



## IAPD Report

# ARTIZ DEMETRIUS STROUD

CRD# 5362366

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1 - 2
Qualifications	3 - 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

### ARTIZ DEMETRIUS STROUD (CRD# 5362366)

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 ADVISORS LLC	CRD# 10299	08/12/2024
B	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	08/12/2024
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	08/12/2024
B	CETERA INVESTMENT SERVICES LLC	CRD# 15340	08/12/2024
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	DALLAS, TX	03/06/2024 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	DALLAS, TX	07/18/2023 - 09/05/2025
B	FIDELITY BROKERAGE SERVICES LLC	7784	WESTLAKE, TX	08/03/2007 - 06/22/2018

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?

**Yes**



## Report Summary

The following types of events are disclosed about this representative:

Type	Count
Financial	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 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 5

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100  
EL SEGUNDO, CA 90245

Firm ID#: 13572

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	08/12/2024
 Texas	Agent	Approved	09/05/2025

#### Branch Office Locations

##### **CETERA ADVISOR NETWORKS LLC**

3200 OLYMPUS BLVD  
STE 100  
DALLAS, TX 75019

#### Employment 2 of 5

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
 Texas	Investment Adviser Representative	Approved	09/05/2025

#### Branch Office Locations

##### **CETERA INVESTMENT ADVISERS LLC**

1450 AMERICAN LANE  
6TH FLOOR, SUITE 650  
SCHAUMBURG, IL 60173-2096

#### Employment 3 of 5



## Qualifications

Firm Name: **CETERA ADVISORS LLC**  
Main Address: 5299 DTC BLVD #800  
GREENWOOD VILLAGE, CO 80111  
Firm ID#: 10299

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	08/12/2024

## Branch Office Locations

**CETERA ADVISORS LLC**  
3200 OLYMPUS BLVD  
STE 100  
DALLAS, TX 75019

## Employment 4 of 5

Firm Name: **CETERA FINANCIAL SPECIALISTS LLC**  
Main Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE #650  
SCHAUMBURG, IL 60173  
Firm ID#: 10358

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	08/12/2024

## Branch Office Locations

3200 OLYMPUS BLVD  
STE 100  
DALLAS, TX 75019

## Employment 5 of 5

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
<b>B</b> FINRA	General Securities Representative	Approved	08/12/2024



## Qualifications

### Branch Office Locations

**CETERA INVESTMENT SERVICES LLC**  
3200 OLYMPUS BLVD  
STE 100  
DALLAS, TX 75019



## 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
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	07/17/2023
 Securities Industry Essentials Examination (SIE)	SIE	06/02/2023
 General Securities Representative Examination (S7)	Series 7	08/02/2007

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	03/04/2024
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/09/2007

### 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	03/06/2024 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	DALLAS, TX
B	07/18/2023 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	DALLAS, TX
B	08/03/2007 - 06/22/2018	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	WESTLAKE, TX

### 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	DALLAS, TX, United States
08/2024 - Present	CETERA ADVISORS LLC	Senior Operations Professional	Y	GREENWOOD VILLAGE, CO, United States
08/2024 - Present	CETERA FINANCIAL SPECIALISTS LLC	Senior Operations Professional	Y	SCHAUMBURG, IL, United States
08/2024 - Present	CETERA INVESTMENT SERVICES LLC	Senior Operations Professional	Y	ST CLOUD, MN, United States
08/2024 - Present	CETERA WEALTH SERVICES, LLC	Senior Operations Professional	Y	EL SEGUNDO, CA, United States
03/2024 - Present	ADS Estate Planning Prep	Owner and Coach	N	Denton, TX, United States
01/2024 - Present	ADS Budget Coaching	I will be a budget coach	N	Denton, TX, United States
01/2024 - Present	ADS Tax Prep	Tax Preparer	N	Denton, TX, United States
03/2024 - 09/2025	AVANTAX ADVISORY SERVICES	Senior Operations Professional	Y	Dallas, TX, United States
09/2021 - 09/2025	AVANTAX INVESTMENT SERVICES INC	Senior Operations Professional	Y	DALLAS, TX, United States
05/2020 - 09/2021	UNION GOSPEL MISSION OF DALLAS	FRONT DESK ADMINISTRATIVE ASSISTANT	N	DALLAS, TX, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2019 - 05/2020	DENTON INDEPENDENT SCHOOL DISTRICT	BUS DRIVER	N	DENTON, TX, United States
02/2019 - 08/2019	UNEMPLOYED	UNEMPLOYED	N	DENTON, TX, United States
10/2018 - 02/2019	UNION GOSPEL MISSION	PROGRAM CHAPLAIN / ACCOUNT RECEIVABLES CLERK	N	DALLAS, TX, United States
08/2018 - 10/2018	UNEMPLOYED	UNEMPLOYED	N	DENTON, TX, United States
06/2007 - 08/2018	FIDELITY INVESTMENTS	FINANCIAL REPRESENTATIVE	Y	WESTLAKE, TX, 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) OAA#: 53826 | Org Name:Artiz Stroud LLC | Org Addr:denton, TX, US | Nature of Bus:Life Coaching | Invst Rel:N | Title:Owner and Professional Life Coach. | Duties:I will be the lead life coach so obtaining clients, teaching classes, and making videos. | Start Dt:03/15/2018 | Total Hrs p/m:20 | Sec Trdng Hrs p/m:0

