IAPD Report

THOMAS EDWARD BOLES

CRD# 2771368

Section Title	**Page(s)**

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

THOMAS EDWARD BOLES (CRD# 2771368)

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 **07/22/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	01/10/2013
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	CETERA ADVISORS LLC	10299	GREENWOOD VILLAGE, IL	01/09/2013 - 03/21/2024
IA	CETERA ADVISORS LLC	10299	SAN DIEGO, CA	07/26/2007 - 01/09/2013
B	MULTI-FINANCIAL SECURITIES CORPORATION	10299	SAN DIEGO, CA	07/26/2007 - 01/09/2013

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	4

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

Employment 1 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	California	Investment Adviser Representative	Approved	03/21/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
1011 CAMINO DEL RIO S STE 530
SAN DIEGO, CA 92108

Employment 2 of 2

Firm Name: **CETERA ADVISORS LLC**

Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111

Firm ID#: 10299

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/10/2013
B	FINRA	General Securities Sales Supervisor	Approved	01/10/2013
B	Alabama	Agent	Approved	09/30/2014
B	Arizona	Agent	Approved	01/10/2013
B	California	Agent	Approved	01/10/2013

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	01/10/2013
B	Connecticut	Agent	Approved	01/10/2013
B	Florida	Agent	Approved	01/10/2013
B	Georgia	Agent	Approved	02/03/2016
B	Idaho	Agent	Approved	01/10/2013
B	Illinois	Agent	Approved	01/10/2013
B	Indiana	Agent	Approved	01/31/2017
B	Iowa	Agent	Approved	01/10/2013
B	Kentucky	Agent	Approved	08/30/2016
B	Louisiana	Agent	Approved	01/09/2019
B	Maryland	Agent	Approved	01/10/2013
B	Michigan	Agent	Approved	01/10/2013
B	Minnesota	Agent	Approved	04/21/2015
B	Missouri	Agent	Approved	08/28/2018
B	Nevada	Agent	Approved	01/10/2013
B	New Jersey	Agent	Approved	01/10/2013
B	New York	Agent	Approved	01/10/2013
B	North Carolina	Agent	Approved	01/10/2013
B	Ohio	Agent	Approved	06/22/2017

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	04/24/2015
B	Oregon	Agent	Approved	01/10/2013
B	Pennsylvania	Agent	Approved	01/06/2016
B	South Carolina	Agent	Approved	09/11/2014
B	Tennessee	Agent	Approved	01/05/2017
B	Texas	Agent	Approved	01/10/2013
B	Utah	Agent	Approved	01/10/2013
B	Virginia	Agent	Approved	01/10/2013
B	Washington	Agent	Approved	01/10/2013

Branch Office Locations

CETERA ADVISORS LLC
1011 CAMINO DEL RIO S STE 530
SAN DIEGO, CA 92108

CETERA ADVISORS LLC
CARLSBAD, CA

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/09/2003
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/30/2003

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	11/07/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/29/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/04/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	01/09/2013 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
IA	07/26/2007 - 01/09/2013	CETERA ADVISORS LLC	CRD# 10299	SAN DIEGO, CA
B	07/26/2007 - 01/09/2013	MULTI-FINANCIAL SECURITIES CORPORATION	CRD# 10299	SAN DIEGO, CA
B	04/07/2006 - 08/01/2007	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	ENCINITAS, CA
IA	04/07/2006 - 08/01/2007	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	ENCINITAS, CA
IA	07/30/2003 - 04/21/2006	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	SAN DIEGO, CA
B	02/18/2003 - 04/21/2006	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	SAN DIEGO, CA
B	11/08/1996 - 02/27/2003	PRESIDENTIAL BROKERAGE, INC.	CRD# 28784	AUSTIN, TX

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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2013 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
07/2007 - Present	TELESIS FINANCIAL SERVICES	PRESIDENT	Y	SAN DIEGO, CA, 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) FIXED INSURANCE AGENT

Registration & Employment History

OTHER BUSINESS ACTIVITIES

(2) NAME OF OTHER BUSINESS: UNITED FINANCIAL CONSULTANTS INC ;
INVESTMENT RELATED: NO
ADDRESS: SAME AS REGISTERED LOCATION ;
NATURE OF BUSINESS: S-CORP ;
START DATE: 08/2007 ;
POSITION/TITLE/RELATIONSHIP: PRESIDENT / OWNER ;
APX NUMBER OF HOURS PER WEEK: 40 ;
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5 ;
BRIEF DESCRIPTION OF DUTIES: MANAGE DAY TO DAY OPERATIONS. RENTING AVAILABLE OFFICE SPACE ;

(3) NAME OF OTHER BUSINESS: TELESIS FINANCIAL;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FINANCIAL SERVICES;
START DATE: 11/2016;
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: 40;
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

(4) NAME OF OTHER BUSINESS: TELESIS TAX & FINANCIAL
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: TAX SERVICES
START DATE: 2/2018
APX NUMBER OF HOURS PER WEEK: 15
APX NUMBER OF HOURS DURING TRADING HOURS: 15
POSITION/TITLE/RELATIONSHIP: TAX PREPARER & IRS ENROLLED AGENT
BRIEF DESCRIPTION OF DUTIES: TAX SERVICES ;

(5) NAME OF OTHER BUSINESS: COASTAL DRAGONS RUGBY INC;
INVESTMENT RELATED: NO;
ADDRESS: 1345 ENCINITAS BLVD STE 421 ENCINITAS CA 92024;
NATURE OF BUSINESS: COMMUNITY SPORTS;
START DATE: 10/2020;
POSITION/TITLE/RELATIONSHIP: BOARD/TREASURER;
APX NUMBER OF HOURS PER WEEK: 2-3;
APX NUMBER OF HOURS DURING TRADING HOURS: 2-3;
BRIEF DESCRIPTION OF DUTIES: PROVIDE OPERATIONAL SUPPORT FOR THE LEAGUE;

