



IAPD Report

Pamela Jean Gilkey Slatten

CRD# 5045460

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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

Pamela Jean Gilkey Slatten (CRD# 5045460)

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 **09/07/2025**.

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 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	AVANTAX ADVISORY SERVICES	104556	Indianapolis, IN	09/10/2024 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Indianapolis, IN	06/18/2024 - 09/05/2025
IA	PREVISION FINANCIAL, LLC	134985	COLONIAL HEIGHTS, VA	01/16/2006 - 12/31/2007

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
Judgment/Lien	2



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 WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/05/2025
B Indiana	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
9101 N Wesleyan Road
Suite 300
Indianapolis, IN 46268

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 Indiana	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
9101 N WESLEYAN RD
SUITE 300
INDIANAPOLIS, IN 46268



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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General Securities Representative Examination (S7TO)	Series 7TO	06/18/2024
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Securities Industry Essentials Examination (SIE)	SIE	05/07/2024
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/06/2024
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Uniform Investment Adviser Law Examination (S65)	Series 65	01/14/2006
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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	09/10/2024 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Indianapolis, IN
B	06/18/2024 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Indianapolis, IN
IA	01/16/2006 - 12/31/2007	PREVISION FINANCIAL, LLC	CRD# 134985	COLONIAL HEIGHTS, V

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	Indianapolis, IN, United States
01/2019 - Present	Marietta Financial Services, Inc. DBA Marietta CPAs	Director	Y	Indianapolis, IN, United States
02/2006 - Present	Slatten & Gilkey Attorneys at Law	Partner	Y	Zionsville, IN, United States
06/2004 - Present	Pamela Slatten	Sole Proprietor	Y	Zionsville, IN, United States
05/2024 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Indianapolis, IN, United States
05/2024 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Indianapolis, IN, United States
11/2023 - 04/2025	Safeguard Comply LLC	Member	Y	Indianapolis, IN, United States
02/2006 - 01/2019	Slatten & Company LLC	Accountant	N	Indianapolis, IN, 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)SLATTEN & GILKEY, ATTORNEYS AT LAW

POSITION: Partner NATURE: Provide legal advice pertaining to contracts, tax law, real estate, divorce, and civil matters. Draft contracts. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 02/01/2006 ADDRESS: 985 Tillson Dr., Zionsville IN 46077, United States DESCRIPTION: Review contracts, gather data and research to remit legal advice, prepare and file the partnership tax return.

2)PAMELA SLATTEN

POSITION: Sole Proprietor NATURE: Provide legal/accounting services to friends/family including tax planning, estate planning, tax preparation, drafting/reviewing of contracts. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 06/20/2004 ADDRESS: 985 Tillson Dr., Suite 300, Zionsville IN 46077, United States DESCRIPTION: Draft legal documents/give legal advice and tax advice, prepare tax documents.

3)RENTAL PROPERTY

POSITION: owner NATURE: rental property - residential rental properties that I own in Carmel. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 06/20/2020 ADDRESS: 985 Tillson Dr., Suite 300, Zionsville IN 46077, United States DESCRIPTION: owner/manager - manage the property, collect rent, negotiate and maintain leases, organize maintenance.

4)INDIVIDUALIZED EDUCATION COLLABORATIVE INC

POSITION: President NATURE: Non-profit organization . The organization organizes classes and field trips to enhance the education of children. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 05/01/2014 ADDRESS: 985 Tillson Dr., Suite 300, Zionsville IN 46077, United States DESCRIPTION: Organize educational activities, file the postcard 990, maintain the bank account. This is a small organization focused on enriching the education of children in Indy metro the area.

5)AICPA TAX PRACTICE MANAGEMENT COMMITTEE

POSITION: committee member NATURE: The committee advises the aicpa and sometimes the government/irs on matters relating to tax and affecting cpas. The committee is responsible for providing articles for the professional journal and publishes resource materials useful to cpa firm owners. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 3 START DATE: 05/01/2023 ADDRESS: 1455 Pennsylvania Ave NW, Washington DC 20004, United States DESCRIPTION: Give continuing ed classes, write articles, update or create resource guides, discuss matters related to running a cpa firm.

MARIETTA FINANCIAL SERVICES, INC DBA MARIETTA CPAS

POSITION: Director NATURE: We offer tax planning, tax preparation, bookkeeping, financial planning, retirement planning, estate planning, and tax resolution services. INVESTMENT RELATED: Yes NUMBER OF HOURS: 200 SECURITIES TRADING HOURS: 110 START DATE: 01/14/2019 ADDRESS: 9101 N Wesleyan Road, Suite 300, Indianapolis IN 46268, United States DESCRIPTION: Research tax law, advise clients on tax matters, prepare and review tax returns and compiled financial statements, manage staff, responsible for recruiting/hiring/firing/hr, conduct continuing education classes, train staff, practice development and acquisition of new practices, represent clients in tax controversy before the IRS and state tax authorities. Once licensed, I will be marketing Avantax business under this entity.



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
Judgment/Lien	2

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	New Albany School Credit Union
Judgment/Lien Amount:	\$14,312.00
Judgment/Lien Type:	Civil
Date Filed with Court:	11/07/2008
Date Individual Learned:	06/03/2024
Type of Court:	State Court
Name of Court:	Floyd Superior Court
Location of Court:	Floyd County, Indiana
Docket/Case #:	22D01-0809-CC-00407
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	Citibank South Dakota
Judgment/Lien Amount:	\$6,728.00
Judgment/Lien Type:	Civil
Date Filed with Court:	07/08/2009
Date Individual Learned:	06/03/2024
Type of Court:	State Court
Name of Court:	Floyd Superior Court
Location of Court:	Floyd County, Indiana



Docket/Case #: 49D14-0904-CC-018459

Judgment/Lien Outstanding? Yes



End of Report

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