



IAPD Report

ANDREW JOSEPH MULLANE

CRD# 3222113

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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

ANDREW JOSEPH MULLANE (CRD# 3222113)

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 **06/05/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA INVESTMENT SERVICES LLC	CRD# 15340	01/29/2021
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	02/03/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	SA STONE INVESTMENT ADVISORS INC.	174182	Hauppauge, NY	01/30/2015 - 01/28/2021
B	SA STONE WEALTH MANAGEMENT INC.	18456	Hauppauge, NY	09/12/2014 - 01/28/2021
IA	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	7365	BOHEMIA, NY	04/20/2011 - 01/30/2015

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

Employment 1 of 2

Firm Name: **CETERA INVESTMENT SERVICES LLC**
Main Address: 400 FIRST ST. S. SUITE 300
ST. CLOUD, MN 56301
Firm ID#: 15340

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/29/2021
B Alabama	Agent	Approved	02/01/2021
B California	Agent	Approved	02/01/2021
B Connecticut	Agent	Approved	02/01/2021
B Delaware	Agent	Approved	02/17/2021
B Florida	Agent	Approved	02/01/2021
B Maryland	Agent	Approved	01/29/2021
B Nevada	Agent	Approved	02/10/2021
B New Jersey	Agent	Approved	02/02/2021
B New York	Agent	Approved	01/30/2021
B North Carolina	Agent	Approved	02/01/2021
B Ohio	Agent	Approved	06/08/2023
B Pennsylvania	Agent	Approved	02/01/2021



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	02/01/2021
B Tennessee	Agent	Approved	01/29/2024
B Virginia	Agent	Approved	02/04/2021

Branch Office Locations

CETERA INVESTMENT SERVICES LLC
 1300 VETERANS MEMORIAL HWY
 SUITE 240
 HAUPPAUGE, NY 11788

CETERA INVESTMENT SERVICES LLC
 1 INDIAN ROAD
 SUITE 4
 DENVER, NJ 07834

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 Jersey	Investment Adviser Representative	Approved	02/03/2021
IA New York	Investment Adviser Representative	Approved	03/02/2021

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 1300 VETERANS MEMORIAL HWY
 SUITE 240
 HAUPPAUGE, NY 11788

CETERA INVESTMENT ADVISERS LLC
 1 INDIAN ROAD
 SUITE 4
 DENVER, NJ 07834




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
 Registered Options Principal Examination (S4)	Series 4	06/06/2001

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/29/2011

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	04/08/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/12/1999

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	01/30/2015 - 01/28/2021	SA STONE INVESTMENT ADVISORS INC.	CRD# 174182	Hauppauge, NY
B	09/12/2014 - 01/28/2021	SA STONE WEALTH MANAGEMENT INC.	CRD# 18456	Hauppauge, NY
IA	04/20/2011 - 01/30/2015	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	CRD# 7365	BOHEMIA, NY
B	04/11/2011 - 09/12/2014	WRP INVESTMENTS, INC.	CRD# 7365	BOHEMIA, NY
B	07/28/2000 - 02/19/2002	R.M. STARK & CO., INC.	CRD# 7612	LAKE WORTH BEACH, F
B	09/23/1999 - 07/18/2000	CARNEGIE INVESTOR SERVICES INC.	CRD# 8295	NEW YORK, NY
B	05/11/1999 - 09/13/1999	ROYCE INVESTMENT GROUP, INC.	CRD# 10494	WOODBURY, 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
01/2021 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	HAUPPAUGE, NY, United States
01/2021 - Present	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	ST. CLOUD, MN, United States
01/2015 - 01/2021	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	Mass Transfer	Y	BIRMINGHAM, AL, United States
09/2014 - 01/2021	STERNE AGEE FINANCIAL SERVICES, INC.	Mass Transfer	Y	BOHEMIA, NY, United States
02/2011 - 01/2021	WRP INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	YOUNGSTOWN, OH, 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. FIXED INSURANCE OUTSIDE OF CETERA, VA AND EIA TO COME THROUGH CETERA.
2. OMNIA FINANCIAL, LLC, VICE-PRESIDENT, DBA FOR BRANDING, MARKETING AND WEBSITE.



