IAPD Report

AHMAD BASHIR HUSAMI

CRD# 2362818

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

AHMAD BASHIR HUSAMI (CRD# 2362818)

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 **01/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HUSAMI & ASSOCIATES	CRD# 134240	03/26/1998
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 **15** 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	AVANTAX ADVISORY SERVICES	104556	Fullerton, CA	10/25/2019 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Fullerton, CA	10/25/2019 - 09/05/2025
IA	1ST GLOBAL ADVISORS INC	111133	Fullerton, CA	12/04/1996 - 10/25/2019

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
Customer Dispute	1

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

Employment 1 of 3

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	Arizona	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Illinois	Agent	Approved	09/05/2025
B	Iowa	Agent	Approved	09/05/2025
B	Massachusetts	Agent	Approved	09/19/2025
B	Nevada	Agent	Approved	09/05/2025
B	New Jersey	Agent	Approved	09/05/2025
B	New York	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025
B	Ohio	Agent	Approved	09/05/2025

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Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	01/12/2026
B	Utah	Agent	Approved	09/05/2025
B	Washington	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
1400 Brea Blvd
Fullerton, CA 92835

CETERA ADVISOR NETWORKS LLC
NEWPORT BEACH, CA

Employment 2 of 3

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

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
NEWPORT BEACH, CA

CETERA INVESTMENT ADVISERS LLC
1400 BREA BLVD
FULLERTON, CA 92835

Employment 3 of 3

Firm Name: **HUSAMI & ASSOCIATES**

Main Address: 1400 BREA BLVD.
FULLERTON, CA 92835

Firm ID#: 134240

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	03/26/1998

Branch Office Locations

HUSAMI & ASSOCIATES

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Qualifications

1400 Brea Blvd.
Fullerton, CA 92835

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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 1 state securities law exam.

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	General Securities Representative Examination (S7)	Series 7	08/11/1993

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/18/1993

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

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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	10/25/2019 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Fullerton, CA
B	10/25/2019 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Fullerton, CA
IA	12/04/1996 - 10/25/2019	1ST GLOBAL ADVISORS INC	CRD# 111133	Fullerton, CA
B	11/19/1996 - 10/25/2019	1ST GLOBAL CAPITAL CORP.	CRD# 30349	Fullerton, CA
B	08/13/1993 - 11/22/1996	BARABAN SECURITIES, INC.	CRD# 7659	LOS ANGELES, CA

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	Fullerton, CA, United States
12/2002 - Present	AHMAD HUSAMI	INVESTMENT ADVISER REPRESENTATIVE	Y	FULLERTON, CA, United States
08/1986 - Present	HUSAMI & ASSOCIATES	OTHER - OWNER	Y	FULLERTON, CA, United States
10/2019 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	IRVING, TX, United States
10/2019 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATYIVE	Y	Fullerton, CA, United States
06/2004 - 09/2025	AVANTAX INSURANCE SERVICES, INC.	INSURANCE AGENT	Y	FULLERTON, CA, United States
12/1996 - 10/2019	1ST GLOBAL ADVISORS, INC	REGISTERED INVESTMENT ADVISOR REPRESENTATIVE	Y	FULLERTON, CA, United States
11/1996 - 10/2019	1ST GLOBAL CAPITAL CORP.	FINANCIAL ADVISOR	Y	FULLERTON, CA, United States

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Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location

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) DISABILITY INSURANCE SALES
POSITION: null NATURE: Guardian INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2007
ADDRESS: CA , United States
DESCRIPTION: Insurance sales

2) AHMAD HUSAMI TRUSTEE & BENEFICIARY OF THE SUN SHINE TRUST
POSITION: TRUSTEE AND LIFE BENEFICIARY NATURE: TRUST INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 05/07/2006
ADDRESS: Long Beach CA 90808, United States
DESCRIPTION: Duties as stated under terms of trust.

3) AHMAD HUSAMI
POSITION: RIA NATURE: Investment adviser representative INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 12/2002
DESCRIPTION: Registered Investment Adviser

4) HUSAMI & ASSOCIATES
POSITION: FINANCIAL PLANNER AND LIFE AGENT NATURE: BOOKKEEPING, TAX AND CONSULTING SERVICES INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 08/01/1996
DESCRIPTION: Financial planning and life agent

5) OFFICE BUILDING IN FULLERTON
POSITION: Owner through living trust NATURE: A 6000 foot stand-alone office building at 1400 Brea Fullerton CA, used to house tax and financial business DBA Husami & Associates. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 02/02/2015
Address:
DESCRIPTION: Owner as co-trustee of the living trust that ownes the building.

6) RENTAL PROPERTY
POSITION: Owner NATURE: Rental Real Estate, Single Family Residence
1311 Alabama Street
Huntington Beach CA 92648 INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 01/08/2014
Address:
DESCRIPTION: Landlord. My wife manages property that is leased. collect rent, respond to tenant repair requests, makemake mortgage and property tax payments.

