IAPD Report

LENNARD CUNO VAN DER FELTZ

CRD# 4630091

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

LENNARD CUNO VAN DER FELTZ (CRD# 4630091)

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 **11/25/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	11/12/2024
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	11/13/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	SEROS FINANCIAL, LLC	166808	TEMPE, AZ	07/26/2017 - 11/25/2024
B	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	TEMPE, AZ	02/04/2015 - 11/12/2024
IA	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	TEMPE, AZ	02/13/2015 - 11/20/2017

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	5

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 **1** 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 Representative	Approved	11/12/2024
B	Arizona	Agent	Approved	11/13/2024

Branch Office Locations

CETERA ADVISORS LLC
MESA, AZ

CETERA ADVISORS LLC
3200 W RAY ROAD
SUITE 101
CHANDLER, AZ 85226

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	Arizona	Investment Adviser Representative	Approved	11/13/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
3200 W RAY ROAD
SUITE 101
CHANDLER, AZ 85226

CETERA INVESTMENT ADVISERS LLC
MESA, AZ

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/11/2003

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/19/2003

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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
IA	07/26/2017 - 11/25/2024	SEROS FINANCIAL, LLC	CRD# 166808	TEMPE, AZ
B	02/04/2015 - 11/12/2024	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	TEMPE, AZ
IA	02/13/2015 - 11/20/2017	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	TEMPE, AZ
B	12/17/2007 - 02/20/2015	METLIFE SECURITIES INC.	CRD# 14251	TEMPE, AZ
IA	04/29/2004 - 12/20/2007	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	MESA, AZ
B	02/12/2003 - 12/20/2007	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	MESA, AZ

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
11/2024 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
11/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
02/2020 - Present	CORNVILLE PLACE FOR YOU LLC	PROPERTY OWNER	N	CORNVILLE, AZ, United States
02/2015 - Present	PINNACLE FINANCIAL ADVISORS	CFO	Y	TEMPE, AZ, United States
01/2005 - Present	PINNACLE ACHIEVEMENT GROUP LLC	CFO	Y	TEMPE, AZ, United States
02/2000 - Present	KNOWLEDGETRAX, LLC	CEO	N	PHOENIX, AZ, United States
08/2017 - 11/2024	SEROS FINANCIAL LLC	IAR	Y	Tempe, AZ, United States
07/2017 - 11/2024	Seros Financial LLC	Investment Adviser Representative	Y	Tempe, AZ, United States
02/2015 - 11/2024	UNITED PLANNERS FINANCIAL SERVICES	REGISTERED REP	Y	SCOTTSDALE, AZ, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location

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. NAME OF OTHER BUSINESS: FIXED INSURANCE
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FIXED INSURANCE
START DATE: 02/2003
APX NUMBER OF HOURS PER WEEK: 1
APX NUMBER OF HOURS DURING TRADING HOURS: 1
POSITION/TITLE/RELATIONSHIP: AGENT
BRIEF DESCRIPTION OF DUTIES: INSURANCE SALES AND SERVICE

2. NAME OF OTHER BUSINESS: CORNVILLE PLACE FOR YOU LLC
INVESTMENT RELATED: NO
ADDRESS: 485 S PAGE SPRINGS RD CORNVILLE, AZ 86325
NATURE OF BUSINESS: RENTAL PROPERTY
START DATE: 02/2020
APX NUMBER OF HOURS PER WEEK: 1
APX NUMBER OF HOURS DURING TRADING HOURS: 0
POSITION/TITLE/RELATIONSHIP: PROPERTY OWNER
BRIEF DESCRIPTION OF DUTIES: INTERACT WITH PROFESSIONAL PROPERTY MANAGER

3. NAME OF OTHER BUSINESS: PINNACLE ACHIEVEMENT GROUP LLC DBA PINNACLE FINANCIAL ADVISORS
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FINANCIAL SERVICES
START DATE: 01/2007
APX NUMBER OF HOURS PER WEEK: 32
APX NUMBER OF HOURS DURING TRADING HOURS: 32
POSITION/TITLE/RELATIONSHIP: CFO
BRIEF DESCRIPTION OF DUTIES: PROVIDING FINANCIAL SERVICES TO CLIENTS

4. NAME OF OTHER BUSINESS: WILDE WEALTH MANAGEMENT GROUP
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FINANCIAL SERVICES
START DATE: 11/2024
APX NUMBER OF HOURS PER WEEK: 32
APX NUMBER OF HOURS DURING TRADING HOURS: 32
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL
BRIEF DESCRIPTION OF DUTIES: PROVIDING FINANCIAL SERVICES TO CLIENTS

