



IAPD Report

JAIMIE M BLACKMAN

CRD# 4129995

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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

JAIMIE M BLACKMAN (CRD# 4129995)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	11/12/2020
B	CETERA ADVISORS LLC	CRD# 10299	09/08/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	FIRST ALLIED SECURITIES, INC.	32444	STATEN ISLAND, NY	03/12/2009 - 09/08/2022
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	Staten Island, NY	07/02/2012 - 11/12/2020
IA	FIRST ALLIED SECURITIES, INC.	32444	STATEN ISLAND, NY	07/18/2011 - 07/02/2012

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	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 **8** 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	09/08/2022
	Colorado	Agent	Approved	01/21/2025
	Connecticut	Agent	Approved	09/08/2022
	Massachusetts	Agent	Approved	04/23/2026
	New Jersey	Agent	Approved	09/08/2022
	New York	Agent	Approved	09/08/2022
	Pennsylvania	Agent	Approved	09/08/2022
	South Carolina	Agent	Approved	09/08/2022
	Texas	Agent	Approved	09/08/2022

Branch Office Locations

CETERA ADVISORS LLC
1000 South Ave Suite 103
STATEN ISLAND, NY 10314

CETERA ADVISORS LLC
HOUSTON, TX

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650



Qualifications

Firm ID#: SCHAUMBURG, IL 60173-2096
105644

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	10/19/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	11/12/2020

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
1000 SOUTH AVE SUITE 103
STATEN ISLAND, NY 10314

CETERA INVESTMENT ADVISERS LLC
HOUSTON, TX



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	04/06/2005
B General Securities Representative Examination (S7)	Series 7	12/18/2001

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	01/25/2002



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
B	03/12/2009 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	STATEN ISLAND, NY
IA	07/02/2012 - 11/12/2020	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	Staten Island, NY
IA	07/18/2011 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	STATEN ISLAND, NY
B	08/19/2002 - 04/02/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
B	12/19/2001 - 07/25/2002	LADENBURG CAPITAL MANAGEMENT INC.	CRD# 14623	BETHPAGE, 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
01/2023 - Present	Lone Star College - Montgomery	Instructor	N	Conroe, TX, United States
09/2022 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	STATEN ISLAND, NY, United States
11/2020 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
03/2009 - 09/2022	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
11/2020 - 11/2020	FIRST ALLIED ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
07/2012 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC.	MASS TRANSFER - INVESTMENT ADVISOR REPRESENTATIVE	Y	CHESTERFIELD, MO, 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) BH WEALTH MANAGEMENT; PRESIDENT INSURANCE; START: 3/1/2009
- 2) JAIMIE BLACKMAN. VOLUNTEER SERVICES. MUSIC PERFORMANCE. STARTED 1/1/2011.
- 3) ARC- ADULT RESOURCE CENTER; PRESIDENT; NON-PROFIT ORGANIZATION; START DATE:01/01/2003; 4 HOURS A MONTH.
- 4) INSURANCE (FIXED/LIFE/HEALTH/P&C); START DATE: 04/01/2017; 80 HOURS PER MONTH.
- 5) ID360; CONSULTANT; CONSULTING; START DATE 05/29/2019; 4 HOURS PER MONTH.
- 6) MMR MAGAZINE; COLUMNIST; OTHER; START DATE: 01/15/2020; 8 HOURS PER MONTH.
- 7)NAME OF OTHER BUSINESS: JAIMIE BLACKMAN & COMPANY DBA MONEY CAPSULES;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
NATURE OF BUSINESS: MUSIC &WELLNESS EDUCATION;
START DATE: 06/2024;
POSITION/TITLE/RELATIONSHIP: PRESIDENT;
APX NUMBER OF HOURS PER WEEK: 3-5;
APX NUMBER OF HOURS DURING TRADING HOURS: 3-5;
BRIEF DESCRIPTION OF DUTIES: CREATE CONTENT, ORGANIZE TALKS AND PODCASTS, MUSIC, WELLNESS EDUCATION, PODCAST AND SPEAKING;
- 8) NAME OF OTHER BUSINESS: LONE STAR COLLEGE-MONTGOMERY;
INVESTMENT RELATED: NO;
ADDRESS: 3200 COLLEGE PARK DRIVE CONROE, TX 77384;
NATURE OF BUSINESS: MUSIC EDUCATION;
START DATE: 01/2023;
POSITION/TITLE/RELATIONSHIP: INSTRUCTOR;
APX NUMBER OF HOURS PER WEEK: 3;
APX NUMBER OF HOURS DURING TRADING HOURS: 3;
BRIEF DESCRIPTION OF DUTIES: TEACH STUDENTS ABOUT AMERICAN MUSIC;



