



## IAPD Report

# SCOT PATRICK SAGESER

CRD# 2390418

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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

### SCOT PATRICK SAGESER (CRD# 2390418)

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 **11/20/2025**.

### CURRENT EMPLOYERS

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

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	Bremerton, WA	09/11/2024 - 09/05/2025
<b>B</b>	AVANTAX INVESTMENT SERVICES, INC.	13686	Bremerton, WA	09/11/2024 - 09/05/2025
<b>IA</b>	WORLD EQUITY GROUP, INC.	29087	BREMERTON, WA	09/12/2007 - 09/12/2024

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 **14** 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> FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025
<b>B</b> Alaska	Agent	Approved	09/05/2025
<b>B</b> Arizona	Agent	Approved	09/05/2025
<b>B</b> California	Agent	Approved	09/19/2025
<b>B</b> Colorado	Agent	Approved	09/05/2025
<b>B</b> Florida	Agent	Approved	09/05/2025
<b>B</b> Idaho	Agent	Approved	09/05/2025
<b>B</b> Montana	Agent	Approved	09/05/2025
<b>B</b> New York	Agent	Approved	09/21/2025
<b>B</b> North Dakota	Agent	Approved	09/05/2025
<b>B</b> Ohio	Agent	Approved	09/05/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Oregon	Agent	Approved	09/05/2025
<b>B</b> Texas	Agent	Approved	09/05/2025
<b>B</b> Utah	Agent	Approved	09/22/2025
<b>B</b> Washington	Agent	Approved	09/05/2025

### Branch Office Locations

#### CETERA ADVISOR NETWORKS LLC

500 Pacific Ave  
Suite 200  
Bremerton, WA 98337

### 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
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	09/05/2025
<b>IA</b> Washington	Investment Adviser Representative	Approved	09/05/2025

### Branch Office Locations

#### CETERA INVESTMENT ADVISERS LLC

500 PACIFIC AVE  
SUITE 200  
BREMERTON, WA 98337




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



#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/11/1997

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/22/1994
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/20/1993

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	04/25/1996
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/20/1993

### 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	09/11/2024 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Bremerton, WA
B	09/11/2024 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Bremerton, WA
IA	09/12/2007 - 09/12/2024	WORLD EQUITY GROUP, INC.	CRD# 29087	BREMERTON, WA
B	06/14/2007 - 09/12/2024	WORLD EQUITY GROUP, INC.	CRD# 29087	BREMERTON, WA
IA	06/27/2007 - 09/27/2007	FINANCIAL LEADERSHIP ADVISORS, INC.	CRD# 139864	POULSBO, WA
IA	05/10/2005 - 06/19/2007	INVESTORS CAPITAL ADVISORY	CRD# 30613	POULSBO, WA
B	03/01/2002 - 06/19/2007	INVESTORS CAPITAL CORP.	CRD# 30613	POULSBO, WA
IA	12/16/2002 - 05/12/2005	EASTERN POINT ADVISORS INC.	CRD# 107123	POULSBO, WA
B	11/23/2001 - 03/04/2002	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	LINCOLN, NE
B	02/21/2001 - 12/15/2001	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	01/04/1999 - 02/28/2001	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
B	02/02/1998 - 01/07/1999	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	CONSHOHOCKEN, PA
B	12/11/1996 - 02/02/1998	SII INVESTMENTS, INC.	CRD# 2225	APPLETON, WI
B	03/15/1996 - 12/11/1996	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	10/27/1994 - 03/28/1996	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	09/21/1993 - 10/27/1994	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA



### 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 09/21/1993 - 10/27/1994	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY

