



IAPD Report

Ronnie Joseph LaBarbera

CRD# 2138884

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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

Ronnie Joseph LaBarbera (CRD# 2138884)

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 **02/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	AVANTAX INVESTMENT SERVICES, INC.	13686	ENCINO, CA	04/19/2024 - 09/05/2025
IA	AVANTAX ADVISORY SERVICES	104556	Fresno, CA	11/28/2023 - 09/05/2025
IA	R SQUARED FINANCIAL, LLC	157710	FRESNO, CA	06/22/2011 - 12/31/2023

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 3 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	General Securities Representative	Approved	09/05/2025
B California	Agent	Approved	09/05/2025
B Ohio	Agent	Approved	09/19/2025
B Washington	Agent	Approved	09/23/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
6511 NORTH BLOSSER AVENUE
FRESNO, CA 93711

CETERA ADVISOR NETWORKS LLC
21800 Oxnard Street
Suite 200
Woodland Hills, CA 91367

CETERA ADVISOR NETWORKS LLC
5151 N. Palm Ave.
Ste. 50
Fresno, CA 93704

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 California	Investment Adviser Representative	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
FRESNO, CA

CETERA INVESTMENT ADVISERS LLC
5151 N. PALM AVE.
STE. 50
FRESNO, CA 93704

CETERA INVESTMENT ADVISERS LLC
16055 VENTURA BLVD.
SUITE 711
ENCINO, CA 91436

CETERA INVESTMENT ADVISERS LLC
21800 Oxnard Street
Main Plaza Suite 200
Woodland Hills, CA 91367





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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	02/26/2003
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	02/12/2003

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	04/19/2024
 Securities Industry Essentials Examination (SIE)	SIE	12/02/2020
 General Securities Representative Examination (S7)	Series 7	05/02/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/27/2025
  Uniform Combined State Law Examination (S66)	Series 66	09/19/2005

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	04/19/2024 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	ENCINO, CA
IA	11/28/2023 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Fresno, CA
IA	06/22/2011 - 12/31/2023	R SQUARED FINANCIAL, LLC	CRD# 157710	FRESNO, CA
IA	01/13/2009 - 04/25/2011	PORTFOLIO ADVISORS, INC.	CRD# 106111	FRESNO, CA
IA	09/21/2005 - 01/16/2009	CHARLES SCHWAB & CO., INC.	CRD# 5393	FRESNO, CA
B	05/03/2005 - 01/16/2009	CHARLES SCHWAB & CO., INC.	CRD# 5393	FRESNO, CA
IA	08/11/2000 - 05/19/2005	STRATEGIC ADVISERS, INC.	CRD# 104555	LOS ANGELES, CA
B	05/24/2000 - 05/02/2005	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	SMITHFIELD, RI
B	03/24/1999 - 05/10/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	02/25/1994 - 04/07/1999	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI
B	05/21/1993 - 02/18/1994	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	05/21/1993 - 02/18/1994	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	11/17/1993 - 02/16/1994	GRIFFIN FINANCIAL SERVICES	CRD# 10823	
B	09/22/1992 - 06/01/1993	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	05/06/1991 - 09/01/1992	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	05/06/1991 - 09/01/1992	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN



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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Fresno, CA, United States
01/2021 - Present	Valley Wide Ag Insurance Services, Inc. dba Valley Premier Insur	Independent Insurance Agent	Y	Fresno, CA, United States
04/2011 - Present	R Squared Financial, LLC	CEO/Manager	Y	FRESNO, CA, United States
01/2024 - 09/2025	Avantax Investment Services, Inc.	Registered Representative	Y	Fresno, CA, United States
11/2023 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Fresno, CA, United States
11/2023 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Fresno, 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) LRE PARTNERS

POSITION: Partner NATURE: LRE is a family partnership with my parents and sister with the intention to buy sell hold real estate. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/12/2015 ADDRESS: 20311 Howard Court, Woodland Hills CA 91364, United States DESCRIPTION: I am known as a active partner. We make decisions on properties to potentially buy, sell, rent, improve and or hold.

2) VALLEY WIDE AG INSURANCE SERVICES, INC. DBA VALLEY PREMIER INSURANCE SERVICES

POSITION: Independent Insurance Agent NATURE: Crop Insurance Sales and Service. Commercial General Liability Insurance Sales and Service. Workers Compensation Insurance Sales and Service. Personal Lines, Home and Auto Insurance Sales and Service. Health Insurance Sales and Service. INVESTMENT RELATED: Yes NUMBER OF HOURS: 25 SECURITIES TRADING HOURS: 10 START DATE: 01/01/2021 ADDRESS: 5151 N. Palm Ave., Ste. 50, Fresno CA 93704, United States DESCRIPTION: I sell and service commercial property and liability insurance. I sell and service workers compensation insurance. I sell and service personal lines, home and auto insurance. I sell and service group health and individual health and insurance. I advise agency agents where to place difficult commercial business lines.

