIFTH THIRD SECURITIES	REGISTERED REPRESENTATIVE	Y	PORTAGE, MI, United States
08/2016 - 01/2017	Infinex National Securities	Financial Consultant	Y	Jackson, MI, United States
07/2016 - 01/2017	INFINEX INVESTMENTS, INC.	Mass Transfer	Y	JACKSON, MI, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2015 - 08/2016	Essex National Securities	Financial Consultant	Y	Jackson, MI, United States
06/2015 - 07/2016	FLAGSTAR BANK	FINANCIAL CONSULTANT	Y	JACKSON, MI, 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.

NONE
POSITION: Referee NATURE: Sports and Coaching INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 0 START DATE: 09/04/1981
ADDRESS: 6314 Hampton Street, Portage MI 49024, United States
DESCRIPTION: I referee high school football, basketball and lacrosse. I receive a fee of roughly \$70 per game. The games are in the evening and weekends during the seasons. My officiating lasts from September to May yearly. I have been doing this since 1981. There is no other business activity related to this, other than getting to games and officiating



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
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Judgment/Lien	1
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Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	ASSET ACCEPTANCE, LLC
Judgment/Lien Amount:	\$12,046.76
Judgment/Lien Type:	Civil
Date Filed with Court:	02/23/2011
Date Individual Learned:	02/23/2011
Type of Court:	State Court
Name of Court:	STATE OF MICHIGAN, JUDICIAL DISTRICT, JUDICIAL CIRCUIT
Location of Court:	PORTAGE, MI
Docket/Case #:	1016957GC
Judgment/Lien Outstanding?	Yes
Broker Statement	HAVE ATTEMPTED TO WORK WITH ASSET ACCEPTANCE TO SOLVE THE JUDGEMENT, BUT, THEY CAN'T FIND THE ORIGINAL DOCUMETATION AND HAVE NOT GOTTEN BACK TO US



End of Report

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