



## IAPD Report

# YANCY DWAYNE SPIVEY

CRD# 5434377

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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

### YANCY DWAYNE SPIVEY (CRD# 5434377)

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 **03/04/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	04/20/2022
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **45** 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>IA</b>	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA	04/20/2022 - 06/29/2023
<b>B</b>	FIRST FINANCIAL EQUITY CORPORATION	16507	DUNCAN, OK	10/18/2018 - 04/20/2022
<b>IA</b>	FIRST FINANCIAL EQUITY CORPORATION	16507	DUNCAN, OK	10/18/2018 - 04/20/2022

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
Termination	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 **45** 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>B</b> FINRA	General Securities Representative	Approved	04/20/2022
<b>B</b> Alabama	Agent	Approved	04/20/2022
<b>B</b> Arizona	Agent	Approved	04/20/2022
<b>B</b> Arkansas	Agent	Approved	04/20/2022
<b>B</b> California	Agent	Approved	04/20/2022
<b>B</b> Colorado	Agent	Approved	04/20/2022
<b>B</b> Connecticut	Agent	Approved	09/28/2022
<b>B</b> Florida	Agent	Approved	04/22/2022
<b>B</b> Georgia	Agent	Approved	04/20/2022
<b>B</b> Idaho	Agent	Approved	04/20/2022
<b>B</b> Illinois	Agent	Approved	04/20/2022
<b>B</b> Indiana	Agent	Approved	04/29/2024
<b>B</b> Iowa	Agent	Approved	04/20/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Kansas	Agent	Approved	06/20/2024
<b>B</b> Kentucky	Agent	Approved	03/29/2023
<b>B</b> Louisiana	Agent	Approved	01/10/2024
<b>B</b> Maine	Agent	Approved	10/18/2024
<b>B</b> Maryland	Agent	Approved	04/20/2022
<b>B</b> Massachusetts	Agent	Approved	01/31/2025
<b>B</b> Michigan	Agent	Approved	04/17/2024
<b>B</b> Minnesota	Agent	Approved	04/20/2022
<b>B</b> Mississippi	Agent	Approved	04/20/2022
<b>B</b> Missouri	Agent	Approved	04/20/2022
<b>B</b> Montana	Agent	Approved	04/20/2022
<b>B</b> Nebraska	Agent	Approved	04/20/2022
<b>B</b> Nevada	Agent	Approved	01/03/2025
<b>B</b> New Hampshire	Agent	Approved	04/20/2022
<b>B</b> New Jersey	Agent	Approved	04/20/2022
<b>B</b> New Mexico	Agent	Approved	04/20/2022
<b>B</b> New York	Agent	Approved	04/20/2022
<b>B</b> North Carolina	Agent	Approved	04/20/2022
<b>B</b> North Dakota	Agent	Approved	04/20/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Ohio	Agent	Approved	04/20/2022
<b>B</b> Oklahoma	Agent	Approved	04/20/2022
<b>B</b> Pennsylvania	Agent	Approved	04/20/2022
<b>B</b> Rhode Island	Agent	Approved	11/12/2024
<b>B</b> South Carolina	Agent	Approved	11/05/2024
<b>B</b> South Dakota	Agent	Approved	04/20/2022
<b>B</b> Tennessee	Agent	Approved	04/18/2023
<b>B</b> Texas	Agent	Approved	04/20/2022
<b>B</b> Utah	Agent	Approved	04/20/2022
<b>B</b> Vermont	Agent	Approved	10/21/2024
<b>B</b> Virginia	Agent	Approved	02/28/2025
<b>B</b> Washington	Agent	Approved	03/23/2023
<b>B</b> Wisconsin	Agent	Approved	04/20/2022
<b>B</b> Wyoming	Agent	Approved	05/20/2024

### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
 728 W MAIN ST  
 DUNCAN, OK 73533

### Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**  
 Main Address: 1450 AMERICAN LANE  
 6TH FLOOR, SUITE 650  
 SCHAUMBURG, IL 60173-2096



## Qualifications

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	Oklahoma	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Approved	06/29/2023

### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
728 W MAIN ST  
DUNCAN, OK 73533




## 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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/05/2018

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/20/2007

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	02/05/2008

### 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	04/20/2022 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
B	10/18/2018 - 04/20/2022	FIRST FINANCIAL EQUITY CORPORATION	CRD# 16507	DUNCAN, OK
IA	10/18/2018 - 04/20/2022	FIRST FINANCIAL EQUITY CORPORATION	CRD# 16507	DUNCAN, OK
B	07/28/2017 - 11/15/2018	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	DUNCAN, OK
IA	07/28/2017 - 11/15/2018	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	DUNCAN, OK
IA	08/03/2012 - 08/01/2017	EDWARD JONES	CRD# 250	DUNCAN, OK
B	07/23/2012 - 08/01/2017	EDWARD JONES	CRD# 250	DUNCAN, OK
IA	02/07/2008 - 04/16/2012	ARVEST ASSET MANAGEMENT	CRD# 42057	ADA, OK
B	11/21/2007 - 04/16/2012	ARVEST ASSET MANAGEMENT	CRD# 42057	ADA, OK

