



IAPD Report

MATT SCHOMMER

CRD# 5014210

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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

MATT SCHOMMER (CRD# 5014210)

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 **01/17/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA INVESTMENT SERVICES LLC	CRD# 15340	11/12/2019
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	12/06/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **39** 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	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Tampa, FL	07/16/2019 - 08/14/2019
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Tampa, FL	05/31/2019 - 08/14/2019
B	MML INVESTORS SERVICES, LLC	10409	TAMPA, FL	03/25/2017 - 08/31/2018

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?

No



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 **39** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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
	Florida	Investment Adviser Representative	Approved	12/06/2019
	Texas	Investment Adviser Representative	Restricted Approval	01/18/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC





1715 N WESTSHORE BOULEVARD
SUITE 260
TAMPA, FL 33607

Employment 2 of 2

Firm Name: **CETERA INVESTMENT SERVICES LLC**

Main Address: 400 FIRST ST. S. SUITE 300
ST. CLOUD, MN 56301

Firm ID#: 15340

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	11/12/2019
	FINRA	General Securities Representative	Approved	11/12/2019
	FINRA	Registered Options Principal	Approved	11/12/2019
	Alabama	Agent	Approved	01/04/2021



Qualifications

	Regulator	Registration	Status	Date
B	Alaska	Agent	Approved	01/04/2021
B	Arizona	Agent	Approved	01/04/2021
B	Arkansas	Agent	Approved	01/04/2021
B	California	Agent	Approved	01/04/2021
B	Colorado	Agent	Approved	10/02/2020
B	Connecticut	Agent	Approved	01/04/2021
B	District of Columbia	Agent	Approved	01/04/2021
B	Florida	Agent	Approved	11/13/2019
B	Georgia	Agent	Approved	11/13/2019
B	Idaho	Agent	Approved	01/04/2021
B	Illinois	Agent	Approved	01/04/2021
B	Indiana	Agent	Approved	01/04/2021
B	Kentucky	Agent	Approved	01/04/2021
B	Louisiana	Agent	Approved	01/04/2021
B	Maine	Agent	Approved	01/04/2021
B	Maryland	Agent	Approved	01/04/2021
B	Massachusetts	Agent	Approved	01/04/2021
B	Michigan	Agent	Approved	01/04/2021
B	Minnesota	Agent	Approved	01/04/2021



Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	01/04/2021
B	Missouri	Agent	Approved	01/04/2021
B	Nevada	Agent	Approved	01/04/2021
B	New Hampshire	Agent	Approved	01/04/2021
B	New Jersey	Agent	Approved	01/04/2021
B	New Mexico	Agent	Approved	01/04/2021
B	New York	Agent	Approved	01/04/2021
B	North Carolina	Agent	Approved	01/04/2021
B	Ohio	Agent	Approved	01/05/2021
B	Oregon	Agent	Approved	01/04/2021
B	Pennsylvania	Agent	Approved	01/04/2021
B	South Carolina	Agent	Approved	01/04/2021
B	Tennessee	Agent	Approved	01/04/2021
B	Texas	Agent	Approved	01/04/2021
B	Utah	Agent	Approved	01/04/2021
B	Virginia	Agent	Approved	01/04/2021
B	Washington	Agent	Approved	01/04/2021
B	Wisconsin	Agent	Approved	01/04/2021
B	Wyoming	Agent	Approved	01/04/2021



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

CETERA INVESTMENT SERVICES LLC
1715 N WESTSHORE BOULEVARD
SUITE 260
TAMPA, FL 33607



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	04/13/2011
B	Registered Options Principal Examination (S4)	Series 4	02/11/2008

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	08/31/2018
B	General Securities Representative Examination (S7)	Series 7	09/29/2005

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/19/2012
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/23/2005



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
IA	07/16/2019 - 08/14/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Tampa, FL
B	05/31/2019 - 08/14/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Tampa, FL
B	03/25/2017 - 08/31/2018	MML INVESTORS SERVICES, LLC	CRD# 10409	TAMPA, FL
IA	03/25/2017 - 08/31/2018	MML INVESTORS SERVICES, LLC	CRD# 10409	TAMPA, FL
IA	09/23/2016 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	TAMPA, FL
B	09/19/2016 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	TAMPA, FL
IA	05/31/2011 - 05/25/2016	WADDELL & REED	CRD# 866	COLUMBIA, SC
B	05/27/2011 - 05/25/2016	WADDELL & REED	CRD# 866	COLUMBIA, SC
IA	01/11/2011 - 05/25/2011	SUNSET FINANCIAL SERVICES, INC.	CRD# 3538	GREELEY, CO
B	01/10/2011 - 05/25/2011	SUNSET FINANCIAL SERVICES, INC.	CRD# 3538	GREELEY, CO
IA	10/03/2005 - 05/07/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	TAMPA, FL
B	09/30/2005 - 05/07/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	TAMPA, FL

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
11/2019 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TAMPA, FL, United States
11/2019 - Present	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States
09/2018 - 08/2019	AMERIPRISE FINANCIAL SERVICES, INC	Registered Rep	Y	Tampa, FL, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2017 - 09/2018	MML INVESTORS SERVICES, LLC	Mass Transfer	Y	TAMPA, FL, United States
09/2016 - 08/2018	MSI Financial Services Inc	Managing Sales Director	Y	Tampa, FL, United States
06/2016 - 08/2016	Unemployed	Unemployed	N	COLUMBIA, SC, United States
05/2011 - 05/2016	VARIOUS INSURANCE CARRIERS FOR W&R INSURANCE AGENCIES, INC	INSURANCE AGENT	Y	COLUMBIA, SC, United States
05/2011 - 05/2016	WADDELL & REED, INC	ASSOCIATED PERSON	Y	COLUMBIA, SC, 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.

No information reported.



End of Report

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