



IAPD Report

DAMIEN JOSEPH PAUMI

CRD# 4428223

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 9
Disclosure Information	10

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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

DAMIEN JOSEPH PAUMI (CRD# 4428223)

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 **01/23/2026**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	AVANTAX ADVISORY SERVICES	104556	Mount Arlington, NJ	10/25/2019 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	PARSIPPANY, NJ	10/25/2019 - 09/05/2025
IA	1ST GLOBAL ADVISORS INC	111133	MOUNT ARLINGTON, NJ	04/06/2010 - 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 **33** 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	09/05/2025
B	FINRA	General Securities Representative	Approved	09/05/2025
B	FINRA	Municipal Fund	Approved	09/05/2025
B	FINRA	Registered Options Principal	Approved	09/05/2025
B	Alabama	Agent	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Delaware	Agent	Approved	09/05/2025
B	District of Columbia	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	09/05/2025
B Illinois	Agent	Approved	09/05/2025
B Indiana	Agent	Approved	09/05/2025
B Iowa	Agent	Approved	09/05/2025
B Kentucky	Agent	Approved	09/05/2025
B Maryland	Agent	Approved	09/05/2025
B Massachusetts	Agent	Approved	09/05/2025
B Michigan	Agent	Approved	09/05/2025
B Nevada	Agent	Approved	09/05/2025
B New Hampshire	Agent	Approved	09/05/2025
B New Jersey	Agent	Approved	09/05/2025
B New York	Agent	Approved	09/05/2025
B North Carolina	Agent	Approved	09/05/2025
B Ohio	Agent	Approved	09/05/2025
B Oklahoma	Agent	Approved	09/05/2025
B Oregon	Agent	Approved	09/05/2025
B Pennsylvania	Agent	Approved	09/05/2025
B Rhode Island	Agent	Approved	09/05/2025
B South Carolina	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	09/05/2025
B Texas	Agent	Approved	09/05/2025
B Vermont	Agent	Approved	09/05/2025
B Virginia	Agent	Approved	09/05/2025
B Washington	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
LONG VALLEY, NJ

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

CETERA ADVISOR NETWORKS LLC
191 Woodport Road
Suite 208H
Sparta, NJ 07871

CETERA ADVISOR NETWORKS LLC
115 Horseneck Road
Suite 201
Montville, NJ 07045

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
IA New Jersey	Investment Adviser Representative	Approved	09/05/2025
IA Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
191 WOODPORT ROAD
SUITE 208H
SPARTA, NJ 07871

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



Qualifications

CETERA INVESTMENT ADVISERS LLC

115 Horseneck Road
Suite 201
Montville, NJ 07045



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 3 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Municipal Fund Securities Principal Examination (S51)	Series 51	04/01/2008
Registered Options Principal Examination (S4)	Series 4	01/14/2008
General Securities Principal Examination (S24)	Series 24	01/30/2007

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/05/2001

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	09/26/2001

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
IA	10/25/2019 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Mount Arlington, NJ
B	10/25/2019 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	PARSIPPANY, NJ
IA	04/06/2010 - 10/25/2019	1ST GLOBAL ADVISORS INC	CRD# 111133	MOUNT ARLINGTON, N.
B	04/06/2010 - 10/25/2019	1ST GLOBAL CAPITAL CORP.	CRD# 30349	MOUNT ARLINGTON, N.
IA	10/02/2001 - 04/09/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MATAWAN, NJ
B	09/06/2001 - 04/09/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MATAWAN, NJ
B	09/06/2001 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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	PARSIPPANY, NJ, United States
05/2023 - Present	WFP real Estate F1 LLC	Co-owner	Y	Flanders, NJ, United States
10/2016 - Present	Damien Paumi & Rachael Grieco	OWNER	N	Corolla, NC, United States
04/2010 - Present	NISIVOCCIA LLP	BMS ADVISOR	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
04/2010 - 09/2025	AVANTAX INSURANCE SERVICES, INC.	INSURANCE AGENT	Y	MOUNT ARLINGTON, NJ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2010 - 10/2019	1ST GLOBAL ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	MOUNT ARLINGTON, NJ, United States
04/2010 - 10/2019	1ST GLOBAL CAPITAL CORP.	FINANCIAL ADVISOR	Y	MOUNT ARLINGTON, NJ, 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) NISIVOCCIA WEALTH ADVISORS, LLC

POSITION: WEALTH ADVISOR NATURE: FINANCIAL SERVICES INVESTMENT RELATED: No NUMBER OF HOURS: 200
 SECURITIES TRADING HOURS: 8 START DATE: 01/13/2015
 ADDRESS: Ste 300, Mt Arlington NJ 07856, United States
 DESCRIPTION: Financial sales, support, service.

