



## IAPD Report

# TROY JASON GOLDBERG

CRD# 2342989

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 8
Disclosure Information	9

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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

### TROY JASON GOLDBERG (CRD# 2342989)

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 **09/21/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	08/06/2025
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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>IA</b>	AVANTAX ADVISORY SERVICES	104556	Boca Raton, FL	12/05/2023 - 09/05/2025
<b>B</b>	AVANTAX INVESTMENT SERVICES, INC.	13686	Boca Raton, FL	12/01/2023 - 09/05/2025
<b>B</b>	B. RILEY WEALTH MANAGEMENT	2543	BOCA RATON, FL	06/17/2022 - 12/06/2023

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	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 **23** 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>B</b>	FINRA	General Securities Principal	Approved	09/05/2025
<b>B</b>	FINRA	General Securities Representative	Approved	09/05/2025
<b>B</b>	Arizona	Agent	Approved	09/05/2025
<b>B</b>	California	Agent	Approved	09/05/2025
<b>B</b>	Connecticut	Agent	Approved	09/05/2025
<b>B</b>	District of Columbia	Agent	Approved	09/05/2025
<b>B</b>	Florida	Agent	Approved	09/05/2025
<b>B</b>	Georgia	Agent	Approved	09/05/2025
<b>B</b>	Indiana	Agent	Approved	09/05/2025
<b>B</b>	Iowa	Agent	Approved	09/05/2025
<b>B</b>	Louisiana	Agent	Approved	09/05/2025
<b>B</b>	Maine	Agent	Approved	09/05/2025
<b>B</b>	Maryland	Agent	Approved	09/05/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Michigan	Agent	Approved	09/05/2025
<b>B</b> Minnesota	Agent	Approved	09/05/2025
<b>B</b> Mississippi	Agent	Approved	09/05/2025
<b>B</b> Nevada	Agent	Approved	09/05/2025
<b>B</b> New Jersey	Agent	Approved	09/05/2025
<b>B</b> New York	Agent	Approved	09/05/2025
<b>B</b> North Carolina	Agent	Approved	09/05/2025
<b>B</b> Ohio	Agent	Approved	09/05/2025
<b>B</b> Pennsylvania	Agent	Approved	09/05/2025
<b>B</b> Rhode Island	Agent	Approved	09/05/2025
<b>B</b> Texas	Agent	Approved	09/05/2025
<b>B</b> Virginia	Agent	Approved	09/05/2025

### Branch Office Locations

#### CETERA ADVISOR NETWORKS LLC

2500 North Military Trail, Suite 206  
Boca Raton, FL 33431

### 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



## Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	08/06/2025
IA Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

## Branch Office Locations

### **CETERA INVESTMENT ADVISERS LLC**

2500 North Military Trail  
Suite 206  
Boca Raton, FL 33431



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

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	03/06/1996

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/20/1993

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	06/09/2015
Uniform Securities Agent State Law Examination (S63)	Series 63	04/30/1993

### 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	12/05/2023 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Boca Raton, FL
B	12/01/2023 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Boca Raton, FL
B	06/17/2022 - 12/06/2023	B. RILEY WEALTH MANAGEMENT	CRD# 2543	BOCA RATON, FL
IA	09/03/2015 - 12/06/2023	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	BOCA RATON, FL
B	06/28/2007 - 07/23/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
B	05/08/2006 - 05/30/2007	BROOKSHIRE SECURITIES CORPORATION	CRD# 44347	FT. LAUDERDALE, FL
B	01/17/2002 - 04/28/2006	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	FT. LAUDERDALE, FL
B	10/20/1999 - 01/23/2002	PREFERRED SECURITIES GROUP, INC.	CRD# 35704	BOCA RATON, FL
B	02/25/1998 - 10/21/1999	FIN-ATLANTIC SECURITIES, INC.	CRD# 25523	JUPITER, FL
B	08/08/1994 - 12/23/1997	MONROE PARKER SECURITIES, INC.	CRD# 31204	PURCHASE, NY
B	04/21/1993 - 08/08/1994	BILTMORE SECURITIES, INC	CRD# 25023	FT. LAUDERDALE, FL

#### 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	Boca Raton, FL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Boca Raton, FL, United States
07/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2023 - Present	United Team Wealth Management	Financial Advisor	Y	Boca Raton, FL, United States
12/2023 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Boca Raton, FL, United States
12/2023 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Boca Raton, FL, United States
12/2023 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Boca Raton, FL, United States
06/2022 - 12/2023	B. RILEY WEALTH MANAGEMENT	REGISTERED REP	Y	BOCA RATON, FL, United States
08/2015 - 12/2023	B. RILEY WEALTH ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	BOCA RATON, FL, United States
06/2007 - 07/2022	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, 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) REAL ESTATE SALES ASSOCIATE LICENSE  
 POSITION: SALES ASSOCIATE NATURE: REAL ESTATE SALES INVESTMENT RELATED: No NUMBER OF HOURS: 1  
 SECURITIES TRADING HOURS: 0 START DATE: 12/08/2007  
 ADDRESS: 10742 Canyon Bay Ln, Boynton Beach FL 33473, United States  
 DESCRIPTION: LICENSE IN VOLUNTARY INACTIVE STATUS PAY ANNUAL FEES AND COMPLETE CE IN ORDER TO KEEP LICENSE IN GOOD STATUS

