



## IAPD Report

**David Jazo**

CRD# 4060483

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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

### David Jazo (CRD# 4060483)

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 **12/26/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA ADVISORS LLC	CRD# 10299	03/24/2025
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/26/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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>B</b>	LPL FINANCIAL LLC	6413	SCOTTSDALE, AZ	02/14/2018 - 04/17/2025
<b>IA</b>	LPL FINANCIAL LLC	6413	SCOTTSDALE, AZ	02/14/2018 - 04/17/2025
<b>B</b>	INVEST FINANCIAL CORPORATION	12984	PHOENIX, AZ	01/20/2017 - 02/14/2018

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

### Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**  
Main Address: 5299 DTC BLVD #800  
GREENWOOD VILLAGE, CO 80111  
Firm ID#: 10299

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	03/24/2025
	FINRA	Invest. Co and Variable Contracts	Approved	03/24/2025
	Arizona	Agent	Approved	03/24/2025
	California	Agent	Approved	03/24/2025
	Iowa	Agent	Approved	12/26/2025
	New York	Agent	Approved	03/24/2025
	Tennessee	Agent	Approved	03/24/2025

### Branch Office Locations


**CETERA ADVISORS LLC**  
7025 N SCOTTSDALE RD STE 115 & 110  
SCOTTSDALE, AZ 85253

### 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



## Qualifications

Regulator	Registration	Status	Date
 Arizona	Investment Adviser Representative	Approved	03/26/2025

## Branch Office Locations

### CETERA INVESTMENT ADVISERS LLC

7025 N SCOTTSDALE RD #115 & 110  
SCOTTSDALE, AZ 85253



## 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 3 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>B</b> Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	03/24/2025
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	12/29/1999

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	02/17/2003
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	02/01/2000
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	01/11/2000



### 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
B	02/14/2018 - 04/17/2025	LPL FINANCIAL LLC	CRD# 6413	SCOTTSDALE, AZ
IA	02/14/2018 - 04/17/2025	LPL FINANCIAL LLC	CRD# 6413	SCOTTSDALE, AZ
B	01/20/2017 - 02/14/2018	INVEST FINANCIAL CORPORATION	CRD# 12984	PHOENIX, AZ
IA	01/20/2017 - 02/14/2018	INVEST FINANCIAL CORPORATION	CRD# 12984	PHOENIX, AZ
B	01/03/2011 - 01/19/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SCOTTSDALE, AZ
IA	01/03/2011 - 01/19/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SCOTTSDALE, AZ
IA	07/14/2009 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	PHOENIX, AZ
B	06/30/2009 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	PHOENIX, AZ
IA	01/31/2003 - 07/02/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PHOENIX, AZ
B	01/06/2003 - 07/02/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PHOENIX, AZ
B	01/02/2000 - 01/10/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	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
03/2025 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
03/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
12/2020 - 03/2025	ARIZONA BANK & TRUST	FINANCIAL CONSULTANT	Y	Phoenix, AZ, United States





## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2018 - 03/2025	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	PHOENIX, AZ, United States
01/2017 - 12/2020	Johnson Bank	Bank Employee	Y	Phoenix, AZ, United States
01/2017 - 02/2018	INVEST Financial Corporation	Registered Representative	Y	Tampa, FL, United States
11/2016 - 01/2017	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	PHOENIX, AZ, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	PHOENIX, AZ, 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. Name of other business: Uptown Biltmore Condominium Association

Investment related: No

Address: 5010 N. 34th St. #1, Phoenix, AZ 85018

Nature of business: HOA

Start Date: 01/2020

Apx number of hours per week: 1

Apx number of hours during trading hours: 0

Position/title/relationship: President

Brief description of duties: President of Home Owners Association;

2. Name of other business: Childsplay Inc.

Investment related: No

Address: 900 S. Mitchell Dr., Tempe, AZ 85281

Nature of business: Professional theatre company

Start Date: 01/2016

Apx number of hours per week: 1

Apx number of hours during trading hours: 0

Position/title/relationship: Board Member

Brief description of duties: Attend board meetings;

3. Name of other business: Wilde Wealth Management Group

Investment related: Yes

Address: Same as registered location

Nature of business: DBA - branding team name for Financial Services

Start date: 03/2025

Position/title/relationship: Financial Professional

Apx number of hours per week: 40

Apx number of hours during trading hours: 40

Brief description of duties: Providing Insurance, Securities, and Advisory services;



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO ADVISORS, LLC
<b>Allegations:</b>	CLIENT HAS A TRUST SERVICES ACCOUNT. SHE HAS STATED THAT SHE EMAILED HER RELATIONSHIP MANAGER AND REQUESTED A FULL LIQUIDATION OF THE ACCOUNT. THE LIQUIDATION DID NOT COMPLETE UNTIL 4/17 AND CLIENT FEELS SHE IS ENTITLED TO RESTITUTION OF \$5,441.00.
<b>Product Type:</b>	Other: MISCELLANEOUS
<b>Alleged Damages:</b>	\$5,441.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/08/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	05/23/2012
<b>Settlement Amount:</b>	



**Individual Contribution Amount:**

**Broker Statement**

THE CLIENT RECEIVED A BETTER EXECUTION THAN SHE WOULD HAVE IF HER ORIGINAL INSTRUCTIONS WERE ENTERED TIMELY. THE FIRM DENIED HER ALLEGATIONS OF WRONGDOING AND DEMAND FOR REMUNERATION IN ITS ENTIRETY.

**Disclosure 2 of 2**

**Reporting Source:**

Individual

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

BANC OF AMERICA INVESTMENT SERVICES, INC.

**Allegations:**

CLIENT ALLEGES THAT IN DECEMBER 2005, DAVID JAZO RECOMMENDED 401K PLANS TO ALLOW CLIENTS TO DEFER TAXES BUT DID NOT DISCLOSE IRS REQUIREMENTS OR TAX LIABILITIES. THIS AND SUBSEQUENT DEPOSITS IN APRIL 2006 RESULTED IN IMPROPER FILING AND ULTIMATE TAX PENALTIES.

**Product Type:**

Mutual Fund(s)

**Other Product Type(s):**

OPEN END

**Alleged Damages:**

\$19,234.00

**Customer Complaint Information**

**Date Complaint Received:**

05/18/2007

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

07/25/2007

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

CLIENT DID NOT SEEK APPROPRIATE TAX ADVICE FROM A QUALIFIED CPA ON THE MATTER PERTAINING TO THE ESTABLISHMENT OF THE 401(K) PLAN.



## End of Report

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