



IAPD Report

Nicholas Barnes

CRD# 5258175

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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

Nicholas Barnes (CRD# 5258175)

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 **10/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AVANTAX PLANNING PARTNERS, INC.	CRD# 106237	05/09/2023
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 **20** 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	AVANTAX INVESTMENT SERVICES, INC.	13686	Fulton, NY	08/11/2023 - 09/05/2025
IA	AVANTAX ADVISORY SERVICES	104556	Fulton, NY	05/09/2023 - 09/05/2025
B	MML INVESTORS SERVICES, LLC	10409	SYRACUSE, NY	09/26/2018 - 10/02/2020

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
Regulatory Event	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 **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

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	Arizona	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	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	Maryland	Agent	Approved	09/05/2025
B	Massachusetts	Agent	Approved	09/05/2025
B	Minnesota	Agent	Approved	09/05/2025
B	New Hampshire	Agent	Approved	09/05/2025
B	New Jersey	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	09/05/2025
B North Carolina	Agent	Approved	09/05/2025
B Ohio	Agent	Approved	09/05/2025
B Oregon	Agent	Approved	09/05/2025
B Pennsylvania	Agent	Approved	09/05/2025
B South Carolina	Agent	Approved	09/05/2025
B Texas	Agent	Approved	09/05/2025
B Virginia	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
FULTON, NY

CETERA ADVISOR NETWORKS LLC
1001 South First Street
Office No. 5
Fulton, NY 13069

Employment 2 of 3

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

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
FULTON, NY

CETERA INVESTMENT ADVISERS LLC
1001 SOUTH FIRST STREET



Qualifications

OFFICE NO. 5
FULTON, NY 13069

Employment 3 of 3

Firm Name: **AVANTAX PLANNING PARTNERS, INC.**
Main Address: 3390 ASBURY ROAD
DUBUQUE, IA 52002-2801
Firm ID#: 106237

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	05/09/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	08/09/2025

Branch Office Locations

AVANTAX PLANNING PARTNERS, INC.
116 Phillips Street
Fulton, NY 13069

AVANTAX PLANNING PARTNERS, INC.
1001 South First Street
Office No. 5
Fulton, NY 13069



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, 3 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	05/23/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/04/2007

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	07/27/2023
Uniform Investment Adviser Law Examination (S65)	Series 65	11/21/2008

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
B	08/11/2023 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Fulton, NY
IA	05/09/2023 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Fulton, NY
B	09/26/2018 - 10/02/2020	MML INVESTORS SERVICES, LLC	CRD# 10409	SYRACUSE, NY
IA	01/11/2017 - 02/21/2018	REAGAN COMPANIES ASSET MANAGEMENT, INC	CRD# 161648	MARCELLUS, NY
B	09/09/2016 - 11/23/2016	PRUCO SECURITIES, LLC.	CRD# 5685	Cicero, NY
IA	09/30/2011 - 02/10/2014	STRATEGIC ADVISERS, INC.	CRD# 104555	PARAMUS, NJ
B	08/25/2011 - 02/10/2014	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	PARAMUS, NJ
IA	12/09/2008 - 06/28/2011	USAA FINANCIAL PLANNING SERVICES	CRD# 106352	PHOENIX, AZ
B	06/02/2008 - 06/28/2011	USAA FINANCIAL ADVISORS, INC.	CRD# 129035	PHOENIX, AZ
B	01/05/2007 - 04/17/2008	E*TRADE SECURITIES LLC	CRD# 29106	CHARLOTTE, NC

