



## IAPD Report

# Donna Litty

CRD# 2645660

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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

### Donna Litty (CRD# 2645660)

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 **05/12/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA ADVISORS LLC	CRD# 10299	11/13/2025
<b>B</b>	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	11/13/2025
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	11/13/2025
<b>B</b>	CETERA INVESTMENT SERVICES LLC	CRD# 15340	11/13/2025
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	11/14/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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>	LPL FINANCIAL LLC	6413	Canton, GA	05/28/2025 - 10/31/2025
<b>B</b>	LPL FINANCIAL LLC	6413	FORT MILL, SC	05/27/2025 - 10/31/2025
<b>IA</b>	OSAIC WEALTH, INC.	23131	SCOTTSDALE, AZ	08/23/2024 - 04/02/2025

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**



## Report Summary

The following types of events are disclosed about this representative:

Type	Count
Termination	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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 5

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	11/13/2025
<b>B</b> FINRA	General Securities Representative	Approved	11/13/2025
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	11/13/2025
<b>B</b> FINRA	Municipal Securities Principal	Approved	11/13/2025
<b>B</b> FINRA	Municipal Securities Representative	Approved	11/13/2025
<b>B</b> Georgia	Agent	Approved	11/13/2025
<b>B</b> Washington	Agent	Approved	05/14/2026

### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
CANTON, GA

### Employment 2 of 5

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
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<b>IA</b> Georgia	Investment Adviser Representative	Approved	11/14/2025
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### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
CANTON, GA

**CETERA INVESTMENT ADVISERS LLC**  
2301 ROSECRANS AVE #5100  
EL SEGUNDO, CA 90245

### Employment 3 of 5

Firm Name: **CETERA ADVISORS LLC**  
Main Address: 5299 DTC BLVD #800  
GREENWOOD VILLAGE, CO 80111  
Firm ID#: 10299

Regulator	Registration	Status	Date
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<b>B</b> FINRA	General Securities Principal	Approved	11/13/2025
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<b>B</b> FINRA	General Securities Representative	Approved	11/13/2025
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<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	11/13/2025
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<b>B</b> FINRA	Municipal Securities Principal	Approved	11/13/2025
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<b>B</b> FINRA	Municipal Securities Representative	Approved	11/13/2025
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### Branch Office Locations

**CETERA ADVISORS LLC**  
CANTON, GA

### Employment 4 of 5

Firm Name: **CETERA FINANCIAL SPECIALISTS LLC**  
Main Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE #650  
SCHAUMBURG, IL 60173  
Firm ID#: 10358

Regulator	Registration	Status	Date
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<b>B</b> FINRA	General Securities Principal	Approved	11/13/2025
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### Qualifications

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	11/13/2025
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	11/13/2025
<b>B</b> FINRA	Municipal Securities Principal	Approved	11/13/2025
<b>B</b> FINRA	Municipal Securities Representative	Approved	11/13/2025

### Branch Office Locations

CANTON, GA

### Employment 5 of 5

Firm Name: **CETERA INVESTMENT SERVICES LLC**  
 Main Address: 400 FIRST ST. S. SUITE 300  
 ST. CLOUD, MN 56301  
 Firm ID#: 15340

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Principal	Approved	11/13/2025
<b>B</b> FINRA	General Securities Representative	Approved	11/13/2025
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	11/13/2025
<b>B</b> FINRA	Municipal Securities Principal	Approved	11/13/2025
<b>B</b> FINRA	Municipal Securities Representative	Approved	11/13/2025

### Branch Office Locations

**CETERA INVESTMENT SERVICES LLC**  
 CANTON, GA







## 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 4 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	11/13/2020
	General Securities Principal Examination (S24)	Series 24	11/12/2018
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/21/2002
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/20/2002

#### General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/28/1997
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/13/1995

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/26/2019
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/23/1995