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
Customer Dispute	4

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:	SUFFOLK COUNTY POLICE DEPT 3699-96
Charge Date:	09/19/1996
Charge Details:	CHANGED WITH SECTION 235.21 OF NY STATE PENAL LAW DISSEMINATING INDECENT MATERIALS TO MINORS.
Felony?	Yes
Current Status:	Final
Status Date:	03/28/1997
Disposition Details:	ALL CHARGES WERE DISMISSED: POLICE CHARGED THE WRONG PERSON
Broker Statement	WHILE EMPLOYED AT A RETAIL VIDEO STORE, AN EMPLOYEE RENTED A VIDEO TO A MINOR. THE POLICE CONTACTED ME, AS ACTING MANAGER AND CHARGED ME INSTEAD OF THE CLERK WITH THE CRIME. ONCE THE THE COURT WAS MADE AWARE OF THE MISTAKE, THE CHARGED WERE DISMISSED IN THEIR ENTIRETY.



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: Regulator

Employing firm when activities occurred which led to the complaint: R.M. STARK & CO.

Allegations: UNSUITABILITY; NEGLIGENCE; FRAUD; MISREPRESENTATION; BREACH OF CONTRACT; CHURNING

Product Type: Other

Other Product Type(s): UNSPECIFIED AGGRESSIVE SECURITIES

Alleged Damages: \$300,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #02-03849](#)

Date Notice/Process Served: 08/12/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/14/2003

Disposition Detail: ENTERED INTO A SETTLEMENT AGREEMENT WITH CLAIMANT. DURING THE HEARING, CLAIMANT WITHDREW THE CHURNING COMPLAINT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: R.M.STARK & CO., INC.

Allegations: UNSUITABILITY, NEGLIGENCE, FRAUD, MISREPRESENTATION, BREACH OF CONTRACT, CHURNING

Product Type: Other: UNSPECIFIED AGGRESSIVE SECURITIES

Alleged Damages: \$300,000.00

Arbitration Information

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

Docket/Case #: [02-03849](#)

Date Notice/Process Served: 08/12/2002

Arbitration Pending? No



Disposition: Settled
Disposition Date: 03/14/2003
Monetary Compensation Amount: \$5,000.00
Individual Contribution Amount: \$5,000.00

Disclosure 2 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: R.M. STARK & CO., INC.
Allegations: UNAUTHORIZED TRADING AND CHURNING.
Product Type: Equity-OTC
Alleged Damages: \$36,776.00
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: 01/02/2002
Complaint Pending? No
Status: Closed/No Action
Status Date: 03/31/2002

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: R.M. STARK & CO., INC.
Allegations: UNAUTHORIZED TRADING AND CHURNING
Product Type: Equity-OTC
Alleged Damages: \$36,776.00
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: 01/02/2002
Complaint Pending? No
Status: Closed/No Action
Status Date: 03/31/2002

Settlement Amount:
Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: R.M. STARK & CO., INC.
Allegations: UNAUTHORIZED TRADED AND CHURNING.
Product Type: Equity - OTC
Alleged Damages: \$2,228.78

Customer Complaint Information

Date Complaint Received: 01/30/2002
Complaint Pending? No
Status: Settled
Status Date: 02/01/2002
Settlement Amount: \$2,228.78
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: R.M. STARK & CO., INC.
Allegations: UNAUTHORIZED TRADED AND CHURNING.
Product Type: Equity-OTC
Alleged Damages: \$2,228.78
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: 01/30/2002
Complaint Pending? No
Status: Settled



Status Date: 02/01/2002

Settlement Amount: \$2,228.78

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: R. M. STARK & CO., INC.

Allegations: UNAUTHORIZED TRADING AND CHURNING.

Product Type: Equity - OTC

Alleged Damages: \$1,624.00

Customer Complaint Information

Date Complaint Received: 01/30/2002

Complaint Pending? No

Status: Settled

Status Date: 02/01/2002

Settlement Amount: \$1,602.00

Individual Contribution Amount: \$0.00



End of Report

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