2) THREE BOYS SERVICES LLC  
 POSITION: MANAGER NATURE: I USE THIS ENTITY TO PASS THROUGH INCOME TO PAY BUSINESS EXPENSES  
 INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 02/03/2020  
 ADDRESS: 10742 Canyon Bay Ln, Boynton Beach FL 33473, United States  
 DESCRIPTION: MANAGE PAYROLL PAY RENT PAY OFFICE EXPENSES PAY OTHER BUSINESS EXPENSES MANAGE CORPORATE TAXES

3) UNITED TEAM WEALTH MANAGEMENT  
 POSITION: Financial Advisor NATURE: DBA for Avantax related business. I will offer investment planning, retirement planning, estate planning, and financial planning through this DBA. INVESTMENT RELATED: Yes NUMBER OF HOURS: 130  
 SECURITIES TRADING HOURS: 100 START DATE: 12/05/2023  
 ADDRESS: 2500 North Military Trail, Suite 206, BOCA RATON FL 33431, United States  
 DESCRIPTION: Provide sales and service of investments and insurance through Avantax. I will meet with clients. Review investment performance. Implement changes in strategy, if need be, to address the ever-changing market conditions and goals and objectives of my clients. Make recommendations as to how to best facilitate wealth transfer to beneficiaries. Service my



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

existing customers and offer my services to potential new clients that might benefit from having a relationship we me.

#### 4) UNITED TEAM TAX

POSITION: Tax Accountant NATURE: Tax Preparation, Resolution and Bookkeeping Services. INVESTMENT RELATED: No  
NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 100 START DATE: 12/15/2023  
ADDRESS: 2500 North Military Trail, Suite 206, Boca Raton FL 33431, United States  
DESCRIPTION: Tax Preparation, Resolution and Bookkeeping.

#### 5) CANYON LAKES HOA

POSITION: PRESIDENT NATURE: CANYON LAKES HOA IS THE COMMITTEE ELECTED BY THE COMMUNITY AND TASKED WITH OVERSIGHT OF RULES AND REGULATIONS AND TO ESTABLISH AN ANNUAL BUDGET AND MAKE DECISIONS AS TO HOW TO BEST ALLOCATE THOSE FUNDS TO MAINTAIN AND/OR IMPROVE THE FACILITIES HERE IN ORDER TO MEET OR EXCEED THE EXPECTATIONS OF THE RESIDENTS WHO LIVE HERE. INVESTMENT RELATED: No  
NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2019 ADDRESS: 8771 CANYON LAKES DRIVE, Boynton Beach FL 33473, United States DESCRIPTION: AS PRESIDENT MY DUTIES INCLUDE BUT ARE NOT LIMITED TO LEADING OUR MONTHLY BOARD MEETING, ASSIGNING COMMITTEES, MEDIATING DISPUTES, COMMUNICATING BOARD DECISIONS TO OTHER HOMEOWNERS, SIGNING LEGAL DOCUMENTS SUCH AS CHECKS AND CONTRACTS AND ENSURING COMPLIANCE WITH GOVERNING DOCUMENTS. THIS IS THE EXTENT OF MY ADDITIONAL DUTIES AS PRESIDENT. AS A MEMBER OF THE HOA BOARD I VOTE ON WHETHER OR NOT TO APPROVE PROPOSALS, HELP PRIORITIZE MAINTAINANCE PROJECTS AND OVERSEE THE COMMUNITY'S LANDSCAPE AND OVERALL APPEARANCE AND ENFORCE COMMUNITY RULES AND REGULATIONS.



## 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

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	BROOKSHIRE SECURITIES, INC.
<b>Allegations:</b>	NEGLIGENCE; CHURNING; UNAUTHORIZED TRADING; UNSUITABLE RECOMMENDATIONS; BREACH OF CONTRACT; BREACH OF FIDUCIARY DUTY
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$45,000.00

#### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	FINRA - CASE #08-04465
<b>Date Notice/Process Served:</b>	11/25/2008
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award
<b>Disposition Date:</b>	09/21/2009
<b>Disposition Detail:</b>	RESPONDENT IS LIABLE FOR UNSUITABLE RECOMMENDATIONS AND NEGLIGENCE AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE SUM OF \$11,500, PRE-JUDGMENT INTEREST SPECIFICALLY EXCLUDED.



<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	BROOKSHIRE SECURITIES CORPORATION
<b>Allegations:</b>	NEGLIGENCE, CHURNING, UNAUTHORIZED TRADING, UNSUITABILITY, AND BREACH OF CONTRACT
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$300,000.00
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	08 04465
<b>Date Notice/Process Served:</b>	12/11/2008
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award to Customer
<b>Disposition Date:</b>	09/21/2009
<b>Monetary Compensation Amount:</b>	\$11,500.00
<b>Individual Contribution Amount:</b>	\$11,500.00
<b>Broker Statement</b>	CLAIMANT FILED A CLAIM SEEKING COMPENSATORY DAMAGES OF \$300,000 IN ADDITION TO PUNITIVE DAMAGES OF THREE TIMES THAT AMOUNT. CLAIMANT WAS AWARDED \$11,500 COMPENSATORY DAMAGES. PRE-JUDGMENT INTEREST WAS SPECIFICALLY EXCLUDED. RESPONDENT MAINTAINS THAT ALL TRADES WERE SUITABLE BASED ON THE CUSTOMER'S STATED INVESTMENT OBJECTIVES.



## End of Report

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