2) RENTAL PROPERTY - SUCCASUNNA

POSITION: owner NATURE: Real Estate Rental Property INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2018
 ADDRESS: 9 Ryan Court, Long valley NJ 07853, United States
 DESCRIPTION: I own a townhouse/condo that will be rented. The location of the condo is 119 Woods Edge Drive, Succasunna, NJ

3) HSR HOLDINGS LLC

POSITION: Owner NATURE: Residential Investment Real Estate - Rentals INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/19/2019
 ADDRESS: 117 Woods Edge Dr, Succasunna NJ 07876, United States
 DESCRIPTION: Manage rental property

4) NISIVOCCIA LLP

POSITION: Director of Financial Services NATURE: Financial services entity INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 04/01/2010
 ADDRESS: 200 Valley Road- Suite 300, Mt Arlington NJ 07853, United States
 DESCRIPTION: Lead the team know as Nisivoccia Wealth Advisors - which is another LLC

5) RETIRING ADVISORS NETWORK, LLC

POSITION: OWNER NATURE: LLC for the ability to consult with outside CPAs and Financial Planners INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2010
 ADDRESS: 9 Ryan Court, Long Valley NJ 07853, United States
 DESCRIPTION: None - there is no activity at this time on this OBA

6) VALLEY ROAD INVESTORS LLC

POSITION: Owner NATURE: LLC to be used to invest inLand/Property INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 02/27/2019
 ADDRESS: 9 Ryan Court, Long Valley NJ 07853, United States
 DESCRIPTION: Pay Property taxes



Registration & Employment History



OTHER BUSINESS ACTIVITIES

7) 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 the Nisivoccia LLP brand.

INVESTMENT RELATED: Yes **NUMBER OF HOURS:** 40 **SECURITIES TRADING HOURS:** 20 **START DATE:** 12/01/2021

ADDRESS: 9 Ryan Court, Long Valley NJ 07853, United States

DESCRIPTION: Director of Planning and Managing Partner of the firm.

8) NAME OF OTHER BUSINESS: THE 200 CLUB OF MORRIS COUNTY;

INVESTMENT RELATED: NO;

ADDRESS: P.O. BOX 4147 TOMS RIVER, NJ 0875;

NATURE OF BUSINESS: NON PROFIT;

START DATE: 01/2026;

POSITION/TITLE/RELATIONSHIP: PRESIDENT;

APX NUMBER OF HOURS PER WEEK: 2;

APX NUMBER OF HOURS DURING TRADING HOURS: 1

BRIEF DESCRIPTION OF DUTIES: LEAD THE CLUB, OVERSEEING THE VARIOUS CLUB VOLUNTEER COMMITTEES, WORK WITH THE HIRED CLUB ADMINISTRATOR TO OVERSEEING THE MANAGEMENT OF THE CLUB;

9) WFP REAL ESTATE F1 LLC

POSITION: Co-owner **NATURE:** Rental real estate in Flanders NJ that owns the registered office **INVESTMENT RELATED:** No

NUMBER OF HOURS: 1 **SECURITIES TRADING HOURS:** 0 **START DATE:** 05/11/2023

ADDRESS: 88 Bartley road, Suite 101, Flanders NJ 07836, United States

DESCRIPTION: Property management

10) DAMIEN PAUMI & RACHAEL GRIECO

POSITION: OWNER **NATURE:** RENTAL REAL ESTATE **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 1 **SECURITIES TRADING HOURS:** 0 **START DATE:** 10/28/2016

ADDRESS: 1041 Lighthouse Drive, Corolla NC 27927, United States

DESCRIPTION: Rental Real Estate



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:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	THE CLIENT ALLEGED THEIR FINANCIAL ADVISOR TOOK DISCRETION ON THEIR ACCOUNTS
Product Type:	Mutual Fund(s)
Alleged Damages:	\$15,000.00

Customer Complaint Information

Date Complaint Received:	09/04/2007
Complaint Pending?	No
Status:	Denied
Status Date:	01/18/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND CLIENT AUTHORIZED THE REALLOCATION OF HIS MUTUAL FUND HOLDINGS AFTER MEETING WITH FINANCIAL ADVISOR. THE ADVISOR SENT A LETTER SUMMARIZING THE MEETING TO THE CLIENT. WE SENT A LETTER TO THE CLIENT WITH OUR FINDINGS.



End of Report

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