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	Fulton, NY, United States
04/2023 - Present	Avantax Planning Partners, Inc.	Financial Planning Consultant	Y	Fulton, NY, United States
08/2023 - 09/2025	Avantax Insurance Agency and/or Avantax Insurance Services.	rep	Y	Tamaqua, PA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2023 - 09/2025	Avantax Advisory Services	Investment Adviser Representative	Y	Fulton, NY, United States
04/2023 - 09/2025	Avantax Investment Servies, Inc.	Registered Representative	Y	Fulton, NY, United States
01/2023 - 04/2023	Unemployed	Unemployed	N	Fulton, NY, United States
01/2021 - 12/2022	D'Arcangelo & Co. LLP	Public Accounting	Y	Fulton, NY, United States
09/2018 - 10/2020	MML Investors Services	Registered Representative	Y	Syracuse, NY, United States
08/2018 - 10/2020	Financial Partners of Upstate NY/MassMutual	Financial Services Representative	Y	Syracuse, NY, United States
02/2018 - 07/2018	Rockbridge Investment	Investment Representative	Y	Syracuse, NY, United States
11/2016 - 02/2018	Reagan Investment Management	Investment Adviser Representative	Y	Marcellus, NY, United States
09/2016 - 11/2016	The Prudential Insurance Company of America	Financial Professional	N	Cicero, NY, United States
07/2016 - 11/2016	Prudential Securities	Financial Advisor	Y	Cicero, NY, 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) CITY COUNCIL

POSITION: city counselor NATURE: I would be appointed to the position to replace someone stepping down. I would be a public servant directing inhabitants to the appropriate resources for their needs. Additionally I would be voting on matters that directly impact my local community. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2025

ADDRESS: 116 Phillips st, Fulton NY 13069, United States

DESCRIPTION: Local residents would come to me as their first point of contact to address any concerns or questions. Anything one would go to their local counsel man for guidance or assistance.



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Firm

Regulatory Action Initiated By: NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES

Sanction(s) Sought: Monetary Penalty other than Fines

Date Initiated: 12/23/2013

Docket/Case Number: 2014-0013-S

Employing firm when activity occurred which led to the regulatory action: FIDELITY BROKERAGE SERVICES LLC

Product Type: Insurance

Allegations: EMPLOYEE FAILED TO REPORT TO THE NEW YORK SUPERINTENDENT WITHIN 30 DAYS OF THE FINAL DISPOSITION OF THE MATTER THAT EMPLOYEE'S ARKANSAS NONRESIDENT PRODUCER LICENSE WAS SUSPENDED.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 02/03/2014

Sanctions Ordered: Monetary Penalty other than Fines

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

No

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

No

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

No

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,500.00



Portion Levied against individual: \$1,500.00
Payment Plan: LUMP SUM
Is Payment Plan Current: Yes
Date Paid by individual: 01/03/2014
Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Firm
Regulatory Action Initiated By: NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought: Monetary Penalty other than Fines
Date Initiated: 12/23/2013
Docket/Case Number: 2014-0013-S
Employing firm when activity occurred which led to the regulatory action: FIDELITY BROKERAGE SERVICES LLC
Product Type: Insurance
Allegations: EMPLOYEE FAILED TO REPORT TO THE NEW YORK SUPERINTENDENT WITHIN 30 DAYS OF THE FINAL DISPOSITION OF THE MATTER THAT EMPLOYEE'S ARKANSAS NONRESIDENT PRODUCER LICENSE WAS SUSPENDED.
Current Status: Final
Resolution: Stipulation and Consent
Resolution Date: 02/03/2014
Sanctions Ordered: Monetary Penalty other than Fines
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

No

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

No

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

No

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,500.00



Portion Levied against individual: \$1,500.00

Payment Plan: LUMP SUM

Is Payment Plan Current: Yes

Date Paid by individual: 01/03/2014

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual

Regulatory Action Initiated By: State of New York

Sanction(s) Sought: Monetary Penalty other than Fines

Date Initiated: 12/23/2013

Docket/Case Number: 2014-0013-s

Employing firm when activity occurred which led to the regulatory action: Fidelity Brokerage Services LLC

Product Type: Insurance

Allegations: Employee failed to report to the New York Superintendent within 30 days of the final disposition of the matter employee's Arkansas non-resident producer license was suspended

Current Status: Final

Resolution: Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 02/03/2014

Sanctions Ordered: Monetary Penalty other than Fines

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,500.00

Portion Levied against individual: \$1,500.00

Payment Plan: Lump Sum

Is Payment Plan Current: Yes

Date Paid by individual: 01/03/2014



Was any portion of penalty waived? No

Amount Waived:



End of Report

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