User Guidance

www.adviserinfo.sec.gov

IAPD Report

DAVIN J CAREY

CRD# 5413012

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

DAVIN J CAREY (CRD# 5413012)

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 **10/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AVANTAX PLANNING PARTNERS, INC.	CRD# 106237	04/02/2021
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 **22** 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	Oxnard, CA	08/22/2008 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Oxnard, CA	12/17/2007 - 09/05/2025

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	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 **22** 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	FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Idaho	Agent	Approved	09/05/2025
B	Illinois	Agent	Approved	09/05/2025
B	Maryland	Agent	Approved	09/05/2025
B	Michigan	Agent	Approved	09/05/2025
B	Nevada	Agent	Approved	09/05/2025

Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025
B	Ohio	Agent	Approved	09/05/2025
B	Oklahoma	Agent	Approved	09/24/2025
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	Utah	Agent	Approved	09/05/2025
B	Washington	Agent	Approved	10/15/2025
B	Wisconsin	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
1000 Town Center Drive
Suite 200
Oxnard, CA 93036

CETERA ADVISOR NETWORKS LLC
WESTLAKE VILLAGE, CA

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	California	Investment Adviser Representative	Approved	09/05/2025

Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
1000 TOWN CENTER DRIVE
SUITE 200
OXNARD, CA 93036

CETERA INVESTMENT ADVISERS LLC
WESTLAKE VILLAGE, CA

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 California	Investment Adviser Representative	Approved	04/02/2021

Branch Office Locations

AVANTAX PLANNING PARTNERS, INC.
1000 Town Center Drive
Suite 200
Oxnard, CA 93036

AVANTAX PLANNING PARTNERS, INC.
Westlake Village, CA

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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/19/2009
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/15/2007

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/21/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/28/2007

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	08/22/2008 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Oxnard, CA
B	12/17/2007 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Oxnard, CA

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	Oxnard, CA, United States
03/2021 - Present	AVANTAX PLANNING PARTNERS	INVESTMENT ADVISER REPRESENTATIVE	Y	OXNARD, CA, United States
12/2007 - Present	Carey & Hanna CPAs	Financial Planning Consultant	Y	Oxnard, CA, United States
08/2009 - 09/2025	AVANTAX INSURANCE AGENCY, LLC	INSURANCE AGENT	Y	OXNARD, CA, United States
07/2008 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	OXNARD, CA, United States
08/2007 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED RESPRESENTATIVE	Y	OXNARD, CA, United States
12/2007 - 12/2020	CAREY & HANNA CPA	EXECUTIVE	N	OXNARD, CA, United States
01/2014 - 05/2017	CA LENDING INC	OTHER	N	WESTLAKE VILLAGE, CA, 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) Real Estate Rental Properties 1445 Donlon St, Ste 6 Ventura CA 93003 Real Estate/Mortgage/Title Services/Appraisal Owner/Sole Proprietor 6/29/2012 30hrs~20hrs research, acquire, maintain real estate rental properties

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2)CAREY & HANNA CPAS POS: Financial Planning Consultant NAT: Work with clients to address their financial planning and related needs. INVSTMNT RLTD: Y #HRS: 160 SECURITIES TRADING HRS: 130 STRT DTE: 12/26/2007 ADDR: 1000 Town Center Drive, Suite 200, Oxnard CA 93036, DESCR: Work with clients on planning, investments, trading, insurance, etc.
3)SCOTTSDALE COMMUNITY BANK INVESTMENT POS: Investor/Common Stock NAT: Fraternity brother is part of founding/chartering of a de novo bank, Scottsdale Community Bank and I want to invest $50,000. INVSTMNT RLTD: No NUMBER OF HOURS: 0 SECURITIES TRADING HRS: 0 STRT DTE: 03/01/2021 ADDR: 8767 E Via De Ventura, Suite 190, Scottsdale AZ 85258 DESCR: provides capital
4)SIGMA DELTA HOUSING CORP. POS: Board Member NAT: This is a non-profit housing corporation which helps secure leases and property for my fraternity when I was in college. It is non profit and I mostly discuss with other alumni where future housing will be. INVSTMNT RLTD: No #HRS: 1 SECURITIES TRADING HRS: 0 STRT DTE: 10/27/2021 ADDR: 5804 Montezuma Rd, San Diego CA 92116 DESCR: So far I have only been involved directly in discussions about the current house they live in and desires to make upgrades in the future
5)CHABAD POS: Board of Directors NAT: I was invited to be on the Board of Directors when they become a full 501c3 to help with directing the future of the organization. They are trying to buy a property and improve revenues to provide more services to students. INVSTMNT RLTD: No #HRS: 2 SECURITIES TRADING HRS: 0 STRT DTE: 12/02/2021 ADDR: 6115 Montezuma Rd, San Diego CA 92115 DESCR: I will help advise on real estate matters and try to find ways to develop/purchase through tax credits/etc. I will also help provide general business advice on how to increase revenues.
6)THOUSAND OAKS INVESTMENT REVIEW COMMITTEE; Investment Review Committee Member; keep the City Council and Finance Direct "honest" and adhering to the rules relating to what the city is allowed to buy/etc via the Investment Policy Statement. My role will be to make sure someone doesn't want to go buy things explicitly prohibited (like stocks); NIR; HRS 1; HRS 1; 01/01/2022; 2100 Thousand Oaks Blvd, Thousand Oaks CA 91362; Review investment reports
7)AVANTAX PLANNING PARTNERS; Regional VP & FP Consultant; Work with clients & CPAs on developing financial plans and investment recommendations; IR; HRS 160; HRS 130; 12/01/2022; 1000 Town Center Drive, Suite 200, Oxnard CA 93036; develop and propose financial plans

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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AVANTAX INVESTMENT SERVICES, INC.
Allegations:	Customers alleged the representative recommended an unsuitable investment.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$125,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-00614
Filing date of arbitration/CFTC reparation or civil litigation:	03/19/2024

Customer Complaint Information

Date Complaint Received:	04/16/2024
Complaint Pending?	No
Status:	Settled

Status Date:	05/14/2025
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AVANTAX INVESTMENT SERVICES, INC.
Allegations:	The Statement of Claim alleges the financial professional recommended an investment that was unsuitable for his customer.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$85,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/23/2022
Complaint Pending?	No
Status:	Settled
Status Date:	06/12/2023
Settlement Amount:	$41,000.00
Individual Contribution Amount:	$0.00
Broker Statement	On 5/16/2023, the Firm received FINRA Arbitration Case 22-01000 of which the representative was considered a subject. The Case was filed by the customer on 5/9/2022. The customer decided not to proceed with the Case and on 8/11/2022, he withdrew his allegations by dismissing his Case without prejudice. The Firm subsequently received allegations verbally from the customer on 1/20/2023 directed towards Avantax. Because the allegations did not differ from the previously withdrawn arbitration, the Firm considered the representative a subject. The representative vehemently denies any misconduct in connection with the investment recommendations at issue in this matter. The recommendations were entirely suitable for the customer based on the information available to him at the time, and as represented to him and the Firm by the customer. The Firm made a business decision to resolve this matter, without any admission of liability whatsoever, in order to avoid the cost and distraction of further proceedings.

End of Report

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