



## IAPD Report

# CARMEN J MEMOLI

CRD# 3053629

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5



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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

### CARMEN J MEMOLI (CRD# 3053629)

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 **09/07/2025**.

### CURRENT EMPLOYERS

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

### 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>	AVANTAX ADVISORY SERVICES	104556	Toms River, NJ	02/18/2022 - 09/05/2025
<b>B</b>	AVANTAX INVESTMENT SERVICES, INC.	13686	Toms River, NJ	12/01/2009 - 09/05/2025

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?

**No**



## 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 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>B</b> FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025
<b>B</b> Florida	Agent	Approved	09/05/2025
<b>B</b> New Jersey	Agent	Approved	09/05/2025

#### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
222 Oak Avenue  
Suite 5  
Toms River, NJ 08753

#### 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
<b>IA</b> New Jersey	Investment Adviser Representative	Approved	09/05/2025

#### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
222 OAK AVENUE  
SUITE 5  
TOMS RIVER, NJ 08753



## 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
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/30/2009

#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	02/08/2022
Uniform Securities Agent State Law Examination (S63)	Series 63	01/07/2010

### 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	02/18/2022 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Toms River, NJ
B	12/01/2009 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Toms River, NJ

#### 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	Toms River, NJ, United States
12/2023 - Present	Main Street Priority PAC	Treasurer	N	Toms River, NJ, United States
01/2019 - Present	Memoli & Company P.C.	Owner	Y	Toms River, NJ, United States
07/2011 - Present	BERKLEY BOARD OF EDUCATION	TREASURER/COMPTROLLER	N	BAYVILLE, NJ, United States
02/2010 - Present	Toms River Municipal Utilities Authority	Board Position/Officer	N	Toms River, NJ, United States
12/2009 - Present	CENTRAL REGIONAL SCHOOL DISTRICT	TREASURER / COMPTROLLER	N	BAYVILLE, NJ, United States
02/2022 - 09/2025	Avantax Advisory Services	Investment Adviser Representative	Y	Toms River, NJ, United States
09/2013 - 09/2025	AVANTAX INSURANCE AGENCY, INC.	INSURANCE AGENT	Y	Toms River, NJ, United States
09/2009 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	TOMS RIVER, NJ, United States
01/2014 - 12/2020	Bellu Memoli LLC	Partner/General Partner	N	Toms River, NJ, 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.

- 1) Berkeley Board of Education Bayville NJ Accounting/Bookkeeping (No Tax Prep)~Treasurer/Comptroller~7/1/2011~3hrs~0hrs~Prepare monthly treasurer's report.
- 2) Central Regional School District Bayville NJ Accounting/Bookkeeping Treasurer/Comptroller~12/1/2009~3hrs~0hrs~Treasurer of School Monies
- 3) Carmen & Laura Memoli Toms River NJ Rental Property Owner/Sole Proprietor~9/4/2009~1hrs~0hrs~Co-owner
- 4) Toms River Regular Republican Club, Inc Toms River NJ Club/Association Director/Officer~Treasurer/Comptroller~9/4/2009~5hrs~0hrs~Voluntary treasurer of political org.
- 5) Toms River Student Loan Fund Toms River NJ Club/Association Director/Officer~9/4/2009~2hrs~0hrs~Board member of 501(c)(3) organization.
- 6) NJ Citizens for Conservatism Toms River NJ Board officer 2/2019~10hrs~0hrs~I am the chairman and treasurer.
- 7) SOUTHERN OCEAN CONSERVATIVE REPUBLICAN PAC POS: Treasurer Political Action Committee 3 HRS; 07/30/2019; Toms River NJ; Maintain checkbook
- 8) OCEAN COUNTY CONSERVATIVE REPUBLICAN ORGANIZATION PAC; Treasurer; Treasurer for Political Action Committee; 5 HRS; 10/29/2021; Toms River NJ; Maintain checkbook
- 9) CITIZENS FOR INTEGRITY PAC; Treasurer; Political Action Committee supporting political candidates.; NIR; HRS: 2; HRS 0; 01/03/2022 222 Oak Avenue, Ste 5, Toms River NJ; Treasurer-pay bills and deposit contributions. File quarterly compliance reports with New Jersey Election Law Enforcement Commission.
- 10) OCEAN COUNTY REPUBLICAN FINANCE COMMITTEE INC & OCEAN COUNTY REPUBLICAN CHAIRMAN'S PAC; Treasurer; NIR; HRS: 10; HRS 10; 06/01/2023 222 Oak Avenue, Suite 5, Toms River NJ; All functions of a treasurer, including bill paying, banking and filing compliance reports with the state.
- 11) BERKELEY TOWNSHIP SEWERAGE AUTHORITY; Exec Dir; The Berkeley Township Sewerage Authority is a public body corporate and politic constituting a political subdivision of the State of New Jersey. ;NIR; HRS: 80; HRS: 80, 06/01/2023 255 Atlantic City Blvd, Bayville NJ; The Exec Dir serves as the chief exec officer and reports directly to the Board of Commissioners.
- 12) Bricktown Republican Club, DBA CTE Catalano, CTE Mary Buckley, CTE Theresa Gallagher, CTE Palmieri, CTE Palmisano, CTE Perry Albanese; Treasurer; Candidate committees running for various political offices in a local municipality.; NIR; HRS 5; HRS 5; 06/01/2023; 222 Oak Avenue Toms River, NJ 08753; All functions of a treasurer, including bill paying, banking and filing compliance reports.
- 13) BERKELEY TOWNSHIP REPUBLICAN CLUB, DBA BACCHIONE FOR MAYOR; DBA CTE TOM GROSSE, DBA CTE KEITH BUSCIO, DBA CTE DOUG BOWENS POSITION: Treasurer INV RELATED: No # OF HRS: 10 SEC TRADING HRS: 10 START DATE: 06/02/2023 222 Oak Ave, Ste 5, Toms River NJ DESC: All functions of a treasurer, including bill paying, banking and filing compliance reports.
- 14) MAIN STREET PRIORITY PAC; Treasurer; Political Action Committee that raises money and supports political candidates at the state, county and local level for elections. NIR; HRS 1 HRS 0; 12/01/2023; 222 Oak Avenue, Suite 5, Toms River NJ 08753, United States; All functions of a treasurer, including bill paying, banking and filing compliance reports.
- 15) Memoli & Company P.C.; Owner; Accounting Services/Tax Preparation; NIR; HRS: 120; HRS 120; 01/02/2019; 222 Oak Avenue, Suite 5 Toms River NJ 08753; I am the sole principal and managing director.
- 16) Amato for Senate; Treasurer; Individual running for political office as a State Senator.; NIR; HRS 5; HRS 5; 06/02/2023; 222 Oak Avenue, Suite 5, Toms River NJ 08753; All functions of a treasurer, including bill paying, banking and filing compliance reports with the state.



## End of Report

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