5. NAME OF OTHER BUSINESS: KNOWLEDGETRAX LLC
INVESTMENT RELATED: NO

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ADDRESS: 2127 N ALLEN MESA, AZ 85203
NATURE OF BUSINESS: BUSINESS CONSULTING
START DATE: 02/2000
APX NUMBER OF HOURS PER WEEK: 1
APX NUMBER OF HOURS DURING TRADING HOURS: 1
POSITION/TITLE/RELATIONSHIP: CEO
BRIEF DESCRIPTION OF DUTIES: PROVIDE BUSINESS CONSULTING SERVICES

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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
Allegations:	Unsuitability, common law fraud, breach of contract, negligent supervision, breach of fiduciary duty and violation of the Arizona Consumer Fraud Act and Securities Act.
Product Type:	Other: Alternative Investment
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The damages are unspecified and the firm has determined that the amount can exceed $5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-01325
Filing date of arbitration/CFTC reparation or civil litigation:	05/21/2021

Customer Complaint Information

Date Complaint Received:	05/26/2021
Complaint Pending?	No
Status:	Settled
Status Date:	02/28/2022
Settlement Amount:	$225,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The allegations in the Statement of Claim were not admitted or denied in the settlement agreement. The insurance company and the employing firm decided to settle to avoid the cost of further proceedings. Lennard van der Feltz was not a respondent in this arbitration and did not contribute to the settlement.

Disclosure 2 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
Allegations:	Claimant alleges unsuitability, common law fraud, breach of contract, negligent supervision,breach of fiduciary duty and violation of Arizona Consumer Fraud and Securities Act.
Product Type:	Other: Alternative Investment
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The damages are unspecified and the firm has determined that the amount can exceed $5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-01324
Filing date of arbitration/CFTC reparation or civil litigation:	05/21/2021

Customer Complaint Information

Date Complaint Received:	05/25/2021
Complaint Pending?	No
Status:	Settled
Status Date:	02/28/2022
Settlement Amount:	$225,000.00

Individual Contribution Amount:	$0.00
Broker Statement	The allegations in the Statement of Claim were not admitted or denied in the settlement agreement. The insurance company and the employing firm decided to settle to avoid the cost of further proceedings. Lennard van der Feltz was not a respondent in this arbitration and did not contribute to the settlement.

Disclosure 3 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	METLIFE SECURITIES
Allegations:	CUSTOMER ALLEGED THE REPRESENTATIVE'S RECOMMENDATION TO PURCHASE A VARIABLE LIFE INSURANCE POLICY, IN DECEMBER 2011, WAS NOT APPROPRIATE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/21/2014
Complaint Pending?	No
Status:	Denied
Status Date:	02/05/2015
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	THRIVENT INVESTMENT MANAGEMENT INC
Allegations:	CUSTOMERS ALLEGE THE VARIABLE UNIVERSAL LIFE (VUL) CONTRACTS THEY PURCHASED IN SEPTEMBER 2006 WERE UNSUITABLE. VULS WERE ISSUED AS THE RESULT OF LEVEL TERM CONVERSIONS FOR CONTRACTS WITH THE SAME AMOUNT OF COVERAGE. NO EVIDENCE FOUND TO SUPPORT CUSTOMERS' ALLEGATIONS.
Product Type:	Insurance

Alleged Damages:	$38,420.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/26/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/03/2010
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	THRIVENT INVESTMENT MANAGEMENT INC
Allegations:	CUSTOMERS ALLEGE THE VARIABLE UNIVERSAL LIFE (VUL) CONTRACTS THEY PURCHASED IN SEPTEMBER 2006 WERE UNSUITABLE. VULS WERE ISSUED AS THE RESULT OF LEVEL TERM CONVERSIONS FOR CONTRACTS WITH THE SAME AMOUNT OF COVERAGE. NO EVIDENCE FOUND TO SUPPORT CUSTOMERS' ALLEGATIONS.
Product Type:	Insurance
Alleged Damages:	$38,420.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/26/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/03/2010
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Disclosure 5 of 5

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	THRIVENT INVESTMENT MANAGEMENT
Allegations:	CUSTOMER COMPLAINED THAT IRA VARIABLE SETTLEMENT OPTION PURCHASED 9/14/06 GENERATED MONTHLY PAYOUTS THAT INCREASED HIS TAXABLE INCOME. CUSTOMER REQUESTED WAIVER OF SURRENDER FEE. FIRM DETERMINED NO SURRENDER FEE WAS ASSESSED WHEN CUSTOMER SURRENDERED CONTRACT.
Product Type:	Other
Other Product Type(s):	VARIABLE SETTLEMENT OPTION
Alleged Damages:	$8,000.00

Customer Complaint Information

Date Complaint Received:	11/19/2007
Complaint Pending?	No
Status:	Denied
Status Date:	11/30/2007
Settlement Amount:	$0.00
Individual Contribution Amount:	

End of Report

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