



IAPD Report

FRANK J CALISE

CRD# 3022262

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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

FRANK J CALISE (CRD# 3022262)

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 **01/30/2026**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	AVANTAX ADVISORY SERVICES	104556	Scottsdale, AZ	06/22/2023 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Scottsdale, AZ	06/20/2023 - 09/05/2025
IA	SECURITIES AMERICA ADVISORS, INC.	110518	SCOTTSDALE, AZ	12/27/2018 - 06/26/2023

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	2



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 **13** 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 Principal	Approved	09/05/2025
B	FINRA	General Securities Representative	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	Arkansas	Agent	Approved	02/04/2026
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Illinois	Agent	Approved	09/05/2025
B	Kansas	Agent	Approved	09/05/2025
B	Louisiana	Agent	Approved	09/05/2025
B	Missouri	Agent	Approved	01/30/2026
B	New Jersey	Agent	Approved	09/05/2025
B	Oregon	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	09/05/2025
B Washington	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
 6929 E. Greenway Parkway
 Suite 170
 Scottsdale, AZ 85254

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 Arizona	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 6929 E. GREENWAY PARKWAY
 SUITE 170
 SCOTTSDALE, AZ 85254



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	10/05/2005

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/17/1998

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	05/08/2003
Uniform Securities Agent State Law Examination (S63)	Series 63	03/19/1998

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	06/22/2023 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Scottsdale, AZ
B	06/20/2023 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Scottsdale, AZ
IA	12/27/2018 - 06/26/2023	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	SCOTTSDALE, AZ
B	12/26/2018 - 06/26/2023	SECURITIES AMERICA, INC.	CRD# 10205	SCOTTSDALE, AZ
IA	08/09/2011 - 12/31/2018	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	SCOTTSDALE, AZ
B	07/19/2011 - 12/31/2018	QUESTAR CAPITAL CORPORATION	CRD# 43100	SCOTTSDALE, AZ
B	08/12/2009 - 07/20/2011	NEXT FINANCIAL GROUP, INC.	CRD# 46214	SCOTTSDALE, AZ
IA	09/26/2006 - 08/18/2009	LPL FINANCIAL CORPORATION	CRD# 6413	SCOTTSDALE, AZ
B	09/22/2006 - 08/18/2009	LPL FINANCIAL CORPORATION	CRD# 6413	SCOTTSDALE, AZ
IA	04/05/2005 - 12/13/2006	UNIFIED WEALTH MANAGEMENT, LLC	CRD# 133202	PHOENIX, AZ
IA	09/16/2004 - 09/27/2006	GUNNALLEN FINANCIAL, INC	CRD# 17609	PHOENIX, AZ
B	09/01/2004 - 09/27/2006	GUNNALLEN FINANCIAL, INC	CRD# 17609	PHOENIX, AZ
IA	12/04/2003 - 10/11/2004	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	PHOENIX, AZ
B	12/03/2002 - 10/11/2004	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	04/11/2002 - 12/02/2002	PRIME CAPITAL SERVICES, INC.	CRD# 18334	POUGHKEEPSIE, NY
B	05/24/2000 - 04/23/2002	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	05/24/2000 - 04/23/2002	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	12/04/1998 - 07/27/1999	DAVID LERNER ASSOCIATES, INC.	CRD# 5397	SYOSSET, NY
B	05/27/1998 - 11/11/1998	DALTON KENT SECURITIES GROUP, INC.	CRD# 38813	NEW YORK, NY
B	03/18/1998 - 04/30/1998	IAR SECURITIES CORP.	CRD# 5155	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	Scottsdale, AZ, United States
12/2019 - Present	Kaff Mariposa, LLC	Manager	Y	Scottsdale, AZ, United States
12/2019 - Present	Kaff Paradise, LLC	Manager	Y	Scottsdale, AZ, United States
06/2015 - Present	Kaff Calise LLC	Manager	N	Scottsdale, AZ, United States
02/2011 - Present	Calise Enterprises, LLC dba H&R Block	Manager	N	Scottsdale, AZ, United States
05/2006 - Present	CFR Capital Group, LLC	Manager	Y	Scottsdale, AZ, United States
06/2023 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Scottsdale, AZ, United States
06/2023 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Scottsdale, AZ, United States
06/2023 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Scottsdale, AZ, United States
12/2018 - 06/2023	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISORY SERVICES	Y	SCOTTSDALE, AZ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2018 - 06/2023	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
08/2011 - 12/2018	QUESTAR ASSET MANAGEMENT, INC.	INVESTMENT ADVISORY REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
07/2011 - 12/2018	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, 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) CALISE ENTERPRISES, LLC DBA H&R BLOCK