## 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	05/28/2025 - 10/31/2025	LPL FINANCIAL LLC	CRD# 6413	Canton, GA
B	05/27/2025 - 10/31/2025	LPL FINANCIAL LLC	CRD# 6413	FORT MILL, SC
IA	08/23/2024 - 04/02/2025	OSAIC WEALTH, INC.	CRD# 23131	SCOTTSDALE, AZ
B	09/01/2021 - 04/02/2025	OSAIC WEALTH, INC.	CRD# 23131	SCOTTSDALE, AZ
IA	09/03/2019 - 08/23/2024	TRIAD ADVISORS, LLC	CRD# 25803	ATLANTA, GA
B	09/13/2017 - 08/23/2024	TRIAD ADVISORS LLC	CRD# 25803	ATLANTA, GA
B	09/01/2021 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	09/01/2021 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN
B	09/01/2021 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	09/01/2021 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
B	02/05/2015 - 08/08/2016	TAYLOR CAPITAL MANAGEMENT INC.	CRD# 43559	WOODSTOCK, GA
B	03/15/2013 - 02/18/2014	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	CANTON, GA
IA	11/12/2008 - 11/30/2012	WELLS FARGO ADVISORS, LLC	CRD# 19616	WOODSTOCK, GA
B	11/06/2008 - 11/30/2012	WELLS FARGO ADVISORS, LLC	CRD# 19616	WOODSTOCK, GA
IA	04/22/2003 - 10/07/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	CANTON, GA
B	10/01/2000 - 10/07/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	CANTON, GA



### 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	02/04/1998 - 10/01/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	12/14/1995 - 01/12/1998	PEOPLE'S SECURITIES, INC.	CRD# 13704	BRIDGEPORT, CT

#### 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
10/2025 - Present	CETERA ADVISORS LLC	SENIOR COMPLIANCE ANALYST	Y	GREENWOOD VILLAGE, CO, United States
10/2025 - Present	CETERA FINANCIAL SPECIALISTS LLC	SENIOR COMPLIANCE ANALYST	Y	SCHAUMBURG, IL, United States
10/2025 - Present	CETERA INVESTMENT ADVISORS, LLC	SENIOR COMPLIANCE ANALYST	Y	SCHAUMBURG, IL, United States
10/2025 - Present	CETERA INVESTMENT SERVICES LLC	SENIOR COMPLIANCE ANALYST	Y	ST CLOUD, MN, United States
10/2025 - Present	CETERA WEALTH SERVICES, LLC	SENIOR COMPLIANCE ANALYST	Y	EL SEGUNDO, CA, United States
05/2025 - 10/2025	LPL Financial LLC	Contingent Worker	Y	Fort Mill, SC, United States
08/2024 - 05/2025	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
08/2017 - 05/2025	Triad Advisors, Inc.	Operations Specialist	Y	Norcross, GA, United States
08/2016 - 08/2017	Unemployed	Unemployed	N	Canton, GA, United States
02/2015 - 08/2016	TCM SECURITIES, INC	REGISTERED STAFF MEMBER	Y	WOODSTOCK, GA, 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.

No information reported.



## 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
Termination	1

### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 1

**Reporting Source:** Firm

**Firm Name:** WELLS FARGO ADVISORS, LLC.

**Termination Type:** Discharged

**Termination Date:** 11/13/2012

**Allegations:** DISCHARGED FOR USING SIGNATURE STAMP OF ANOTHER FIRM ASSOCIATE, WHICH WAS PROVIDED TO HER BY THAT ASSOCIATE, FOR USE ON SELECT FIRM DOCUMENTS.

**Product Type:** No Product

**Reporting Source:** Individual

**Firm Name:** WELLS FARGO

**Termination Type:** Discharged

**Termination Date:** 11/13/2012

**Allegations:** DISCHARGED FOR USING SIGNATURE STAMP OF ANOTHER FIRM ASSOCIATE, WHICH WAS PROVIDED TO HER BY THAT ASSOCIATE, FOR USE ON SELECT FIRM DOCUMENTS.

**Product Type:** No Product



## End of Report

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