#### 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	EL SEGUNDO, CA, United States
02/2023 - Present	Doll & Defender, LLC	Governor	Y	Bremerton, WA, United States
02/2019 - Present	Valley of Bremerton Scottish Rite	General Secretary	Y	Bremerton, WA, United States
11/2017 - Present	Franklin Lodge No 5	Secretary	Y	Port Gamble, WA, United States
02/2017 - Present	Scottish Rite Scholarship Foundation of Washington	Vice President	Y	Kenmore, WA, United States
05/2015 - Present	Defender Financial Services Group	Governor	Y	Bremerton, WA, United States
05/2015 - Present	Defender Financial Services Group dba Fraternal Advisors Network	Governor	Y	Bremerton, WA, United States
03/2007 - Present	LegalShield	Independent Contractor	Y	Bremerton, WA, United States
09/2024 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Bremerton, WA, United States
09/2024 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Bremerton, WA, United States
09/2024 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Bremerton, WA, United States
06/2007 - 08/2024	WORLD EQUITY GROUP, INC.	Registered Rep	Y	Bremerton, WA, 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) VALLEY OF BREMERTON SCOTTISH RITE; Secretary; We provide scholarships and sponsor Early Life Speech and Language. NIR; HRS 10; HRS 0; 02/02/2019; 878 5th St, Bremerton WA 98337; General Management and oversight of calendar, operations, record keeping and operations.
  - 2) SCOTTISH RITE SCHOLARSHIP FOUNDATION OF WASHINGTON; Vice President; Funds students in higher education through scholarships and grants. NIR; HRS 5; HRS 0; 02/02/2017; 6830 NE Bothell Way, Suite C-421, Kenmore WA 98028; Involved in providing leadership, professional guidance and help in allocating scholarship and fellowships.
  - 3) FRANKLIN LODGE NO 5; Secretary; We provide a place for fellowship, education and professional development. NIR; HRS 5; HRS 0; 11/15/2017; 5 Rainier Ave, Port Gamble WA 98364; Management of calendar, keep minutes, provide communication and public relations.
  - 4) RITE CARE OF WASHINGTON DBA EARLY LIFE SPEECH AND LANGUAGE; Board of Directors â President. We treat children with Speech Therapy. NIR; HRS 10; HRS 0; 09/22/2023; 506 W. 2nd Ave. Spokane, WA 99201 Phone (509) 838-2310, Spokane WA 99201; Run board meetings, Recruit and public speaking.
  - 5) WILLIAM H. UPTON NAVAL AND MILITARY LODGE NO 206; Secretary; We also do charitable work such as feeding the homeless, providing resources for homeless youth. IR; HRS 4; HRS 0; 11/21/2015; 878 5th St, Bremerton WA 98337; Responsible to keep the Books and records, keep minutes, provide support and guidance.
  - 6) LEGALSHIELD; Independent Contractor; LegalShield is an online legal service company. NIR; HRS 5; HRS 0; 07/01/2007; 500 PACIFIC AVE, SUITE 200, Bremerton WA 98337; Listen to customer and determine if there is a need and could benefited from services
  - 7) WASHINGTON MASONIC SERVICES & GRAND LODGE OF WASHINGTON; Vice President; Mission is to assist Masons and others in need. NIR, HRS 5; HRS 0; 06/13/2018; 4970 Bridgeport Way W, University Place WA 98467; Provide leadership, communication and oversight of Management and operations.
  - 8) DOLL AND DEFENDER LLC; Governor; Health, and Property and Casualty Insurance; NIR; HRS 3; HRS 1; 02/15/2023; 500 Pacific Ave, Suite 200, Bremerton WA 98337; Sale of insurance products and services. Educate and meet with clients.
  - 9) MELALEUCA; Member; Marketing of Home goods products. NIR; HRS 1; HRS 0; 11/01/2009; 28742 Shaggy Dog Ln NE, Poulsbo WA 98370; I use Melaleuca to buy healthcare products.
  - 10) ACN INC.; Member; Communication products.; HRS 1; HRS 0; 03/01/2010; 28742 Shaggy Dog Ln NE, Poulsbo WA 98370; I use ACN Inc. to buy products.
  - 11) DEFENDER FINANCIAL SERVICES GROUP DBA FRATERNAL ADVISORS NETWORK, DBA DEFENDER INSURANCE; Investment, Tax, estate, retirement, financial, insurance, and charitable planning. IR; HRS 130; HRS 100; 05/11/2015; 500 PACIFIC AVE, SUITE 200, Bremerton WA 98337; Assess your relevant financial information to decide on a financial plan.
  - 12) GRAND COUNCIL ROYAL & SELECT MASTERS OF WASHINGTON; Governor; The organization that teaches good behavior, good government, and good business in the community. NIR; HRS 0; HRS 0; 05/12/2023; 878 5th St, Seabeck WA 98380; I no longer have any role, or title with this entity and am working to get my
  - 13) WILLIAM H. UPTON NAVAL AND MILITARY LODGE NO 206; Secretary; Organization focused on improving our community. IR; HRS 4; HRS 0; 11/21/2015; 878 5th St, Bremerton WA 98337; Responsible to keep the Books and records, keep minutes, provide support and guidance.
- OUTSIDE INSURANCE SALES; Agent; Sale and marketing of fixed insurance policies. NIR; HRS 20; HRS 10; 07/14/2007; 500 Pacific Ave, Suite 200, Bremerton WA 98337; Duties are to provide clients with options for necessary coverage.



## 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>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	INVESTORS CAPITAL CORPORATION
<b>Allegations:</b>	CLAIMANT ALLEGES UNAUTHORIZED TRADING, CHURNING, UNSUITABILITY AND FAILURE TO FOLLOW INSTRUCTIONS
<b>Product Type:</b>	Equity - OTC
<b>Alleged Damages:</b>	\$90,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/23/2002
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	07/03/2003

#### Settlement Amount:

**Individual Contribution Amount:**

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD CASE NO. 03-02014
<b>Date Notice/Process Served:</b>	07/03/2003



**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 02/13/2004  
**Monetary Compensation Amount:** \$60,000.00  
**Individual Contribution Amount:** \$5,000.00  
**Firm Statement** TOTAL SETTLEMENT OF \$60000.00 FORMER BORKER DEALER NATHEN AND LEWIS TO CONTRIBUTE \$20000.00 WITH BALANCE TO BE PAID BY INSURANCE CARRIER OF CURRENT BROKER DEALER.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** INVESTORS CAPITAL CORPORATION  
**Allegations:** CLAIMANT ALLEGES UNAUTHORIZED TRADING, CHURNING, UNSUITABILITY AND FAILURE TO FOLLOW INSTRUCTIONS  
**Product Type:** Equity - OTC  
**Alleged Damages:** \$90,000.00

### Customer Complaint Information

**Date Complaint Received:** 09/23/2002  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 07/03/2003  
**Settlement Amount:**  
**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD CASE NO. 03-02014  
**Date Notice/Process Served:** 07/03/2003  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 02/13/2004  
**Monetary Compensation Amount:** \$60,000.00  
**Individual Contribution Amount:** \$5,000.00  
**Broker Statement** TOTAL SETTLEMENT OF \$60000.00 FORMER BORKER DEALER NATHEN AND LEWIS TO CONTRIBUTE \$20000.00 WITH BALANCE TO BE PAID BY INSURANCE CARRIER OF CURRENT BROKER DEALER.



## End of Report

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