POSITION: Manager NATURE: Tax preparation and accounting tax Planning, Bookkeeping, payroll services, Business creations INVESTMENT RELATED: No NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 50 START DATE: 02/10/2011 ADDRESS: 6929 East Greenway Pkwy, Suite 170, Scottsdale AZ 85254, United States DESCRIPTION: Tax Preparer, Bookkeeper, Tax Planner, manage employees & Tax Reduction Specialist I own 3 H&R Block franchises?

2) SERVICING ANNUITIES WITH GLOBAL ATLANTIC OBA

POSITION: Financial Advisor NATURE: Allow for the servicing of prior annuity business with Global Atlantic IMO INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 07/25/2023 ADDRESS: 6929 East Greenway Pkwy, Suite 170, Scottsdale AZ 85254, United States DESCRIPTION: Servicing an existing annuity. I understand that any new products (including investment switches, exchanges, etc.) will be through Avantax products and offerings.

3) CALISE FAMILY TRUST

POSITION: Trustee NATURE: Trustee of Family trust INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 09/10/2019 ADDRESS: 5523 E St John Road, Scottsdale AZ 85254, United States DESCRIPTION: management of brokerage and bank accounts, tax filings for the trust, this is the extent of my duties??

4) KAFF MARIPOSA, LLC

POSITION: Manager NATURE: Own Rental House INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 12/19/2019 ADDRESS: 5523 E St John Rd, Scottsdale AZ 85254, United States DESCRIPTION: collect rent per form maintenance and repairs

5) KAFF CALISE LLC

POSITION: Manager NATURE: I own KAFF Calise LLC which is an entity that holds my interest in both Calise Enterprises and CFR Capital Group (both previously disclosed) INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 06/15/2015 ADDRESS: 6929 East Greenway Pkwy, Suite 170, Scottsdale AZ 85254, United States DESCRIPTION: Owner of the company. The sole purpose of this entity is to hold the ownership interest in both Calise Enterprises and CFR Capital Group. There are no duties tied to this entity, as it just holds my ownership of the two entities



Registration & Employment History



OTHER BUSINESS ACTIVITIES

6) CFR CAPITAL GROUP LLC

POSITION: Manager NATURE: financial planning, investment planning, estate planning, retirement planning and risk analysis

INVESTMENT RELATED: Yes NUMBER OF HOURS: 50 SECURITIES TRADING HOURS: 50 START DATE: 05/09/2006

ADDRESS: 6929 East Greenway Pkwy, Suite 170, Scottsdale AZ 85254, United States

DESCRIPTION: Manage Employees and company website manage client accounts financial illustrations Seminars Financial review with existing clients

7) KAFF PARADISE, LLC

POSITION: Manager NATURE: Rental House INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 12/19/2019

ADDRESS: 5523 E Saint John Road, Scottsdale AZ 85254, United States

DESCRIPTION: collect rent per form maintenance and repairs



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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Questar
Allegations:	Client alleges that representative Frank Calise provided improper management of her accounts.
Product Type:	Annuity-Variable Mutual Fund Real Estate Security
Alleged Damages:	\$142,250.00
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:	01/27/2020
Complaint Pending?	No
Status:	Denied
Status Date:	02/11/2020
Settlement Amount:	
Individual Contribution	



Individual Contribution

Amount:

Broker Statement I deny all allegations made against me by the customer.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Questar

Allegations: Claimant alleges the representative of misrepresentation, fraud, and breach of fiduciary duty related to a REIT investment the claimant purchased in 2015.

Product Type: Real Estate Security

Alleged Damages: \$50,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [Arbitration Number 20-00220](#)

Date Notice/Process Served: 01/27/2020

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/04/2021

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$20,000.00

Broker Statement Respondents entered into a settlement due to a compromise of disputed claims which should not be construed as an admission of liability, fault, wrongdoing or responsibility by the Claimants or any other person. Respondent has sought expungement on the grounds that the claim was clearly erroneous and false.



End of Report

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