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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Cetera Advisors LLC
Allegations:	The client alleges the product was an unsuitable investment.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$11,538.26
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/07/2017
Complaint Pending?	No
Status:	Denied
Status Date:	02/27/2017
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I deny any allegations made by the client. A thorough due diligence process found this investment suitable for a small percentage of her portfolio. The client enjoyed

six years of dividends before the investment was forced to close. Never during the six years of ownership was suitability an issue and/or brought to my attention.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MULTI-FINANCIAL SECURITIES CORPORATION
Allegations:	THE CLIENT BELIEVES NOW THAT PRODUCT WAS UNSUITABLE.
Product Type:	Annuity-Fixed
Alleged Damages:	$16,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT WANT TO RESCIND THE TRADE WITH NO PENALITIES.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/16/2012
Complaint Pending?	No
Status:	Denied
Status Date:	01/04/2013
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE REPRESENTATIVE BELIEVES THAT THIS ISSUE WAS ORIGINATED BY ANOTHER REGISTERED REPRESENTATIVE ATTEMPTING TO GET A NEW COMMISION OFF THE CLIENT. THIS PRODUCT WAS EXACTLY WHAT THE CLIENT WANTED.

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	H&R BLOCK FINANCIAL ADVISORS, INC.
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, UNSUITABILITY, AND VIOLATION OF CALIFORNIA STATUTES IN CONNECTION WITH DEFERRED FIXED ANNUITY PURCHASED IN JULY 2004. A DAMAGE AMOUNT IS NOT SPECIFIED.
Product Type:	Annuity(ies) - Fixed
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	05/26/2006
Complaint Pending?	No
Status:	Litigation
Status Date:	04/02/2007
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	SUPERIOR COURT OF THE STATE OF CALIFORNIA; COUNTY OF SAN DIEGO, DOWNTOWN DIVISION CASE NO. GIC 881936.
Date Notice/Process Served:	04/02/2007
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	08/31/2007
Monetary Compensation Amount:	$22,320.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	H&R BLOCK FINANCIAL ADVISORS, INC.
Allegations:	CUSTOMER SENT LETTER TO CALIFORNIA DEPARTMENT OF INSURANCE ALLEGING SHE WAS PRESSURED INTO 2004 PURCHASE OF FIXED ANNUITY AND QUESTIONS THE APPROPRIATENESS OF THE INVESTMENT. A DAMAGE AMOUNT IS NOT SPECIFIED, BUT BELIEVED TO BE MORE THAN $5000.
Product Type:	Annuity(ies) - Fixed
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	05/26/2006
Complaint Pending?	No
Status:	Litigation
Status Date:	04/02/2007
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	SUPERIOR COURT OF THE STATE OF CALIFORNIA; COUNTY OF SAN DIEGO, DOWNTOWN DIVISION CASE NO. GIC 881936.
Date Notice/Process Served:	04/02/2007

Litigation Pending?	No
Disposition:	Settled
Disposition Date:	08/31/2007
Monetary Compensation Amount:	$22,320.00
Individual Contribution Amount:	$0.00
Broker Statement	THROUGH THE FINANCIAL PLANNING PROCESS, INVESTMENT WAS FOUND SUITABLE FOR CLIENTS NEEDS. INITIAL CUSTOMER COMPLAINT WAS DENIED. INTERNAL INVESTIGATION AT HRBFA FOUND THAT I DID NOT ACT INAPPROPRIATELY. I WAS NOT SERVED IN THIS LITIGATION REQUEST NOR DID I PARTICIPATE IN THE SETTLEMENT PROCESS.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRESIDENTIAL BROKERAGE,INC.
Allegations:	CLAIMANTS MAINTAINED A BROKERAGE ACCOUNT WITH REGISTRANT'S EMPLOYING FIRM FROM JULY 1997 TO AUGUST 1999. CLAIMANTS ENGAGED IN A NUMBER OF EQUITY PURCHASE TRANSACTIONS THROUGHOUT THAT PERIOD, BOTH ON A SOLICITED AND UNSOLICITED BASIS. CLAIMANTS ALLEGE THAT DURING THE PERIOD MAY 1998 TO AUGUST 1999, REGISTRANT BREACHED HIS FIDUCIARY DUTY UNDER CALIFORNIA LAW TO CLAIMANTS, AND MADE FALSE AND MISLEADING REPRESENTATIONS.
Product Type:	Equity - OTC
Alleged Damages:	$64,213.34

Customer Complaint Information

Date Complaint Received:	04/03/2000
Complaint Pending?	No
Status:	Settled
Status Date:	04/03/2000
Settlement Amount:	$17,500.00
Individual Contribution Amount:	$6,954.50

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION NUMBER 99-05747
Date Notice/Process Served:	04/03/2000
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/28/2001

Monetary Compensation Amount:	$17,500.00
Individual Contribution Amount:	$6,954.50
Broker Statement	PRESIDENTIAL BROKERAGE'S AND THOMAS BOLES' DECISION TO SETTLE WITH CLAIMANTS WAS NOT AN ADMISSION OF WRONGDOING, BUT SIMPLY A BUSINESS DECISION BASED ON THE POTENTIAL LEGAL COSTS, AND UNCERTAIN OUTCOME, OF AN ARBITRATION.

End of Report

This page is intentionally left blank.