IAPD Report

ROYCETON SHANE PINDER

CRD# 2006101

Section Title	**Page(s)**

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

ROYCETON SHANE PINDER (CRD# 2006101)

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 **12/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	02/22/2024
IA	SOVRAN ADVISORS, LLC	CRD# 329415	02/23/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	MML INVESTORS SERVICES, LLC	10409	PASADENA, CA	03/25/2017 - 03/06/2024
IA	MML INVESTORS SERVICES, LLC	10409	PASADENA, CA	03/25/2017 - 03/06/2024
B	MSI FINANCIAL SERVICES, INC.	14251	PASADENA, CA	05/23/2014 - 03/25/2017

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

Employment 1 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	Invest. Co and Variable Contracts	Approved	02/22/2024
B	Arizona	Agent	Approved	02/22/2024
B	California	Agent	Approved	02/22/2024
B	Florida	Agent	Approved	02/22/2024
B	Georgia	Agent	Approved	05/29/2024
B	Idaho	Agent	Approved	10/29/2024
B	New Jersey	Agent	Approved	03/21/2024
B	New Mexico	Agent	Approved	05/15/2024
B	North Carolina	Agent	Approved	02/22/2024
B	Texas	Agent	Approved	02/22/2024
B	Washington	Agent	Approved	02/22/2024

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
150 SOUTH LOS ROBLES AVENUE
SUITE 750

Qualifications

PASADENA, CA 91101

CETERA ADVISOR NETWORKS LLC
150 S LOS ROBLES AVE
STE 750
PASADENA, CA 91101

Employment 2 of 2

Firm Name: **SOVRAN ADVISORS, LLC**

Main Address: 3131 CAMINO DEL RIO N.
SUITE 800
SAN DIEGO, CA 92108

Firm ID#: 329415

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	02/23/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	02/27/2024

Branch Office Locations

SOVRAN ADVISORS, LLC
150 S Los Robles Ave
Suite 750
Pasadena, CA 91101

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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/17/1995

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/22/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/10/1995

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
B	03/25/2017 - 03/06/2024	MML INVESTORS SERVICES, LLC	CRD# 10409	PASADENA, CA
IA	03/25/2017 - 03/06/2024	MML INVESTORS SERVICES, LLC	CRD# 10409	PASADENA, CA
B	05/23/2014 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	PASADENA, CA
IA	05/23/2014 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	PASADENA, CA
IA	06/10/2008 - 06/04/2014	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	ORANGE, CA
B	12/22/2000 - 06/04/2014	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	ORANGE, CA
B	12/22/2000 - 12/31/2001	THE VARIABLE ANNUITY MARKETING COMPANY	CRD# 5081	HOUSTON, TX
B	01/31/1997 - 12/15/2000	CAL FED INVESTMENTS	CRD# 19631	SACRAMENTO, CA
B	01/18/1995 - 01/31/1997	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI

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
02/2024 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
02/2024 - Present	SOVRAN ADVISORS LLC - CRD 329415	INVESTMENT ADVISOR REPRESENTATIVE	Y	PASADENA, CA, United States
01/2022 - 03/2025	GREATER PACIFIC SOLUTIONS	FINANCIAL ADVISOR	Y	PASADENA, CA, United States
03/2017 - 02/2024	MML INVESTORS SERVICES, LLC	Mass Transfer	Y	PASADENA, CA, United States
07/2016 - 02/2024	Massachusetts Mutual Life Insurance Company	Agent	Y	Pasadena, CA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2014 - 03/2017	METLIFE SECURITIES INC	FSR	Y	PASADENA, 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: SOVRAN ADVISORS LLC - CRD 329415
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: SEC REGISTERED INVESTMENT ADVISORY FIRM
POSITION/TITLE/RELATIONSHIP: INVESTMENT ADVISOR REPRESENTATIVE
START DATE: 02/2024
APX NUMBER OF HOURS PER WEEK: 40
APX NUMBER OF HOURS DURING TRADING HOURS: 40
BRIEF DESCRIPTION OF DUTIES: FINANCIAL PLANNING AND ASSET MANAGEMENT

2. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FIXED INSURANCE
START DATE: 1/1995
APX NUMBER OF HOURS PER WEEK: 3
APX NUMBER OF HOURS DURING TRADING HOURS: 1
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT
BRIEF DESCRIPTION OF DUTIES: SALES OF LIFE, HEALTH, DISABILITY, ANNUITIES AND LONG-TERM CARE;

3. NAME OF OTHER BUSINESS: POMONA VALLEY COMMUNITY HEALTH CENTER
INVESTMENT RELATED: NO
ADDRESS: 1450 E HOLT AVE, POMONA, CA 91767
NATURE OF BUSINESS: BOARD FIDUCIARY POSITION
START DATE: 1/2020
POSITION/TITLE/RELATIONSHIP: AUDIT COMMITTEE MEMBER
APX NUMBER OF HOURS PER WEEK: 1
APX NUMBER OF HOURS DURING TRADING HOURS: 0
BRIEF DESCRIPTION OF DUTIES: ATTEND COMMITTEE MEETINGS, REVIEW FINANCIALS. NO CHECK WRITING OR DISBURSEMENT AUTHORITY;

4. NAME OF OTHER BUSINESS: PINDER FAMILY TRUST - REAL ESTATE
INVESTMENT RELATED: NO
ADDRESS: SHADOW HILLS, CA 91040
NATURE OF BUSINESS: REAL ESTATE
START DATE: 1/1995
POSITION/TITLE/RELATIONSHIP: OWNER
APX NUMBER OF HOURS PER WEEK: 0
APX NUMBER OF HOURS DURING TRADING HOURS: 0
BRIEF DESCRIPTION OF DUTIES: MANAGING MY PROPERTY;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

5. NAME OF OTHER BUSINESS: PINDER & NEIMEYER FINANCIAL;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FINANCIAL SERVICES;
START DATE: 09/2024;
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL;
APX NUMBER OF HOURS PER WEEK: 40;
APX NUMBER OF HOURS DURING TRADING HOURS: 6;
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

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	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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	The complainant alleges that in 2021, the rep told him that there would be no charges associated with a transfer of funds that the complainant had initiated from his 401k to his existing variable annuity. He alleges that despite this, forms were sent to him that reflected surrender charges, that the rep presented him with a contract and told him if he didn't sign he might lose his investment, and the rep changed the contract after the complainant had signed for it. He states that this is fraud and misrepresentation and he wants his money returned.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm has been unable to make a good faith determination that potential damages from the alleged conduct would be less 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:	10/07/2021
Complaint Pending?	No

Status:	Denied
Status Date:	10/29/2021
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The Firm's investigation found that the rep acted appropriately in response to the customer's self-initiated rollover. No evidence was found to support the customer's allegations. Internal case #202110220140.

End of Report

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