



IAPD Report

JAMES HARDIN SHOEMAKER

CRD# 422451

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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

JAMES HARDIN SHOEMAKER (CRD# 422451)

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 **06/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	08/10/2023
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	08/10/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	SECURIAN FINANCIAL SERVICES, INC.	15296	GERMANTOWN, TN	02/27/2003 - 08/10/2023
B	SECURIAN FINANCIAL SERVICES, INC.	15296	GERMANTOWN, TN	08/02/1990 - 08/10/2023
IA	SHOEMAKER ADVISORY CORPORATION	111322	GERMANTOWN, TN	06/03/2005 - 12/31/2007

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
Customer Dispute	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 **26** 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
B	FINRA	General Securities Principal	Approved	08/10/2023
B	FINRA	General Securities Representative	Approved	08/10/2023
B	Alabama	Agent	Approved	10/17/2023
B	Arizona	Agent	Approved	03/27/2024
B	Arkansas	Agent	Approved	08/10/2023
B	California	Agent	Approved	08/10/2023
B	Colorado	Agent	Approved	08/10/2023
B	Florida	Agent	Approved	08/14/2023
B	Georgia	Agent	Approved	08/10/2023
B	Illinois	Agent	Approved	08/10/2023
B	Indiana	Agent	Approved	08/10/2023
B	Kentucky	Agent	Approved	08/10/2023
B	Louisiana	Agent	Approved	10/23/2023



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	08/10/2023
B Mississippi	Agent	Approved	08/10/2023
B Missouri	Agent	Approved	08/10/2023
B New Mexico	Agent	Approved	08/10/2023
B New York	Agent	Approved	08/12/2023
B North Carolina	Agent	Approved	08/10/2023
B Ohio	Agent	Approved	08/10/2023
B Oklahoma	Agent	Approved	08/10/2023
B Oregon	Agent	Approved	08/10/2023
B Pennsylvania	Agent	Approved	07/12/2024
B South Carolina	Agent	Approved	08/10/2023
B Tennessee	Agent	Approved	08/10/2023
B Texas	Agent	Approved	08/10/2023
B Utah	Agent	Approved	08/10/2023
B Virginia	Agent	Approved	08/10/2023

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
2176 WEST STREET
SUITE 100
GERMANTOWN, TN 38138

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**



Qualifications

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	Tennessee	Investment Adviser Representative	Approved	08/10/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	08/10/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
2176 WEST ST
STE 100
GERMANTOWN, TN 38138



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	01/27/1984

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Registered Representative Examination (S1)	Series 1	02/13/1974

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	12/07/1981

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** 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	02/27/2003 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	GERMANTOWN, TN
B	08/02/1990 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	GERMANTOWN, TN
IA	06/03/2005 - 12/31/2007	SHOEMAKER ADVISORY CORPORATION	CRD# 111322	GERMANTOWN, TN
B	03/17/1989 - 02/21/1990	SHOEMAKER SECURITIES COMPANY, INC.	CRD# 23233	
B	12/21/1988 - 04/22/1989	CAREY JAMISON & COMPANY	CRD# 14129	
B	09/02/1987 - 10/31/1988	HIBBARD BROWN & CO., INC.	CRD# 18246	
B	11/04/1981 - 09/14/1987	FSC SECURITIES CORPORATION	CRD# 7461	

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
08/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
08/2023 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	GERMANTOWN, TN, United States
04/1984 - Present	SHOEMAKER ADVISORY CORPORATION	INVESTMENT ADVISOR REP	Y	GERMANTOWN, TN, United States
10/1978 - Present	MINNESOTA MUTUAL LIFE	GENERAL AGENT	Y	ST. PAUL, MN, United States
10/1978 - Present	SHOEMAKER AGENCY	GENERAL AGENT	Y	GERMANTOWN, TN, United States
01/2004 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	ST. PAUL, MN, United States
07/1990 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	REGISTERED REP	Y	ST. PAUL, 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.

