



## IAPD Report

# GARY KASPAR MALKASIAN

CRD# 3223879

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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

### GARY KASPAR MALKASIAN (CRD# 3223879)

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 **06/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/25/2015
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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>	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA	09/25/2015 - 06/29/2023
<b>IA</b>	QUESTAR ASSET MANAGEMENT, INC.	133358	SACRAMENTO, CA	09/17/2012 - 09/25/2015
<b>B</b>	QUESTAR CAPITAL CORPORATION	43100	SACRAMENTO, CA	09/14/2012 - 09/25/2015

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?

**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 **10** 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
	FINRA	Invest. Co and Variable Contracts	Approved	09/25/2015
	FINRA	General Securities Representative	Approved	11/23/2021
	California	Agent	Approved	09/25/2015
	Colorado	Agent	Approved	01/11/2021
	Florida	Agent	Approved	01/24/2022
	Idaho	Agent	Approved	04/08/2024
	Massachusetts	Agent	Approved	05/23/2024
	Nevada	Agent	Approved	09/02/2021
	New Mexico	Agent	Approved	09/25/2015
	Oregon	Agent	Approved	01/03/2023
	Texas	Agent	Approved	11/25/2022
	Wisconsin	Agent	Approved	09/25/2015

### Branch Office Locations



## Qualifications

### CETERA ADVISOR NETWORKS LLC

2233 WATT AVE STE 290  
SACRAMENTO, CA 95825

### 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	California	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Approved	06/29/2023

### Branch Office Locations

#### CETERA INVESTMENT ADVISERS LLC

2233 WATT AVE STE 290  
SACRAMENTO, CA 95825



## 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, 3 general industry/product exams, and 1 state securities law exam.**




#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/21/2007

#### State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	05/03/2007
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### PROFESSIONAL DESIGNATIONS

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

#### Personal Financial Specialist

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	09/25/2015 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
IA	09/17/2012 - 09/25/2015	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	SACRAMENTO, CA
B	09/14/2012 - 09/25/2015	QUESTAR CAPITAL CORPORATION	CRD# 43100	SACRAMENTO, CA
IA	06/08/2010 - 09/25/2012	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SACRAMENTO, CA
B	06/04/2010 - 09/25/2012	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SACRAMENTO, CA
IA	04/29/2010 - 05/25/2010	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	SAN DIEGO, CA
B	04/28/2010 - 05/25/2010	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	SAN DIEGO, CA
IA	05/09/2007 - 04/29/2010	AFA ADVISOR SERVICES LLC	CRD# 129104	SACRAMENTO, CA
B	03/22/2007 - 04/29/2010	AFA FINANCIAL GROUP, LLC	CRD# 127648	CALABASAS, CA

### 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
09/2015 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
09/1984 - Present	MALKASIAN ACCOUNTANCY,LLP	OWNER - PRESIDENT	N	SACRAMENTO, CA, United States
09/2012 - 09/2015	QUESTAR ASSET MANAGEMENT	INVESTMENT ADVISORY REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
09/2012 - 09/2015	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, 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. NAME OF OTHER BUSINESS: MALKASIAN ACCOUNTANCY, LLP ;

INVESTMENT RELATED: NO ;

ADDRESS:

NATURE OF BUSINESS: CPA FIRM ;

START DATE: 01/2002 ;

APX NUMBER OF HOURS PER WEEK: 35 ;

APX NUMBER OF HOURS DURING TRADING HOURS: 35 ;

BRIEF DESCRIPTION OF DUTIES: OWNER ;

2. NAME OF OTHER BUSINESS: MALKASIAN WEALTH MANAGEMENT ;

INVESTMENT RELATED: YES ;

ADDRESS: SAME AS REGISTERED LOCATION ;

NATURE OF BUSINESS: FINANCIAL SERVICES ;

START DATE: 12/2014 ;

APX NUMBER OF HOURS PER WEEK: 20 ;

APX NUMBER OF HOURS DURING TRADING HOURS: 20 ;

BRIEF DESCRIPTION OF DUTIES: OWNER - DBA FOR FINANCIAL SERVICES ;

3. NAME OF OTHER BUSINESS: GARY K. MALKASIAN INSURANCE AND FINANCIAL SERVICES ;

INVESTMENT RELATED: YES ;

ADDRESS: SAME AS REGISTERED LOCATION ;

NATURE OF BUSINESS: FINANCIAL SERVICES ;

START DATE: 12/2014 ;

APX NUMBER OF HOURS PER WEEK: 20 ;

APX NUMBER OF HOURS DURING TRADING HOURS: 20 ;

BRIEF DESCRIPTION OF DUTIES: OWNER - DBA FOR FINANCIAL SERVICES ;

4. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES ;

INVESTMENT RELATED: YES ;

ADDRESS: SAME AS REGISTERED LOCATION ;

NATURE OF BUSINESS: FIXED INSURANCE ;

START DATE: 06/03/2016 ;

APX NUMBER OF HOURS PER WEEK: 2-4 HOURS ;

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES ;

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT ;

BRIEF DESCRIPTION OF DUTIES: SELLS LIFE, HEALTH, ANNUITIES, AND LONG TERM CARE ;

5. NAME OF OTHER BUSINESS: GYPSY MAGIC EQUINE OUTREACH ;

INVESTMENT RELATED: NO

ADDRESS: 14101 INDIO DRIVE, SLOUGHHOUSE CA 95683 ;

NATURE OF BUSINESS: CHARITY ;

START DATE: 12/2018 ;

POSITION/TITLE/RELATIONSHIP: TREASURER ;

APX NUMBER OF HOURS PER WEEK: LESS THAN 1 ;

APX NUMBER OF HOURS DURING TRADING HOURS: LESS THAN 1 ;

BRIEF DESCRIPTION OF DUTIES: KEEP THE BOOKS, BUT NOT ABLE TO SIGN CHECKS ;

6. NAME OF OTHER BUSINESS: DEL PASO COUNTRY CLUB,

INVESTMENT RELATED: NO,

ADDRESS: 3333 MARCONI AVE, SACRAMENTO, CA 95821





## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

NATURE OF BUSINESS: COUNTRY CLUB,  
START DATE: 04/2025,  
POSITION/TITLE/RELATIONSHIP: TREASURER,  
APX NUMBER OF HOURS PER WEEK: 1,  
APX NUMBER OF HOURS DURING TRADING HOURS: V0,  
BRIEF DESCRIPTION OF DUTIES: TO BE CO-CHAIR OF THE FINANCE COMMITTEE;



## End of Report

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