3) R SQUARED FINANCIAL, LLC

POSITION: CEO/Manager NATURE: Managing day to day business operations, compliance, bookkeeping, statements, email. Financial planning with new and existing clients. Portfolio reviews with existing clients. Prospecting for new business. INVESTMENT RELATED: Yes NUMBER OF HOURS: 105 SECURITIES TRADING HOURS: 60 START DATE: 04/18/2011



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 6511 N. Blosser Ave, Ste. 50, Fresno CA 93711, United States

DESCRIPTION: Founder and Principal of the firm. Activities involve daily operations of a State Registered Advisory Firm. Prospecting new clients. Advice and guidance for investment management clients, and financial planning.



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:	CHARLES SCHWAB & CO., INC.
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION WITH REGARDS TO THE SCHWAB YIELD PLUS FUND PURCHASED ON 07/19/2006.
Product Type:	Mutual Fund
Alleged Damages:	\$16,452.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-00070
Filing date of arbitration/CFTC reparation or civil litigation:	02/16/2010

Customer Complaint Information

Date Complaint Received:	02/16/2010
Complaint Pending?	No



Status: Denied
Status Date: 07/15/2010
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 10-00070
Date Notice/Process Served: 02/16/2010
Arbitration Pending? No
Disposition: Dismissed
Disposition Date: 07/15/2010
Monetary Compensation Amount: \$0.00
Individual Contribution Amount: \$0.00

Firm Statement CUSTOMER COMPLAINT RECEIVED ON 10/15/2009 HAS EVOLVED INTO A FINRA ARBITRATION IN WHICH "REP" IS THE SUBJECT OF THE ARBITRATION. FINRA GRANTED MOTION TO DISMISS WITH PREJUDICE.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CHARLES SCHWAB & CO., INC.
Allegations: CUSTOMER ALLEGES MISREPRESENTATION WITH REGARDS TO THE SCHWAB YIELD PLUS FUND PURCHASED ON 07/19/2006.
Product Type: Mutual Fund
Alleged Damages: \$16,452.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-00070
Filing date of arbitration/CFTC reparation or civil litigation: 02/16/2010

Customer Complaint Information

Date Complaint Received: 02/16/2010



Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for respondents/defendants)
Status Date:	07/15/2010
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-00070
Date Notice/Process Served:	02/16/2010
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/15/2010
Monetary Compensation Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	CUSTOMER COMPLIANT RECEIVED ON 10/15/2009 HAS EVOLVED INTO A FINRA ARBITRATION IN WHICH "REP" IS THE SUBJECT OF THE ARBITRATION.
Disclosure 2 of 2	
Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	INVEST FINANCIAL CORP.
Allegations:	CLIENT ALLEGES THAT REPRESENTATIVE DID NOT EXPLAIN THE IRS 10% PENALTY FOR LIQUIDATION OF AN ANNUITY PRIOR TO AGE 59 1/2. CUSTOMER PURCHASED A VARIABLE ANNUITY ON 11/04/1992.
Product Type:	Insurance
Alleged Damages:	\$7,749.86
Customer Complaint Information	
Date Complaint Received:	06/06/2001
Complaint Pending?	No
Status:	Denied
Status Date:	12/05/2001
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	A REVIEW OF THE PAPERWORK AND REP'S STATEMENTS REVEALED THAT



THE CLIENT WAS MADE AWARE OF THE PENALTY, VERBALLY AND IN WRITING VIA THE PROSPECTUS. CLIENT ACKNOWLEDGED RECEIPT OF PROSPECTUS AS WELL ON THE NEW ACCOUNT FORM. CLAIM DENIED DUE TO SIGNED DOCUMENTATION.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INVEST FINANCIAL

Allegations: IN FEBRUARY 1992 CUSTOMER CAME TO ME REQUESTING ADVICE ON AN INVESTMENT FOR COLLEGE FOR HIS THEN 3-YEAR-OLD DAUGHTER. CUSTOMER WAS IN A HIGH TAX BRACKET AND HE HAD 15 YEARS BEFORE HIS DAUGHTER WOULD NEED THE FUNDS. BECAUSE A PORTION OF NON-TAX-DEFERRED INVESTMNT RETURN WOULD BE TAXED AT HIS INCOME LEVEL, I RECOMMENDED A TAX-DEFERRED VEHICLE. AFTER COMPARING POTENTIAL INVESTMENT RETURNS WE DETERMINED THAT EVEN WITH THE STATE AND FEDERAL TAX PENALTY UPON "EARLY WITHDRAWAL" A VARIABLE ANNUITY WOULD PROVIDE THE BEST POTENTIAL GROWTH. IN ADDITION TO AVOID BEING TAXED AT CUUSTOMER'S BRACKET THE FUNDS FROM THIS INVESTMENT WOULD BE WITHDRAWALABLE AT HIS DAUGHTERS TAX BRACKET DURING HER COLLEGE YEARS, WHICH LIKELY WOULD BE A VERY LOW BRACKET. AFTER 9 YEARS OF TAX DEFERRED GROWTH ON THIS INVESTMENT, CUSTOMER NOW APPEARS TO HAVE FORGOTTEN THE REASONS FOR WHICH WE DECIDED TO MAKE THIS INVESTMENT AND HE SEEKS TO BE COMPENSATED FOR THE TAX PENALTIES.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$7,749.00

Customer Complaint Information

Date Complaint Received: 06/15/2001

Complaint Pending? No

Status: Denied

Status Date: 12/05/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Disposition: Denied

Disposition Date:



End of Report

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