KINGDOM ADVISORS

POSITION: Director NATURE: Board Member INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/1998
ADDRESS: , Atlanta GA , United States
DESCRIPTION: Director

SHOEMAKER INSURANCE SOLUTIONS

POSITION: Owner NATURE: Fixed Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 4 START DATE: 01/01/2018
ADDRESS: , Germantown TN , United States
DESCRIPTION: Owner



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
Customer Dispute	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: Firm

Regulatory Action Initiated By: TENNESSEE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/03/1989

Docket/Case Number: 12.06-A-89-0355J

Employing firm when activity occurred which led to the regulatory action: SHOEMAKER SECURITIES COMPANY, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 06/01/1990

Sanctions Ordered: Cease and Desist/Injunction
Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details:



Firm Statement

WHILE ASSOCIATED WITH SHOEMAKER SECURITIES COMPANY, INC., JAMES HARDIN SHOEMAKER AND SHOEMAKER SECURITIES COMPANY, INC. WERE THE SUBJECTS OF A COMPLAINT AND NOTICE INSTITUTED BY THE TENNESSEE COMMISSIONER OF COMMERCE AND INSURANCE, SECURITIES DIVISION, DOCKET NO. 12.06-A-89-03555. THE ACTION SOUGHT THE ENTRY OF AN ORDER DENYING THE REGISTRATIONS OF SHOEMAKER SECURITIES COMPANY, INC. AND JAMES SHOEMAKER AS AN AGENT AND PRINCIPAL THEREOF IN THE STATE OF TENNESSEE, ALLEGING VIOLATIONS OF THE AGENT REGISTRATION PROVISIONS OF THE TENNESSEE SECURITIES ACT. SHOEMAKER HAD FAILED TO DISCLOSE CERTAIN MATERIAL INFORMATION IN THE FORM U-4 AND IN THE FORM BD FILED BY HIM ON BEHALF OF SHOEMAKER SECURITIES COMPANY, INC. INCLUDING THE FACT THAT HE, AMONG OTHERS, HAD BEEN NAMED IN A CONSUMER-INITIATED, INVESTMENT-RELATED SUIT IN THE UNITED STATES DISTRICT COURT FOR THE MIDDLE DISTRICT OF TENNESSEE, IN FEBRUARY, 1986, ALLEGING VIOLATIONS OF FEDERAL AND SECURITIES LAWS. THIS LITIGATION WAS SUBSEQUENTLY SETTLED BY ONE OF THE OTHER DEFENDANTS ON BEHALF OF ALL DEFENDANTS, INCLUDING MR. SHOEMAKER. JAMES HARDIN SHOEMAKER AND SHOEMAKER SECURITIES COMPANY, INC. HAVE AGREED, IN PRINCIPLE, TO THE ENTRY OF AN AGREED ORDER WITH THE SECURITIES DIVISION IN WHICH SHOEMAKER AGREES TO CEASE AND DESIST FROM ALL FURTHER VIOLATIONS OF THE ACT AND TO PAY A FINE OF \$500.00. FURTHER, THE DIVISION HAS AGREED TO ACCEPT THE WITHDRAWAL OF MR. SHOEMAKER'S APPLICATION FOR AGENT'S REGISTRATION AND THE WITHDRAWAL OF THE APPLICATION OF SHOEMAKER SECURITIES COMPANY, INC. FOR REGISTRATION AS A BROKER-DEALER AND TO PERMIT SHOEMAKER TO REAPPLY FOR AGENT REGISTRATION WITH MIMLIC SALES CORPORATION, WHICH APPLICATION IS TO BE PROMPTLY CONSIDERED AND ACTED UPON BY THE SECURITIES DIVISION.

Reporting Source: Individual
Regulatory Action Initiated By: TENNESSEE SECURITIES DIVISION
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 04/03/1989
Docket/Case Number: 12.06-A-89-0355J
Employing firm when activity occurred which led to the regulatory action: SHOEMAKER SECURITIES COMPANY, INC.



Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	FAILURE TO DISCLOSE ALL MATERIAL INFORMATION ON U-4 AND FORM BD FOR SHOEMAKER SECURITIES COMPANY, INC. SELLING SECURITIES WHILE NOT PROPERLY REGISTERED; FAILURE TO REGISTER J. H. SHOEMAKER ADVISORY CORPORATION AS AN INVESTMENT ADVISOR IN TENNESSEE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/01/1990
Sanctions Ordered:	Cease and Desist/Injunction Monetary/Fine \$500.00
Other Sanctions Ordered:	
Sanction Details:	AGREED ORDER ENTERED IN WHICH APPLICANT AGREED TO CEASE AND DESIST FROM FURTHER VIOLATIONS OF TENNESSEE SECURITIES ACT. \$500.00 FINE PAID; APPLICANT AGREED NOT TO SUBMIT APPLICATION AS CONTROL PERSON OF BROKER- DEALER FOR 3 YEAR PERIOD FROM AND AFTER 4-3-89; APPLICANT ALLOWED TO WITHDRAW U-4 AND FORM BD FOR SHOEMAKER SECURITIES COMPANY, INC. AND TO RE-APPLY AT ANY TIME AS AGENT FOR ANY BROKER-DEALER. ACTION AGAINST SHOEMAKER SECURITIES COMPANY, INC. DROPPED AS WELL AS CLAIM THAT APPLICANT FAILED TO REGISTER J. H. SHOEMAKER ADVISORY CORPORATION.
Broker Statement	NOT PROVIDED



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: JAMES SHOEMAKER & CO.

Allegations:

Product Type:

Alleged Damages: \$40,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; MIDDLE DISTRICT OF TN, COOKEVILLE DIVISION; 2860018

Date Notice/Process Served: 02/25/1986

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/18/1987

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Firm Statement SHOEMAKER WAS NAMED IN A LAWSUIT FILED BY A CUSTOMER IN CONNECTION WITH THE SALE OF A PRIVATE LIMITED PARTNERSHIP. THE SUIT WAS SETTLED IN MAY 1987 FOR \$40,500. THE SUIT ALLEGED MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY. THE SUIT WAS SETTLED BECAUSE THE COSTS OF PROCEEDING WERE ESTIMATED TO EXCEED COSTS OF SETTLEMENT. THE ABOVE COMPLAINT WAS FILED BY CUSTOMERS [CUSTOMER] AND [SPOUSE] ON FEBRUARY 25, 1986 IN THE UNITED STATES DISTRICT COURT FOR THE MIDDLE DISTRICT OF TENNESSEE; CASE NO. 2860018. THE MATTER WAS SETTLED AND DISMISSED ON MAY 18, 1987 FOR \$25,000. CONTACT: [THIRD PARTY] AT (404) 521-6500.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JAMES SHOEMAKER & CO.

Allegations: VIOLATIONS OF FEDERAL AND STATE SECURITIES LAWS, RULE 106-5, RICO, TENNESSEE CONSUMER PROTECTION ACT. ALLEGED DAMAGES - \$40,500

Product Type:

Alleged Damages: \$40,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; MIDDLE DISTRICT OF TN, COOKEVILLE DIVISION; 2860018

Date Notice/Process Served: 02/25/1986

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/18/1987

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Broker Statement SUIT WAS DISMISSED WITH PREJUDICEE AGAINST APPLICANT. F.S.C. CORPORATION SETTLED THIS MATTER ON BEHALF OF ALL DEFENDENTS INCLUDING APPLICANT, WITHOUT ANY LIABILITY ON PART OF APPLICANT. APPLICANT WAS NOT REQUIRED TO PARTICIPATE FINANCIALLY IN SETTLEMENT.
Not Provided



End of Report

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