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	2

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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF NEW YORK INSURANCE DEPARTMENT
Sanction(s) Sought:	Other: STIPUATION
Date Initiated:	07/20/2011
Docket/Case Number:	2011-0167-S
Employing firm when activity occurred which led to the regulatory action:	UBS
Product Type:	Insurance
Allegations:	STATE OF NEW YORK INSURANCE DEPARTMENT IS CHARGED WITH HAVING VIOLATED THE INSURANCE LAW AND/OR DEPARTMENT REGULATORS.
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/20/2011
Sanctions Ordered:	Monetary Penalty other than Fines

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Monetary Penalty other than Fines**Total Amount:** \$1,000.00**Portion Levied against individual:** \$1,000.00**Payment Plan:** PAID**Is Payment Plan Current:** Yes**Date Paid by individual:** 07/28/2011**Was any portion of penalty waived?** No**Amount Waived:****Broker Statement** THE TWO REGULATORY DISCLOSURES ORIGINATE FROM ONE SINGLE EVENT.**Disclosure 2 of 2****Reporting Source:** Regulator**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Other: N/A**Date Initiated:** 11/30/2010**Docket/Case Number:** 2009021029703**Employing firm when activity occurred which led to the regulatory action:** UBS FINANCIAL SERVICES, INC.**Product Type:** Insurance**Allegations:** FINRA RULE 2010 - CERTAIN STATES BEGAN REQUIRING FINANCIAL ADVISORS TO SUCCESSFULLY COMPLETE A LONG-TERM CARE CONTINUING EDUCATION (CE) COURSE BEFORE SELLING LONG-TERM INSURANCE PRODUCTS TO RETAIL CUSTOMERS. JAIMIE BLACKMAN HAD TO COMPLETE THE LONG-TERM CARE CE EXAM TO SELL AN INSURANCE PRODUCT TO A POTENTIAL CUSTOMER AND HAD AN INDIVIDUAL COME TO HIS OFFICE AND ASSIST HIM IN COMPLETING THE EXAM BY PROVIDING HIM WITH THE ANSWERS. BLACKMAN KNEW, OR SHOULD HAVE KNOWN, THAT THE INDIVIDUAL WAS IMPROPERLY ASSISTING HIM BY GIVING HIM ANSWERS TOWARD A CE REQUIREMENT.**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No**Resolution Date:** 11/30/2010



Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: ONE MONTH
Start Date: 01/03/2011
End Date: 02/02/2011

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current: Yes
Date Paid by individual: 12/13/2010
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, BLACKMAN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR ONE MONTH. THE SUSPENSION IS IN EFFECT FROM JANUARY 3, 2011 THROUGH FEBRUARY 2, 2011.

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Reporting Source: Individual
Regulatory Action Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY
Sanction(s) Sought: Other: N/A
Date Initiated: 11/30/2010



Docket/Case Number:	2009021029703
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	No Product
Allegations:	FINRA RULE 2010: CERTAIN STATES BEGAN REQUIRING FAS TO COMPLETE A LONG TERM CARE CONTINUING EDUCATION COURSE BEFORE SELLING LONG TERM INSURANCE PRODUCTS TO CUSTOMERS. FA HAD A PROSPECT LOCATED WHO WAS INTERESTED IN SUCH A PRODUCT. IN ORDER TO MARKET THE PRODUCT TO THIS CLIENT, FA HAD TO COMPLETE THE STATE LONG-TERM CARE CE EXAMINATION. A WHOLESALER WENT TO THE FA'S OFFICE AND ASSISTED HIM IN COMPLETING THE EXAM BY PROVIDING HIM WITH THE ANSWERS. THE FA KNEW OR SHOULD HAVE KNOWN THAT THE WHOLESALER WAS GIVING HIM ANSWERS TOWARD A CE REQUIREMENT. NO OTHER RULE VIOLATIONS ALLEGED, NO INTENTIONAL CONDUCT ALLEGED.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	11/30/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	ONE MONTH
Start Date:	01/03/2011
End Date:	02/02/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	12/13/2010
Was any portion of penalty waived?	No
Amount Waived:	



Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE RR CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR ONE MONTH. THE SUSPENSION IS IN EFFECT FROM JANUARY 3, 2011 THROUGH FEBRUARY 2, 2011.



End of Report

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