### 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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
04/2022 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
10/2017 - Present	YS INTEGRATION LLC	MANAGING MEMBER LLC	N	DUNCAN, OK, United States
08/2017 - Present	YS ASSET MANAGEMENT LLC	PRESIDENT	Y	DUNCAN, OK, United States
10/2018 - 04/2022	FIRST FINANCIAL EQUITY CORPORATION	REGISTERED REPRESENTATIVE	Y	DUNCAN, OK, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2017 - 10/2018	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	DUNCAN, OK, United States
07/2012 - 07/2017	EDWARD JONES	FINACIAL ADVISOR	Y	ST LOUIS, MO, 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. NAME OF OTHER BUSINESS: SPIVEY REAL ESTATE  
 INVESTMENT RELATED: NO  
 ADDRESS: SAME AS REGISTERED LOCATION  
 NATURE OF BUSINESS: REAL ESTATE  
 START DATE: 5/2015  
 POSITION/TITLE/RELATIONSHIP: OWNER  
 APX NUMBER OF HOURS PER WEEK: 2  
 APX NUMBER OF HOURS DURING TRADING HOURS: 0  
 BRIEF DESCRIPTION OF DUTIES: REAL ESTATE RENTAL PROPERTIES MANAGEMENT;
- 2. NAME OF OTHER BUSINESS: YS ASSET MANAGEMENT, LLC;  
 INVESTMENT RELATED: YES,  
 ADDRESS: SAME AS REGISTERED LOCATION,  
 NATURE OF BUSINESS: FINANCIAL SERVICES,  
 START DATE: 8/2017,  
 POSITION/TITLE/RELATIONSHIP: OWNER,  
 APX NUMBER OF HOURS PER WEEK: 40,  
 APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,  
 BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;
- 3. NAME OF OTHER BUSINESS: MP3 AVIATION  
 INVESTMENT RELATED: NO  
 ADDRESS: PO BOX 266, DUNCAN, OK 73534  
 NATURE OF BUSINESS: AIRCRAFT OWNERSHIP  
 START DATE: 10/2016  
 POSITION/TITLE/RELATIONSHIP: MANAGING MEMBER LLC  
 APX NUMBER OF HOURS PER WEEK: 5  
 APX NUMBER OF HOURS DURING TRADING HOURS: 0  
 BRIEF DESCRIPTION OF DUTIES: PERSONAL OWNER OF AIRCRAFT;
- 4. NAME OF OTHER BUSINESS: YS INTEGRATION LLC  
 INVESTMENT RELATED: NO  
 ADDRESS: SAME AS REGISTERED LOCATION  
 NATURE OF BUSINESS: ANCILLARY PURPOSE TO YS ASSET MANAGEMENT AS A CONSULTANT TO NON-INVESTMENT CLIENT 3RD PARTY ADMINISTRATORS  
 START DATE: 10/2017  
 POSITION/TITLE/RELATIONSHIP: MANAGING MEMBER LLC  
 APX NUMBER OF HOURS PER WEEK: 10  
 APX NUMBER OF HOURS DURING TRADING HOURS: 0  
 BRIEF DESCRIPTION OF DUTIES: VEHICLE SERVICE CONTRACTING IMPLEMENTATION INTON NON-INVESTMENT



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

CLIENT AUTO DEALERSHIPS;  
5. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES;  
INVESTMENT RELATED: YES;  
ADDRESS: SAME AS REGISTERED LOCATION;  
NATURE OF BUSINESS: FIXED INSURANCE;  
START DATE: 6/2022  
APX NUMBER OF HOURS PER WEEK: 4;  
APX NUMBER OF HOURS DURING TRADING HOURS: 4;  
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT  
BRIEF DESCRIPTION OF DUTIES: SELLS LIFE;  
6. NAME OF OTHER BUSINESS: FFEC WEALTH PARTNERS;  
INVESTMENT RELATED: YES;  
ADDRESS: SAME AS REGISTERED LOCATION;  
NATURE OF BUSINESS: FINANCIAL SERVICES;  
START DATE: 4/2022;  
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL;  
APX NUMBER OF HOURS PER WEEK: 40;  
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;  
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;  
7. NAME OF OTHER BUSINESS: ATARAXIA  
INVESTMENT RELATED: YES  
ADDRESS: SAME AS REGISTERED LOCATION  
NATURE OF BUSINESS: INSURANCE  
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT  
START DATE: 1/2021  
APX NUMBER OF HOURS PER WEEK: 10  
APX NUMBER OF HOURS DURING TRADING HOURS: 10  
BRIEF DESCRIPTION OF DUTIES: INSURANCE AGENT;  
8. NAME OF OTHER BUSINESS: NOTARY PUBLIC COMMISSION;  
INVESTMENT RELATED: NO ;  
ADDRESS: SAME AS REGISTERED LOCATION ;  
NATURE OF BUSINESS: NOTARIZING DOCUMENTS ;  
START DATE: 12/2019;  
POSITION/TITLE/RELATIONSHIP: NOTARY ;  
APX NUMBER OF HOURS PER WEEK: VARIES ;  
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES;  
BRIEF DESCRIPTION OF DUTIES: NOTARIZING DOCUMENTS ;



## 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
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Termination	1
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### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Firm Name:</b>	Wells Fargo Advisors Financial Network, LLC.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	10/16/2018
<b>Allegations:</b>	Allegations concerning nature of registered representative's business and activity and whether such activity was outside the scope of the relationship with the Firm. The review concluded when Wells Fargo Advisors Financial Network, LLC exercised its contractual option to disaffiliate with Mr. Spivey. Wells Fargo Advisors Financial Network, LLC and Mr. Spivey agreed to a date of disaffiliation.
<b>Product Type:</b>	No Product
<b>Firm Statement</b>	Amended to provide information on the disaffiliation.

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<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	WELLS FARGO
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	10/16/2018
<b>Allegations:</b>	Allegations concerning nature of registered representative's business and activity outside the scope of the relationship with the firm.
<b>Product Type:</b>	No Product



## End of Report

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