7) SFR AT 9021 HYDE PARK DR. HUNTINGTON BEACH CA 92646
POSITION: Owner/Landlord NATURE: Buying an SFR at 9021 Hyde Park Dr. Huntington Beach CA 92646 as rental property. It is the replacement property from the sale of an SFR that we owned at 4700 Deeboyar Lakewood CA which we sold in a 1031 Tax Deferred Exchange. INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE:

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

06/09/2023
ADDRESS: 1400 Brea Blvd, Fullerton CA 92835, United States
DESCRIPTION: My wife will manage the rental property: Advertising for rent, collection of rent, making mortgage payments, property tax, insurance, etc.

8) LOAN TO A A LIFETIME FRIEND
POSITION: Friend and financial advisor NATURE: Give a short-term loan to a lifetime friend's daughter, who is not a client, so she can purchase a home and close prior to selling her existing home. This will facilitate her purchase of a home close to her parents (my friend and his wife). This loan will allow the daughter to purchase the desired replacement home before she sells her current home.

She will pay me back as soon as she sells her current home. INVESTMENT RELATED: No NUMBER OF HOURS: 1
SECURITIES TRADING HOURS: 0 START DATE: 03/27/2025
ADDRESS: 1400 Brea Blvd, Fullerton CA 92835, United States
DESCRIPTION: Provide a loan that will carry interest equivalent to my current short-term treasury investments. Loan will be less than one year, and probably less than 6 months. The annual rate will be around 4.25%, and the maximum amount loaned will be $650,000.

9) AHMAD & RAJIA HUSAMI FAMILY TRUST; TRUSTEE; LIVING TRUST; IR; 2; 07/02/2013; Long Beach CA 90808; Duties as stated under terms of trust.

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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.

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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:	1ST GLOBAL
Allegations:	CLIENT ALLEGES BREACH OF FIDUCIARY DUTY AND NEGLIGENCE RELATING TO LOSSES RELATING TO INVESTMENTS RECOMMENDED BY THIRD PARTY MONEY MANAGER.
Product Type:	Other: MANAGED ACCOUNTS- THIRD PARTY MANAGER
Alleged Damages:	$600,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Settled
Status Date:	10/25/2012
Settlement Amount:	$430,000.00
Individual Contribution Amount:	$295,000.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	SUPERIOR COURT OF THE STATE OF CALIFORNIA, COUNTY OF LOS ANGELES

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Location of Court:	LOS ANGELES, CALIFORNIA
Docket/Case #:	BC 432982
Date Notice/Process Served:	03/10/2010
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/25/2012
Monetary Compensation Amount:	$430,000.00
Individual Contribution Amount:	$295,000.00
Broker Statement	CUSTOMER'S COMPLAINTS WERE PRIMARILY RELATED TO DUE DILIGENCE PERFORMED ON AN INVESTMENT RECOMMENDED BY A THIRD PARTY MONEY MANAGER. THE THIRD PARTY MONEY MANAGER REPRESENTED THAT IT HAD CONDUCTED ALL DUE DILIGENCE ON THE INVESTMENT, AND RESPONDENTS AND THE CUSTOMER RELIED UPON THE THIRD PARTY MONEY MANAGER TO DO SO. HOWEVER, THE THIRD PARTY MONEY MANAGER WAS NOT NAMED IN THE ACTION BY THE CUSTOMER. AS PART OF THE INITIAL SETTLEMENT (1/6/12), CUSTOMER AGREED TO ASSIGN ALL RIGHTS AGAINST THE THIRD PARTY MONEY MANAGER TO RESPONDENTS. AMOUNT: $250,000 PLUS $25,000 IF CUSTOMER AGREED TO RETAIN CLAIMS AGAINST THE FUND AT ISSUE; ALTERNATIVELY, RESPONDENTS AGREED TO ASSIST CUSTOMER FIND A BUYER OF HIS CLAIMS AGAINST THE FUND AT ISSUE FOR AT LEAST A $200,000 PURCHASE PRICE. ON10/25/12, THE CONTINGENT PORTION OF THE INITIAL SETTLEMENT WAS MODIFIED IN THAT NO THIRD PARTY BUYER WAS FOUND TO PURCHASE THE CLIENT'S CLAIM AGAINST THE FUND THEREFORE, THE CUSTOMER AGREED TO ACCEPT AN ADDITIONAL $180,000 IN PAYMENT AND TO RETAIN CLAIMS AGAINST THE FUND AT ISSUE. RESPONDENTS' CONTRIBUTION TO THE $180,000 PAYMENT WAS $45,000. THE REMAINING $135,000 WAS CONTRIBUTED BY AN UNAFFILATED THIRD PARTY MONEY MANAGER. IN SUMMARY, TOTAL SETTLEMENTS MADE TO THE CUSTOMER WERE $430,000. RESPONDENTS' CONTRIBUTION TO THAT AMOUNT WAS $295,000. THIRD PARTY MONEY MANAGER CONTRIBUTION TO THE TOTAL SETTLEMENT AMOUNT WAS $135,000.

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End of Report

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