



IAPD Report

MICHAEL ROBERT MCCONNELL

CRD# 4043109

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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

MICHAEL ROBERT MCCONNELL (CRD# 4043109)

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 **03/03/2026**.

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 **11** 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	HINGHAM, MA	10/25/2019 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	HINGHAM, MA	10/25/2019 - 09/05/2025
IA	1ST GLOBAL ADVISORS INC	111133	HINGHAM, MA	10/16/2002 - 10/25/2019

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
Regulatory Event	1



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 **11** 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	General Securities Representative	Approved	09/05/2025
	California	Agent	Approved	09/05/2025
	Florida	Agent	Approved	09/05/2025
	Hawaii	Agent	Approved	09/05/2025
	Massachusetts	Agent	Approved	09/05/2025
	New Hampshire	Agent	Approved	09/05/2025
	New Mexico	Agent	Approved	11/05/2025
	North Carolina	Agent	Approved	09/05/2025
	Ohio	Agent	Approved	09/05/2025
	South Carolina	Agent	Approved	09/05/2025
	Texas	Agent	Approved	09/05/2025
	Vermont	Agent	Approved	01/09/2026

Branch Office Locations



Qualifications

CETERA ADVISOR NETWORKS LLC

175 DERBY STREET
SUITE 36
HINGHAM, MA 02043

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	Massachusetts	Investment Adviser Representative	Approved	09/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC

175 DERBY STREET
SUITE 36
HINGHAM, MA 02043



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	11/03/1999

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	09/13/2002
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/04/1999



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	10/25/2019 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	HINGHAM, MA
B	10/25/2019 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	HINGHAM, MA
IA	10/16/2002 - 10/25/2019	1ST GLOBAL ADVISORS INC	CRD# 111133	HINGHAM, MA
B	07/30/2002 - 10/25/2019	1ST GLOBAL CAPITAL CORP.	CRD# 30349	HINGHAM, MA
B	11/05/1999 - 08/16/2002	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC

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	HINGHAM, MA, United States
09/2002 - Present	MCCONNELL & CO.	PRESIDENT	Y	HINGHAM, MA, United States
01/2001 - Present	MCCONNELL ROTHMAN & CO P.C.	PRESIDENT	N	HINGHAM, MA, United States
10/2019 - 09/2025	AVANTAX ADVISORY SERVICES	Investment Adviser Representative	Y	HINGHAM, MA, United States
10/2019 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	Registered Representative	Y	HINGHAM, MA, United States
10/2004 - 09/2025	Avantax Insurance Services, Inc.	INSURANCE AGENT	Y	HINGHAM, MA, United States
10/2002 - 10/2019	1ST GLOBAL ADVISORS, INC.	REGISTERED INVESTMENT ADVISOR REPRESENTATIVE	Y	HINGHAM, MA, United States
07/2002 - 10/2019	1ST GLOBAL CAPITAL CORP	FINANCIAL ADVISOR	Y	HINGHAM, MA, 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) MCCONNELL & CO., INC PRIVATE CLIENTS GROUP

POSITION: PRESIDENT NATURE: FINANCIAL SERVICES INVESTMENT RELATED: Yes NUMBER OF HOURS: 160

SECURITIES TRADING HOURS: 8 START DATE: 08/15/2002

ADDRESS: Hingham MA , United States

DESCRIPTION: Provide financial services to clients

2) HERITAGE MORTGAGE CO, INC

POSITION: MANAGER NATURE: MORTGAGE COMPANY INVESTMENT RELATED: Yes NUMBER OF HOURS: 15

SECURITIES TRADING HOURS: 15 START DATE: 07/01/1998

ADDRESS: Hingham MA , United States

DESCRIPTION: 10% OF TIME DEVOTED TO BUSINESS; HELP WITH MANAGEMENT DECISIONS.

3) BOARD OF TRUSTEE OF CONDO ASSOCIATION

POSITION: TRUSTEE NATURE: CONDOMINIUM ASSOCIATION INVESTMENT RELATED: No NUMBER OF HOURS: 3

SECURITIES TRADING HOURS: 0 START DATE: 10/01/2006

ADDRESS: Hingham MA 02043, United States

DESCRIPTION: HOA

4) LIFE INSURANCE

POSITION: AGENT NATURE: Crump Life Insurance Services INVESTMENT RELATED: Yes NUMBER OF HOURS: 1

SECURITIES TRADING HOURS: 1 START DATE: 11/12/2012

ADDRESS: Hingham MA 02043, United States

DESCRIPTION: Selling agent

5) MCCONNELL & CO.

POSITION: PRESIDENT NATURE: CPA firm INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES TRADING

HOURS: 160 START DATE: 09/01/2002

DESCRIPTION: CPA firm

6) MCCONNELL & CO., INC. WEALTH MANAGEMENT

POSITION: President NATURE: financial services INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES

TRADING HOURS: 10 START DATE: 12/29/2016

ADDRESS: Hingham MA , United States

DESCRIPTION: Provide financial services to clients

7) NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES;

INVESTMENT RELATED: YES;

ADDRESS: SAME AS REGISTERED LOCATION;

NATURE OF BUSINESS: FIXED INSURANCE;

START DATE: 1/1/2026;

APX NUMBER OF HOURS PER WEEK: 1;

APX NUMBER OF HOURS DURING TRADING HOURS: 1;

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT;

BRIEF DESCRIPTION OF DUTIES: SALES OF FIXED INSURANCE PRODUCTS



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	MASSACHUSETTS BOARD OF PUBLIC ACCOUNTANCY
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	06/27/1996
Docket/Case Number:	DOCKET# CA-96-006
Employing firm when activity occurred which led to the regulatory action:	SELF
Product Type:	Other
Other Product Type(s):	CPA/MORTGAGE
Allegations:	I OWNED A MORTGAGE COMPANY AND WAS ALSO A CPA. AT THAT TIME CPA'S WERE NOT ALLOWED TO RECEIVE COMMISSIONS. BY ENGAGING IN THE MORTGAGE BROKER BUSINESS I FAILED TO COMPLY WITH THE CONDITIONS SET FORTH.
Current Status:	Final
Resolution:	Settled
Resolution Date:	08/21/1997
Sanctions Ordered:	Monetary/Fine \$500.00 Suspension
Other Sanctions Ordered:	



Sanction Details:

I COULD NOT ISSUE OPINIONS ON FINANCIAL STATEMENTS FOR SIX MONTHS STARTING ON 6/27/1996. REINSTATED ON 8/21/1997. \$500.00 FINE PAID ON 7/21/1997. EIGHTY HOURS OF CPE REQUIRED FOR RENEWAL.



End of Report

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