



IAPD Report

WILLIAM THOMAS MAWBY

CRD# 2797493

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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

WILLIAM THOMAS MAWBY (CRD# 2797493)

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 **12/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/03/2013
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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 ADVISOR NETWORKS LLC	13572	BROADVIEW HEIGHTS, OH	09/03/2013 - 06/29/2023
IA	WALNUT STREET SECURITIES, INC.	15840	HUDSON, OH	01/19/2010 - 09/03/2013
B	WALNUT STREET SECURITIES, INC.	15840	HUDSON, OH	01/15/2010 - 09/03/2013

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	3



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 **6** 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 Principal	Approved	09/03/2013
B FINRA	General Securities Representative	Approved	09/03/2013
B Florida	Agent	Approved	10/15/2018
B Indiana	Agent	Approved	10/14/2021
B Ohio	Agent	Approved	09/03/2013
B South Carolina	Agent	Approved	03/27/2019
B Texas	Agent	Approved	03/14/2024
B Utah	Agent	Approved	03/13/2024

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
3200 W MARKET ST STE 300
AKRON, OH 44333

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



Qualifications

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	06/29/2023
IA Texas	Investment Adviser Representative	Restricted Approval	03/13/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 3200 W MARKET ST STE 300
 AKRON, OH 44333

Employment 3 of 3

Firm Name: **FINANCIAL MANAGEMENT STRATEGIES, INC.**
 Main Address: 9200 SOUTH HILLS BLVD.
 SUITE 310
 BROADVIEW HTS., OH 44147
 Firm ID#: 120818

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	01/21/2010

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	01/06/2004

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/22/1999
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/11/1996

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	10/22/1999

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	09/03/2013 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	BROADVIEW HEIGHTS,
IA	01/19/2010 - 09/03/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	HUDSON, OH
B	01/15/2010 - 09/03/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	HUDSON, OH
IA	12/07/1999 - 01/22/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MAYFIELD HEIGHTS, OI
B	07/23/1999 - 01/22/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MAYFIELD HEIGHTS, OI
B	07/23/1999 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	10/14/1996 - 06/15/1999	WRP INVESTMENTS, INC.	CRD# 7365	YOUNGSTOWN, OH

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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
02/2022 - Present	INTEGRATED PLAN PARTNERS	OWNER	Y	HUDSON, OH, United States
09/2013 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
01/2010 - Present	FINANCIAL MANAGEMENT STRATEGIES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	AKRON, OH, 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: VISION WEALTH MANAGEMENT LLC ;
INVESTMENT RELATED: YES ;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: SAME AS REGISTERED LOCATION ;
NATURE OF BUSINESS: FINANCIAL SERVICES ;
START DATE: 05/2021 ;
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL ;
APX NUMBER OF HOURS PER WEEK: 30 ;
APX NUMBER OF HOURS DURING TRADING HOURS: 30 ;
BRIEF DESCRIPTION OF DUTIES: SECURITIES AND INSURANCE SALES AND SERVICE ;

(2) NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES ;
INVESTMENT RELATED: YES ;
ADDRESS: SAME AS REGISTERED LOCATION ;
NATURE OF BUSINESS: FIXED INSURANCE ;
START DATE:04/2019 ;
APX NUMBER OF HOURS PER WEEK: 1 ;
APX NUMBER OF HOURS DURING TRADING HOURS: 1 ;
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT
BRIEF DESCRIPTION OF DUTIES: SELLS LIFE, HEALTH, DISABILITY, ANNUITIES AND LONG TERM CARE ;

(3) RIA THRU FINANCIAL MANAGEMENT STRATEGIES, INC FOR 15 HRS WK SINCE 01/2010

(4) OWNER RENTAL REAL ESTATE FOR 1HR/WK SINCE 12/2005

(5) NAME OF OTHER BUSINESS: INTEGRATED PLAN PARTNERS
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 2/2022,
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;

(6) NAME OF OTHER BUSINESS: PILLAR FINANCIAL GROUP LLC;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FINANCIAL SERVICES;
START DATE: 07/2025;
POSITION/TITLE/RELATIONSHIP: FOUNDING PARTNER;
APX NUMBER OF HOURS PER WEEK: 40;
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	THE CLIENT ALLEGED I PLACED HIM IN HIGH-RISK BOND FUNDS WHICH WERE NOT IN-LINE WITH THIS RISK TOLERANCE. BOND FUND WAS PURCHASED IN JULY 2006.
Product Type:	Mutual Fund(s)
Other Product Type(s):	CLOSED END MUTUAL FUND
Alleged Damages:	\$40,000.00

Customer Complaint Information

Date Complaint Received:	09/20/2007
Complaint Pending?	No
Status:	Denied
Status Date:	11/09/2007

Settlement Amount:

Individual Contribution Amount:

Broker Statement	THE FIRM FOUND THE ADVISOR MADE SUITABLE RECOMMENDATIONS GIVEN THE CLIENT'S GOALS AND OBJECTIVES. THE CLIENT DECIDED TO BUY AND SELL SECURITIES THAT CONTRADICTED THE RECOMMENDATIONS MADE BY THE ADVISOR. THE FIRM FOUND NO
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JUSTIFICATION FOR SETTLEMENT WITH THE CLIENT.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: CLIENTS ALLEGE THAT I ASSISTED IN PLACING THEM IN UNSUITABLE ANNUITY INVESTMENTS WITH LONG SURRENDER PENALTY TERMS WHEN THEY STATED THEY HAD A NEED FOR MORE LIQUID FUNDS.

Product Type: Annuity(ies) - Variable

Other Product Type(s): MUTUAL FUND

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 02/01/2005

Complaint Pending? No

Status: Settled

Status Date: 11/11/2005

Settlement Amount: \$10,246.26

Individual Contribution Amount: \$0.00

Broker Statement OUR REVIEW FOUND THAT MR. MAWBY WAS NAMED WITHIN THE COMPLAINT AS HE WAS ASSOCIATED WITH THE SELLING ADVISOR AT THAT TIME THE CLIENT PURCHASED THEIR ANNUITIES. MR. MAWBY WAS NOT THE SOLICITING ADVISOR ASSOCIATED WITH THE ANNUITY SALES. OUR REVIEW FOUND THERE WAS NO INAPPROPRIATE ACTION BY MR. MAWBY

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THE CLIENT STATED SHE DID NOT RECEIVE THE ANNUITY CONTRACT THE APPLIED FOR IN APRIL 2001 AND ONLY RECENTLY DISCOVERED SHE HAD A TEN YEAR VARIABLE ANNUITY. \$7538.98 REPRESENTS THE LOSSES AND SURRENDER PENALTY SHE INCURRED WHEN SHE SURRENDERED HER ACCOUNT JUNE 10, 2003.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$7,538.93

Customer Complaint Information

Date Complaint Received: 06/30/2003

Complaint Pending? No

Status: Denied



Status Date: 09/02/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

AT THE TIME OF PURCHASE THE CLIENT SIGNED THE APPLICATION AND DISCLOSURE FORMS WHICH INDICATED THE VARIABLE ACCOUNTS WOULD PROVIDE THE POTENTIAL FOR GREATER RETURNS. THE CLIENT RECEIVED STATEMENTS AND CONFIRMATIONS, DISCUSSED THE ANNUITY WITH THE ADVISOR AND FIELD LEADER AND RE-ALLOCATED FUNDS WITHIN THE ANNUITY SINCE THE PURCHASE IN 2001.



End of Report

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