2) OAA#: 53827 | Org Name:Shepherd Effect | Org Addr:Denton, TX, US | Nature of Bus:Equipping fathers on how to reflect the Good Shepherd. | Invst Rel:N | Title:Co-owner/President | Duties:Provide content, star in videos, and teach classes. | Start Dt:03/14/2018 | Total Hrs p/m:20 | Sec Trdng Hrs p/m:0

#### 3) ADS ESTATE PLANNING PREP

**POSITION:** Owner and Coach **NATURE:** I will be coaching my clients on all the necessary documents needed to prepare for estate planning. They will receive a checklist and I will provide suggestions on where to store it. I will not be the one creating any estate documents like wills, trusts, or powers of attorneys. **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 28 **SECURITIES TRADING HOURS:** 3 **START DATE:** 03/11/2024

**ADDRESS:** 191 Duchess Drive, Apt1125, Denton TX 76208, United States

**DESCRIPTION:** -I will be coaching individual/families on the documents needed to prepare for estate planning.They will receive a checklist and I will provide suggestions on where to store it.-I will also be making content in the form of videos and written content to share on social media, facebook to be exact.-I will be setting up the systems and procedures of running the business and then run it.-I will be marketing content via facebook and soliciting for clients.

#### 4) ADS BUDGET COACHING

**POSITION:** I will be a budget coach **NATURE:** I will be helping couple budget their time, talents, and personal home budgets.

**INVESTMENT RELATED:** No **NUMBER OF HOURS:** 20 **SECURITIES TRADING HOURS:** 20 **START DATE:** 01/01/2024

**ADDRESS:** 191 Duchess Drive, APT1125, Denton TX 76208, United States

**DESCRIPTION:** -I will be creating content to post on social media to get clientele.-I will be conducting budgeting sessions and providing couples solutions.-I will be basically doing everything that an self-employed individual does to get clientele, which stems from creating content, posting it on my personal Facebook page. I will conduct budget sessions and give feedback on ways clients can improve their personal budget situation. I will also help others discover what their talent/gifting is and budget that and



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

their time.

#### 5) ADS TAX PREP

POSITION: Tax Preparer NATURE: ADS Tax Prep will be my business name as a self-employed tax preparer approved by the IRS. I will be preparing W2 workers taxes and e-filing them to the IRS. INVESTMENT RELATED: No NUMBER OF HOURS: 32  
SECURITIES TRADING HOURS: 16 START DATE: 01/01/2024  
ADDRESS: 191 Duchess Drive, APT1125, Denton TX 76208, United States  
DESCRIPTION: I will be preparing W2 workers taxes and e-filing them with the IRS.



## 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
Financial	1

### Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

#### Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	12/16/2023
Organization Name:	Sweet Rolls LLC
Individual Position:	Co-Owner and Member
Organization Investment-Related?	No
Type of Court:	n/a
Name of Court:	
Location of Court:	
Docket/Case #:	
Action Pending?	No
Disposition:	Discharged
Disposition Date:	12/16/2023
If a compromise with creditor, provide:	
Name of Creditor:	Wells Fargo Bank
Original Amount Owed:	\$9,274.68
Terms Reached with Creditor:	Amount of debt discharged: \$9,274.68
Broker Statement	We closed the business down in 2017 or 2018 and it is no longer active.



## End of Report

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