



## IAPD Report

# THOMAS ROY DARTNELL

CRD# 4410042

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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

### THOMAS ROY DARTNELL (CRD# 4410042)

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 **09/20/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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>IA</b>	AVANTAX ADVISORY SERVICES	104556	MOUNT ARLINGTON, NJ	10/25/2019 - 09/05/2025
<b>B</b>	AVANTAX INVESTMENT SERVICES, INC.	13686	MOUNT ARLINGTON, NJ	10/25/2019 - 09/05/2025
<b>IA</b>	1ST GLOBAL ADVISORS INC	111133	MOUNT ARLINGTON, NJ	04/01/2002 - 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
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 2 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>B</b> FINRA	General Securities Representative	Approved	09/05/2025
<b>B</b> New Jersey	Agent	Approved	09/05/2025
<b>B</b> Pennsylvania	Agent	Approved	09/05/2025

#### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
200 VALLEY ROAD  
SUITE 300  
MOUNT ARLINGTON, NJ 07856

#### 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
<b>IA</b> New Jersey	Investment Adviser Representative	Approved	09/05/2025

#### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
200 VALLEY ROAD  
SUITE 300  
MOUNT ARLINGTON, NJ 07856



## 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 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
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	07/09/2001
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#### State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	08/02/2001
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

#### Personal Financial Specialist

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
IA	10/25/2019 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	MOUNT ARLINGTON, N.
B	10/25/2019 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	MOUNT ARLINGTON, N.
IA	04/01/2002 - 10/25/2019	1ST GLOBAL ADVISORS INC	CRD# 111133	MOUNT ARLINGTON, N.
B	07/10/2001 - 10/25/2019	1ST GLOBAL CAPITAL CORP.	CRD# 30349	MOUNT ARLINGTON, N.

### 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	MOUNT ARLINGTON, NJ, United States
12/2023 - Present	Wealthspring Financial Partners LLC	Owner	Y	Mount Arlington, NJ, United States
08/1985 - Present	NISIVOCCIA LLP	PARTNER	Y	MOUNT ARLINGTON, NJ, United States
10/2019 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	MOUNT ARLINGTON, NJ, United States
10/2019 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	MOUNT ARLINGTON, NJ, United States
02/2005 - 09/2025	AVANTAX INSURANCE SERVICES, INC.	INSURANCE AGENT	Y	MOUNT ARLINGTON, NJ, United States
04/2002 - 10/2019	1ST GLOBAL ADVISORS, INC.	REGISTERED INVESTMENT ADVISOR REPRESENTATIVE	Y	MOUNT ARLINGTON, NJ, United States
05/2001 - 10/2019	1ST GLOBAL CAPITAL CORP	FINANCIAL ADVISOR	Y	MOUNT ARLINGTON, NJ, 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) NISIVOCCIA LLP (FORMERLY INNOVATIVE WEALTHCARE ADVISORS, LLC)**

**POSITION:** PARTNER **NATURE:** Certified Public Accounting practice providing traditional CPA services. **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 190 **SECURITIES TRADING HOURS:** 130 **START DATE:** 01/01/1999  
**ADDRESS:** 200 Valley Road, Suite 300, Mt. Arlington NJ 07856, United States  
**DESCRIPTION:** Provide traditional CPA services to my client base.

**2) NISIVOCCIA WEALTH ADVISORS, LLC**

**POSITION:** REFERRING PARTNER **NATURE:** FINANCIAL SERVICES **INVESTMENT RELATED:** Yes **NUMBER OF HOURS:** 10  
**SECURITIES TRADING HOURS:** 1 **START DATE:** 02/23/2015  
**ADDRESS:** Mt Arlington NJ 07856, United States  
**DESCRIPTION:** REFERRING PARTNER AND MANAGING MEMBER

**3) WEALTHSPRING FINANCIAL PARTNERS LLC**

**POSITION:** Owner **NATURE:** This is the proposed acquisition vehicle of various financial services and tax practices. The vehicle was created so that we could operate these acquired businesses and not confuse them with Nisivoccia LLP brand. **INVESTMENT RELATED:** Yes **NUMBER OF HOURS:** 10 **SECURITIES TRADING HOURS:** 5 **START DATE:** 12/26/2023  
**ADDRESS:** 200 Valley Road, Suite 300, Mount Arlington NJ 07856, United States  
**DESCRIPTION:** My duties will be primarily as an investor in this entity. I will participate in meetings called by management that may be consequential to the formation documents of the entity or any significant changes to those documents.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	1ST GLOBAL CAPITAL CORP.
<b>Allegations:</b>	CLIENT ALLEGES THAT REPRESENTATIVE INVESTED FUNDS IN VARIABLE ANNUITY WITHOUT HER PERMISSION OR KNOWLEDGE. CLIENT ALSO ALLEGES SHE WAS UNAWARE OF SURRENDER CHARGES ASSOCIATED WITH THE VARIABLE ANNUITY CONTRACTS.
<b>Product Type:</b>	Annuity(ies) - Variable
<b>Alleged Damages:</b>	\$18,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/04/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	09/18/2008
<b>Settlement Amount:</b>	\$78,182.55
<b>Individual Contribution Amount:</b>	\$39,091.28
<b>Broker Statement</b>	FIRM RECORDS SHOW CLIENT SIGNED ALL APPLICATIONS AND DISCLOSURE FORMS DISCUSSING THE FEATURES OF VARIABLE ANNUITIES, INCLUDING THE FACT THAT THE INVESTMENT IS SUBJECT TO SURRENDER CHARGES. ADDITIONAL COMMENTS ADDED BY ADVISOR: I VEHEMENTLY DENY THE VALIDITY OF THE CLIENT COMPLAINT. THE



CLIENT COMPLAINT IS NOT SUPPORTED BY THE FACTS AS EVIDENCED BY MULTIPLE CLIENT SIGNATURES ON THE APPROPRIATE INVESTMENT DOCUMENTS AS WELL AS CORRESPONDENCE SENT DIRECTLY BY THE INVESTMENT COMPANY. REPRESENTATIVE AND FIRM SETTLED MATTER IN LIEU OF POTENTIAL COSTLY LITIGATION.



## End of Report

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