IAPD Report

John Gregory Noddings

CRD# 2331102

Section Title | **Page(s)**

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

John Gregory Noddings (CRD# 2331102)

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 **12/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	08/10/2023
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	08/10/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	SECURIAN FINANCIAL SERVICES, INC.	15296	ST. LOUIS, MO	04/05/2019 - 08/10/2023
B	SECURIAN FINANCIAL SERVICES, INC.	15296	ST. LOUIS, MO	01/30/2019 - 08/10/2023
IA	FULCRUM ADVISORY SERVICES, LLC	131777	ST. LOUIS, MO	06/03/2010 - 10/17/2012

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

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 **1** 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 Principal	Approved	08/10/2023
B	FINRA	General Securities Representative	Approved	08/10/2023
B	FINRA	Municipal Securities Principal	Approved	08/10/2023
B	FINRA	Municipal Securities Representative	Approved	08/10/2023
B	FINRA	Registered Options Principal	Approved	08/10/2023
B	Missouri	Agent	Approved	08/10/2023

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
5700 OAKLAND AVENUE
SUITE 400
ST. LOUIS, MO 63110

CETERA ADVISOR NETWORKS LLC
Kirkwood, MO

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	Missouri	Investment Adviser Representative	Approved	08/10/2023

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
5700 OAKLAND AVE
STE 400
ST LOUIS, MO 63110

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 3 principal/supervisory exams, 5 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	05/30/2019
B	Registered Options Principal Examination (S4)	Series 4	04/17/2019
B	General Securities Principal Examination (S24)	Series 24	03/27/2019

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	05/08/2019
B	General Securities Representative Examination (S7TO)	Series 7TO	01/30/2019
B	Securities Industry Essentials Examination (SIE)	SIE	12/04/2018
B	General Securities Representative Examination (S7)	Series 7	06/02/2010
B	National Commodity Futures Examination (S3)	Series 3	08/23/1993

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/27/2019
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/14/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/17/1993

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	04/05/2019 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	ST. LOUIS, MO
B	01/30/2019 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	ST. LOUIS, MO
IA	06/03/2010 - 10/17/2012	FULCRUM ADVISORY SERVICES, LLC	CRD# 131777	ST. LOUIS, MO
B	06/03/2010 - 10/17/2012	FULCRUM SECURITIES, LLC	CRD# 140084	SAINT LOUIS, MO
B	04/26/1993 - 09/10/1999	NODDINGS AND ASSOCIATES, INC.	CRD# 7411	OAKBROOK TERRACE,

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
08/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
08/2023 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	ST. LOUIS, MO, United States
10/2018 - Present	Renaissance Financial Corp	Office Staff	Y	St. Louis, MO, United States
11/2018 - 08/2023	Securian Financial Services Inc	Registered Associate	Y	St. Paul, MN, United States
10/2018 - 11/2022	NLP Investments	Bookkeeper	N	Kirkwood, MO, United States
10/2018 - 11/2018	Securian Financial Services Inc	Non-Registered Associate	Y	St. Paul, MN, United States
04/2000 - 10/2018	NLP INVESTMENTS	PRESIDENT/OWNER	Y	KIRKWOOD, MO, United States

Registration & Employment History

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. HERRING DESIGN & DEVELOPMENT
POSITION: Officer NATURE: General Contractor INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2014
ADDRESS: 307 Central, Kirkwood MO 63122, United States
DESCRIPTION: As the Secretary, I help the owner of the S-Corp review his documents and contracts. He is a friend of the family and I do this without compensation.

2. DIECON
POSITION: Director NATURE: Consultant INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2001
ADDRESS: PO Box 26, Collinsville IL 62234-0027, United States
DESCRIPTION: As a hobby, I've helped the owners of the company with their documents. The company runs a single non-gambling gaming convention each year.

3. NAME OF OTHER BUSINESS: RENAISSANCE FINANCIAL
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FINANCIAL SERVICES
START DATE: October 2018
POSITION/TITLE/RELATIONSHIP: Registered Staff
APX NUMBER OF HOURS PER WEEK: 40
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5
BRIEF DESCRIPTION OF DUTIES: OFFER SECURITIES, INSURANCE AND ADVISORY 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
Regulatory Event	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:	05/26/1998
Docket/Case Number:	C8A980035
Employing firm when activity occurred which led to the regulatory action:	NODDINGS AND ASSOCIATES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/26/1998
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON MAY 26, 1998, DISTRICT NO. 8 NOTIFIED RESPONDENTS NODDINGS AND ASSOCIATES, INC. AND JOHN GREGORY NODDINGS THAT

	THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C8A980035 WAS ACCEPTED; THEREFORE, RESPONDENT MEMBER IS CENSURED AND FINED $5,000 AND RESPONDENT NODDINGS IS CENSURED AND FINED $2,500 - (MSRB RULES G-2 AND G-3(b) - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT NODDINGS, CONDUCTED A MUNICIPAL SECURITIES BUSINESS DESPITE THE FACT THAT RESPONDENT MEMBER DID NOT HAVE AN APPROPRIATELY QUALIFIED AND REGISTERED MUNICIPAL SECURITIES PRINCIPAL (SERIES 53); AND, RESPONDENT NODDINGS ACTED IN THE CAPACITY OF A MUNICIPAL SECURITIES PRINCIPAL DESPITE THE FACT THAT HE WAS NOT APPROPRIATELY QUALIFIED AND REGISTERED IN SUCH CAPACITY). **$2,500.00 PAID ON 6/18/98, INVOICE #98-8A-515**

Reporting Source:	Individual
Regulatory Action Initiated By:	***22I(1) WAS ANSWERED ON DRP***NASDREGULATION INC
Sanction(s) Sought:	
Date Initiated:	05/26/1998
Docket/Case Number:	C8A980035
Employing firm when activity occurred which led to the regulatory action:	NODDINGS AND ASSOCIATES, INC.
Product Type:	Debt-Municipal
Allegations:	IT WAS ALLEGED BY NASD REGULATION, INC THAT DURING THE PERIOD SEPTEMBER, 1996, THROUGH DECEMBER, 1997, APPLICANT ACTED IN THE CAPACITY OF MUNICIPAL SECURITIES PRINCIPAL DESPITE THE FACT THAT HE WAS NOT APPROPRIATELY QUALIFIED AND REGISTERED IN SUCH CAPACITY, IN VIOLATION OF MSRB RULE G-3(B).
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/26/1998
Sanctions Ordered:	Censure
Broker Statement	NOT PROVIDED

End of Report

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