



IAPD Report

Eric E. Harley

CRD# 2678289

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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

Eric E. Harley (CRD# 2678289)

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 **01/23/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
B CETERA WEALTH SERVICES, LLC	CRD# 13572	05/01/2025
IA CETERA INVESTMENT ADVISERS LLC	CRD# 105644	05/01/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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 KESTRA ADVISORY SERVICES, LLC	283330	AUSTIN, TX	01/11/2022 - 04/29/2025
B KESTRA INVESTMENT SERVICES, LLC	42046	Merrick, NY	01/11/2022 - 04/29/2025
B J.P. MORGAN SECURITIES LLC	79	BROOKLYN, NY	10/15/2019 - 01/12/2022

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
Criminal	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 5 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 Representative	Approved	05/01/2025
B Florida	Agent	Approved	05/02/2025
B Maryland	Agent	Approved	01/26/2026
B New Jersey	Agent	Approved	05/05/2025
B New York	Agent	Approved	05/02/2025
B Virginia	Agent	Approved	01/27/2026

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
1840 Merrick Ave
Merrick, NY 11566

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 New York	Investment Adviser Representative	Approved	05/01/2025



Qualifications

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC

1840 Merrick Ave
Merrick, NY 11566



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	10/10/1996
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/11/2005
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Uniform Securities Agent State Law Examination (S63)	Series 63	11/01/1996
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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	01/11/2022 - 04/29/2025	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	AUSTIN, TX
B	01/11/2022 - 04/29/2025	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	Merrick, NY
B	10/15/2019 - 01/12/2022	J.P. MORGAN SECURITIES LLC	CRD# 79	BROOKLYN, NY
IA	10/15/2019 - 01/12/2022	J.P. MORGAN SECURITIES LLC	CRD# 79	BROOKLYN, NY
IA	03/01/2018 - 09/24/2019	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	Merrick, NY
B	02/21/2018 - 09/24/2019	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	Merrick, NY
IA	04/14/2014 - 12/22/2017	LPL FINANCIAL LLC	CRD# 6413	MERRICK, NY
B	04/10/2014 - 12/22/2017	LPL FINANCIAL LLC	CRD# 6413	MERRICK, NY
IA	12/19/2005 - 01/10/2014	CLEARBRIDGE INVESTMENTS, LLC	CRD# 137028	NEW YORK, NY
B	12/01/2005 - 01/10/2014	LEGG MASON INVESTOR SERVICES, LLC	CRD# 109064	SAN MATEO, CA
IA	11/08/2005 - 12/19/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	STAMFORD, CT
B	01/23/2001 - 12/01/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	07/13/1998 - 01/21/2000	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	03/27/1997 - 06/10/1998	THE DREYFUS SERVICE CORPORATION	CRD# 231	NEW YORK, NY
B	10/11/1996 - 04/08/1997	JW CHARLES SECURITIES, INC.	CRD# 33832	BOCA RATON, FL



Registration & Employment History

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
05/2025 - Present	CETERA INVESTMET ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
05/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
01/2022 - Present	MERRICK FINANCIAL GROUP	FINANCIAL PROFESSIONAL	Y	MERRICK, NY, United States
12/2021 - Present	OMEGA 88 GROUP LLC	OWNER	N	ARVERNE, NY, United States
01/2022 - 04/2025	Kestra Advisory Services LLC	Investment Advisor	Y	MERRICK, NY, United States
01/2022 - 04/2025	Kestra Investment Services LLC	Registered Rep	Y	MERRICK, NY, United States
09/2019 - 01/2022	JP MORGAN CHASE BANK, N.A.	Market Director	Y	Brooklyn, NY, United States
09/2019 - 01/2022	JP MORGAN SECURITIES, LLC	Market Director	Y	Brooklyn, NY, United States
08/2014 - 01/2022	Omega 88 Group LLC	OWNER	Y	AVERNE, NY, United States
02/2018 - 10/2019	Kestra Advisory Services, LLC	REGISTERED REP	Y	NEW YORK, NY, United States
02/2018 - 10/2019	Kestra Investment Services, LLC	REGISTERED REP	Y	NEW YORK, NY, United States
04/2014 - 12/2017	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	MERRICK, NY, 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. NAME OF OTHER BUSINESS: OMEGA 88 GROUP LLC
 INVESTMENT RELATED: NO
 ADDRESS: ARVERNE, NY 11692
 NATURE OF BUSINESS: PASSTHROUGH RECEIVING FEES AND COMMISSIONS
 START DATE: 12/2021
 POSITION/TITLE/RELATIONSHIP: OWNER
 APX NUMBER OF HOURS PER WEEK: 1
 APX NUMBER OF HOURS DURING TRADING HOURS: 0
 BRIEF DESCRIPTION OF DUTIES: SINGLE OWNER;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2. NAME OF OTHER BUSINESS: MERRICK FINANCIAL GROUP

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES

START DATE: 1/2022

POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL

APX NUMBER OF HOURS PER WEEK: 50

APX NUMBER OF HOURS DURING TRADING HOURS: 32

BRIEF DESCRIPTION OF DUTIES: FINANCIAL PLANNING;

3. NAME OF OTHER BUSINESS: MERRICK CARES FOR BLUE

INVESTMENT RELATED: NO

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: 501C3 THAT FOCUS ON SUPPORTING THE FAMILIES OF FIRST RESPONDERS AND THE COMMUNITY THAT SUPPORTS THEM

START DATE: 1/2025

POSITION/TITLE/RELATIONSHIP: VICE PRESIDENT

APX NUMBER OF HOURS PER WEEK: 1

APX NUMBER OF HOURS DURING TRADING HOURS: 1

BRIEF DESCRIPTION OF DUTIES: SUPPORTING PRESIDENT AND HIS/HER AGENDA, EDUCATIONS EFFORTS AND FUND RAISING TO SUPPORT FIRST RESPONDERS;

4. NAME OF OTHER BUSINESS: ASSOCIATION OF AFRICAN AMERICAN FINANCIAL ADVISORS;

INVESTMENT RELATED: NO;

ADDRESS: 1050 CONNECTICUT AVENUE NW WASHINGTON, DC 20036;

NATURE OF BUSINESS: NON PROFIT;

START DATE: 01/2026;

POSITION/TITLE/RELATIONSHIP: BOARD MEMBER;

APX NUMBER OF HOURS PER WEEK: 3;

APX NUMBER OF HOURS DURING TRADING HOURS: 0;

BRIEF DESCRIPTION OF DUTIES: CULTIVATING CAREER ADVANCEMENT AND LEADERSHIP DEVELOPMENT, CREATING EQUITABLE AND INCLUSIVE OPPORTUNITIES, DRIVING POLICY ADVOCACY;



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	POLICE DEPARTMENT HAMPTON - VA CRIMINAL ACTION
Charge Date:	02/22/1987
Charge Details:	PETTY LARCENY - SHOPLIFTING
Felony?	No
Current Status:	Final
Status Date:	04/28/1987
Disposition Details:	CHARGES WERE DROPPED.
Broker Statement	NOT PROVIDED



End of Report

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