



IAPD Report

TRAVIS G BLASER

CRD# 4228055

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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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

TRAVIS G BLASER (CRD# 4228055)

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 **09/08/2025**.

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 **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	FIRST ALLIED SECURITIES, INC.	32444	SCOTTSDALE, AZ	10/07/2014 - 09/08/2022
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	SCOTTSDALE, AZ	10/23/2014 - 11/12/2020
IA	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	SCOTTSDALE, AZ	10/01/2009 - 10/08/2014

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	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 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
B FINRA	General Securities Principal	Approved	09/08/2022
B FINRA	General Securities Representative	Approved	09/08/2022
B FINRA	Municipal Securities Principal	Approved	09/08/2022
B FINRA	Municipal Securities Representative	Approved	09/08/2022
B Arizona	Agent	Approved	09/08/2022
B California	Agent	Approved	09/08/2022
B Oregon	Agent	Approved	09/08/2022
B Utah	Agent	Approved	03/21/2025
B Washington	Agent	Approved	12/12/2022

Branch Office Locations

CETERA ADVISORS LLC
6900 E CAMELBACK ROAD SUITE 606
SCOTTSDALE, AZ 85251

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 Arizona	Investment Adviser Representative	Approved	11/12/2020

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
6900 E. CAMEL BACKRD
SUITE 606
SCOTTSDALE, AZ 85251



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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
Municipal Securities Principal Examination (S53)	Series 53	07/25/2008
General Securities Principal Examination (S24)	Series 24	03/25/2002

General Industry/Product Exams

Exam	Category	Date
Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	02/04/2002
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/12/2000

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	02/19/2002
Uniform Securities Agent State Law Examination (S63)	Series 63	09/25/2000

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	10/07/2014 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SCOTTSDALE, AZ
IA	10/23/2014 - 11/12/2020	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	SCOTTSDALE, AZ
IA	10/01/2009 - 10/08/2014	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	SCOTTSDALE, AZ
B	01/12/2009 - 10/08/2014	NATIONAL PLANNING CORPORATION	CRD# 29604	SCOTTSDALE, AZ
IA	12/24/2008 - 01/14/2009	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	SCOTTSDALE, AZ
B	10/31/2005 - 01/14/2009	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
IA	04/17/2006 - 12/31/2006	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	SCOTTSDALE, AZ
B	08/09/2001 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
IA	05/03/2002 - 07/02/2004	INTEGRATED WEALTH MANAGEMENT, LLC	CRD# 114923	SCOTTSDALE, AZ
B	09/13/2000 - 08/10/2001	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT

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
09/2022 - Present	CETERA ADVISORS	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
11/2020 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
10/2014 - 09/2022	FIRST ALLIED SECURITIES, INC.	FINANCIAL ADVISOR	Y	SAN DIEGO, CA, United States
10/2014 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC	INVESTMENT ADVISOR	Y	CHESTERFIELD, MO, United States



Registration & Employment History

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.) BLASER MCCOOK LLC; PARTNER; HOLDING COMPANY; START DATE 06/01/2004; 4 HOURS PER MONTH.
2. INSURANCE; AGENT; INSURANCE; START DATE 01/01/1997; 4 HOURS PER MONTH.



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	1

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:	Regulator
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.; National Planning Corporation; and SagePoint Financial, Inc.
Allegations:	Blaser was the subject of the customers' complaint against his member firm and/or other named respondents that asserted the following causes of action: negligence and gross negligence; misrepresentation; omission of a material fact; failure to supervise; breach of fiduciary duty; and breach of contract.
Product Type:	Annuity-Variable Real Estate Security Other: limited partnerships
Alleged Damages:	\$1,143,030.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #18-01349
Date Notice/Process Served:	04/11/2018
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	03/11/2022
Disposition Detail:	Blaser was a Subject Of the customers' complaint alleging Blaser and his member firm and/or other named respondents caused sales practice violations. Blaser's member firm is liable for and shall pay to Claimants the sum of \$1,961,500.00 in compensatory damages; is liable for and shall pay to Claimants the sum of



\$40,000.00 in costs; is liable for and shall pay to Claimants the sum of \$660,500.00 in attorneys' fees pursuant to Arizona contract law; and is liable for and shall pay to Claimants the sum of \$425.00 to reimburse Claimants for the non-refundable portion of the filing fee previously paid to FINRA Dispute Resolution Services.

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST ALLIED SECURITIES, NATIONAL PLANNING CORP; SAGEPOINT FINANCIAL

Allegations: CLIENT ALLEGES SUITABILITY OF ANNUITIES AND ALTERNATIVE INVESTMENTS.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$1,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-01349

Filing date of arbitration/CFTC reparation or civil litigation: 04/12/2018

Customer Complaint Information

Date Complaint Received: 04/12/2018

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 03/11/2022

Settlement Amount: \$1,143,030.00

Individual Contribution Amount: \$0.00

Firm Statement SagePoint settled all claims against the firm in 2020 for the amount of \$49,000. The claimant continued to a hearing against respondent First Allied only, and received the stated award amount, together with costs and attorneys fees.

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: National Planning Corporation, First Allied, Sagepoint

Allegations: Claimant alleges negligence, gross negligence, over concentration, breach of contract, breach of fiduciary duty, material misrepresentations and omissions,



failure to supervise, and fraud.

Product Type: Annuity-Variable
Real Estate Security

Alleged Damages: \$1,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA Arbitration

Docket/Case #: 18-01349

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 04/12/2018

Customer Complaint Information

Date Complaint Received: 04/17/2018

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**
.....

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** First Allied Securities, Inc., National Planning Corp. and SagePoint Financial

Allegations: Claimants allege that their advisors recommended an unsuitable mix of investments in bonds, annuities, and non-traded alternative investments. Claimants allege negligence, misrepresentation, failure to supervise, breach of fiduciary duty, and breach of contract.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$1,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 18-01349

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 04/17/2018



Customer Complaint Information

Date Complaint Received: 04/24/2018

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 03/11/2022

Settlement Amount: \$2,662,425.00

Individual Contribution Amount: \$0.00

Broker Statement

I disagree with, and strongly deny, claimants' allegations. Claimants were fully aware of, and understood, any and all risks associated with their investments. Claimants have cherry-picked a handful of long-term investments that have, in the short term, lost value. However, their portfolio has been properly diversified and has performed well. I have not misrepresented any facts to the clients, nor have I breached any duties or contracts.



End of Report

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